

SEC’s CAIS Exemption Order

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1. Revisions Summary

Version	Publish Date	Description
1.0	02/14/2025	Initial publication.

2. Publication of CAIS Exemption Order by the SEC

This CAT Alert provides notice to Industry Members that on February 10, 2025, the SEC published an order (the “Exemption Order”) granting exemptive relief related to the reporting of names, addresses, and years of birth for natural persons reported with transformed social security numbers/individual tax payer identification numbers to CAIS.

The Exemption Order was issued by the SEC on its own motion. Accordingly, although the SEC staff has indicated that the Exemption Order is immediately effective, CAT LLC and the Plan Processor will need to evaluate the scope of the Exemption Order as well as determine and then implement any technical changes to CAIS reporting that are necessary in connection with the exemptive relief outlined by the SEC in the Exemption Order.

CAT LLC anticipates publishing a subsequent CAT Alert at a future date to communicate any additional information related to the effects of the SEC’s Exemption Order on CAIS reporting.

3. Resources

- [Exemption Order](#)