# CAIS Report Card Webinar Part 1 - Compliance Error Rate Calculation

March 13, 2025

# Agenda

CAIS Compliance Error Rate Calculation Based on Unique Identifiers (October 2025 Report Card Published on November 15, 2025)

## Webinar Part 1

1. Current CAIS Compliance Error Rate Calculation
2. Future CAIS Compliance Error Rate Calculation
3. Tier Size/Peer Group Assignment
4. Report Card Mock-Up Screens
5. Appendix – Reporting Examples

## Webinar Part 2 *(Upcoming - March 18, 2025)*

1. Monthly Summary
2. FDID Refresh Statistics
3. Updates to the Daily Statistics

# Current CAIS Compliance Error Rate Calculation

The current CAIS Compliance Error Rate is based on daily submissions.  Because this rate reflects daily firm submission behavior, it does not reflect outstanding rejection rates for unique Customers and Accounts across time as of a specific date.

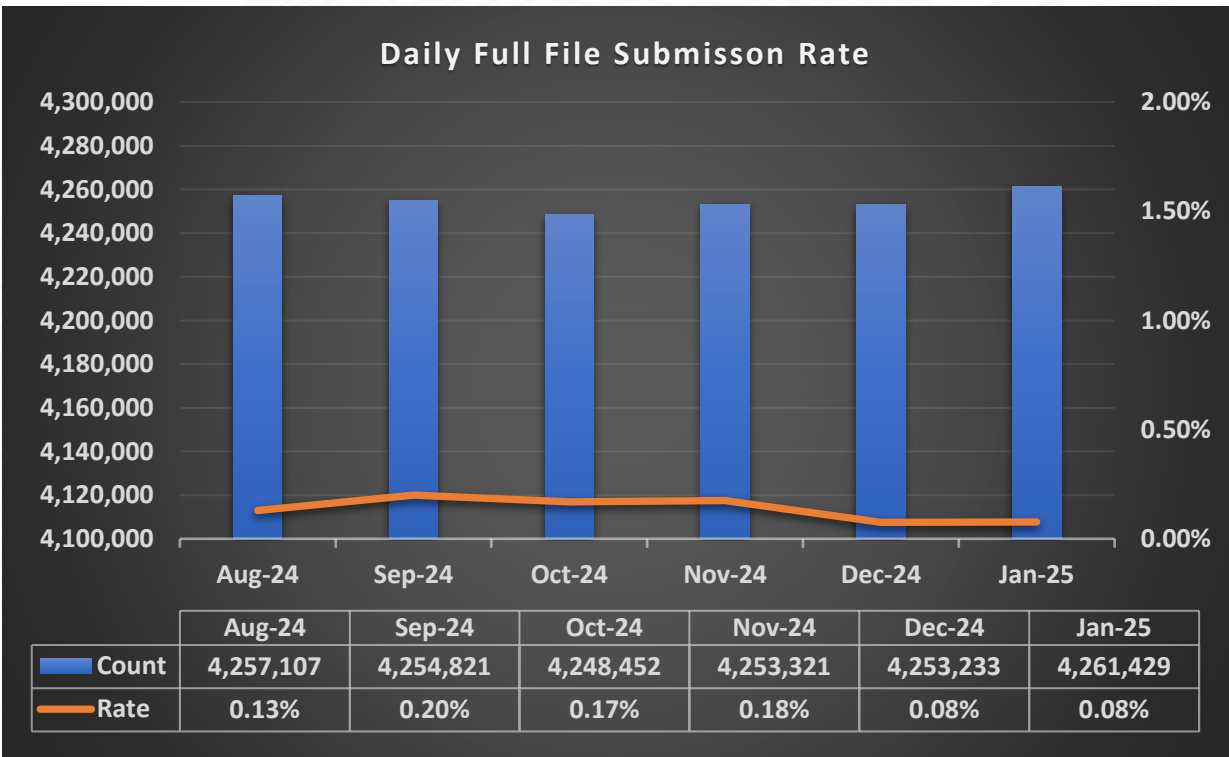|  | Numerator | Denominator |
|---|---|---|
| Based on submissions within the month | Unrepaired Accounts and Customer Records **+** Late Repairs **submitted in** current month | Total Account and Customer Records submitted in current month |

# Future CAIS Compliance Error Rate Calculation

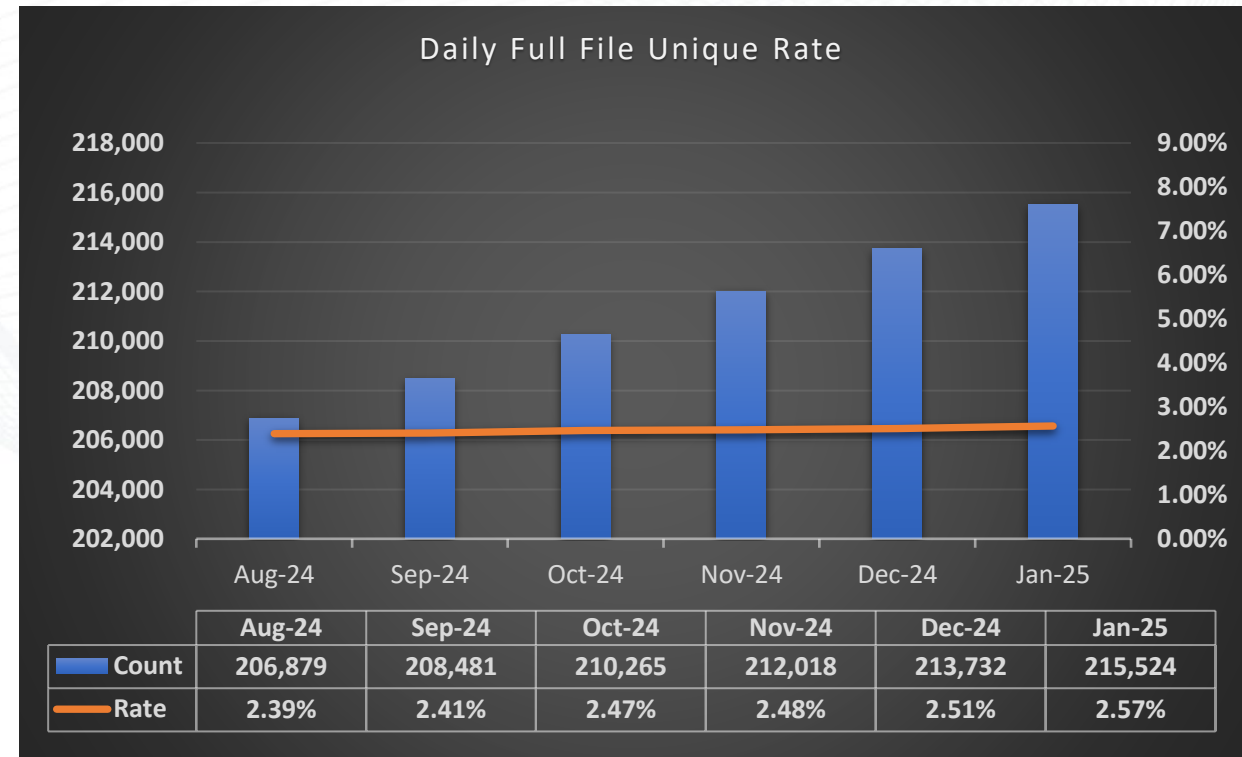| | Numerator | Denominator |
|---|---|---|
| **Based on Unique Identifiers*** <br><br> *Unique Identifier **FDID** - represents the individual, unique Account reported by the Reporter CRD.* <br><br> *Unique Identifier **Customer** - represents the individual, unique TID Record reported by the Reporter CRD.* | Cumulative Unique Unrepaired Accounts and Customers **as of** current month **+** Unique Late Repairs **from** the current month | Cumulative Total Unique Accounts and Customers submitted in CAIS |

**Notes:**
1. Cumulative counts representing the time from Apr 26th, 2022 until end of the Report Card month are included in CAIS Compliance error rate.
2. Repairs submitted after the repair deadline are identified as late repairs.
3. Late Repairs in CAIS Compliance Error Rate would only include late repairs submitted in the Report Card month. The Original Rejection Date may be from prior months.

# Example – Daily Full File Submissions

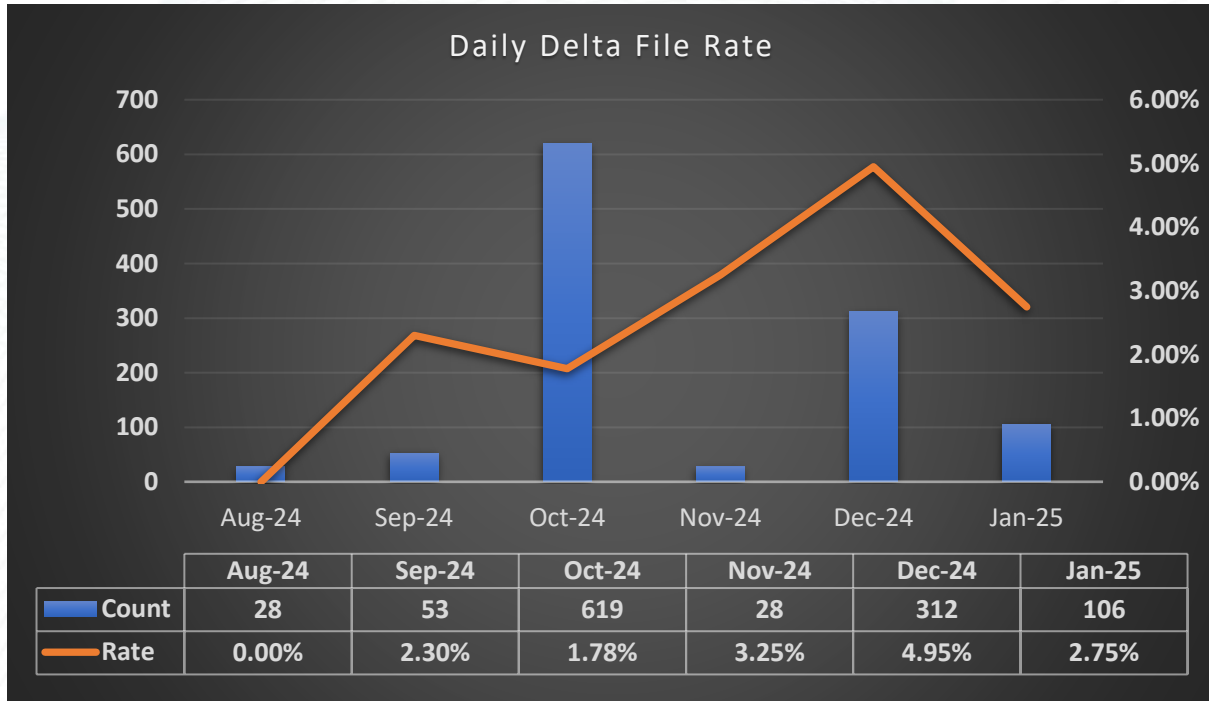## Current - Daily Full File Submissions Example
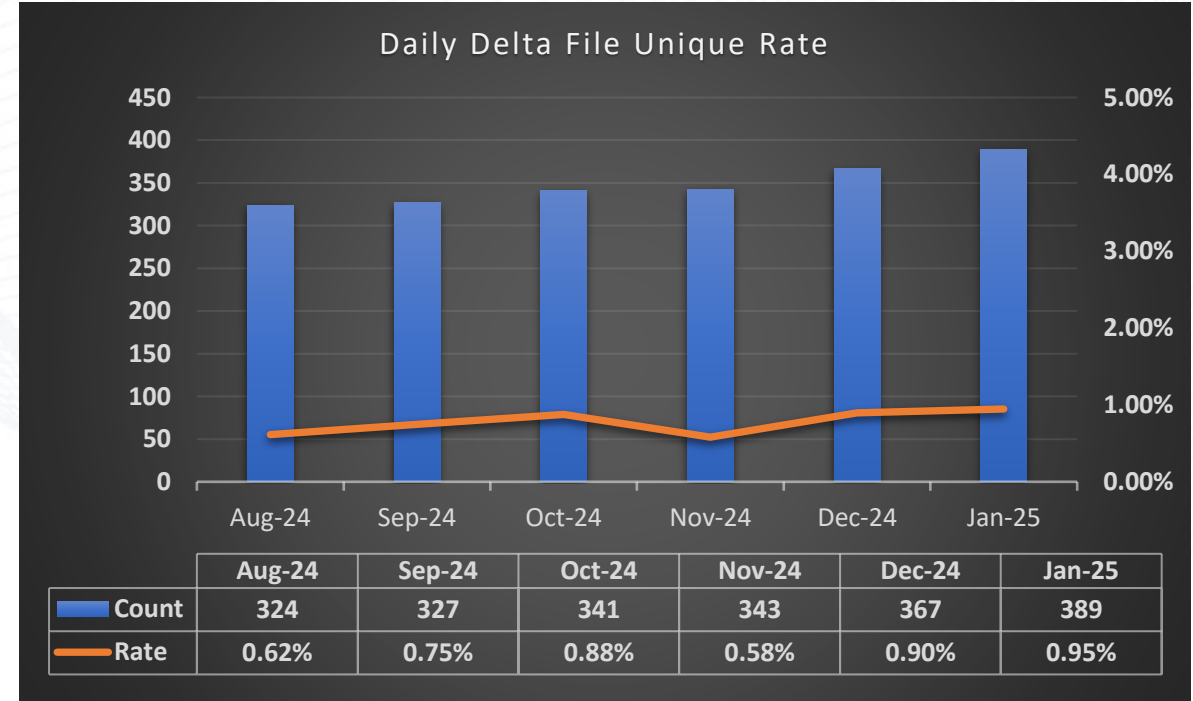
### Daily Full File Submisson Rate

| | Aug-24 | Sep-24 | Oct-24 | Nov-24 | Dec-24 | Jan-25 |
|---|---|---|---|---|---|---|
| Count | 4,257,107 | 4,254,821 | 4,248,452 | 4,253,321 | 4,253,233 | 4,261,429 |
| Rate | 0.13% | 0.20% | 0.17% | 0.18% | 0.08% | 0.08% |

## Expected Future State – Daily Full File Unique Rate

### Daily Full File Unique Rate

| | Aug-24 | Sep-24 | Oct-24 | Nov-24 | Dec-24 | Jan-25 |
|---|---|---|---|---|---|---|
| Count | 206,879 | 208,481 | 210,265 | 212,018 | 213,732 | 215,524 |
| Rate | 2.39% | 2.41% | 2.47% | 2.48% | 2.51% | 2.57% |

# Example – Daily Delta File Submissions

## Current - Daily Delta Submissions

### Daily Delta File Rate



| | Aug-24 | Sep-24 | Oct-24 | Nov-24 | Dec-24 | Jan-25 |
|---|---|---|---|---|---|---|
| Count | 28 | 53 | 619 | 28 | 312 | 106 |
| Rate | 0.00% | 2.30% | 1.78% | 3.25% | 4.95% | 2.75% |

## Expected Future State - Daily Delta Submissions

### Daily Delta File Unique Rate



| | Aug-24 | Sep-24 | Oct-24 | Nov-24 | Dec-24 | Jan-25 |
|---|---|---|---|---|---|---|
| Count | 324 | 327 | 341 | 343 | 367 | 389 |
| Rate | 0.62% | 0.75% | 0.88% | 0.58% | 0.90% | 0.95% |

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# Overall Industry Rates Based on Unique Identifiers

## Industry Compliance Error Rate Based on Unique Identifiers Since August 2024

**IM Overall Unique Rate**

|  | Aug-24 | Sep-24 | Oct-24 | Nov-24 | Dec-24 | Jan-25 |
|---|---|---|---|---|---|---|
| Count | 753,226,175 | 759,940,987 | 767,280,843 | 777,340,111 | 786,732,672 | 796,440,528 |
| Rate | 1.1672% | 1.1513% | 0.9446% | 0.8428% | 0.8517% | 0.8492% |
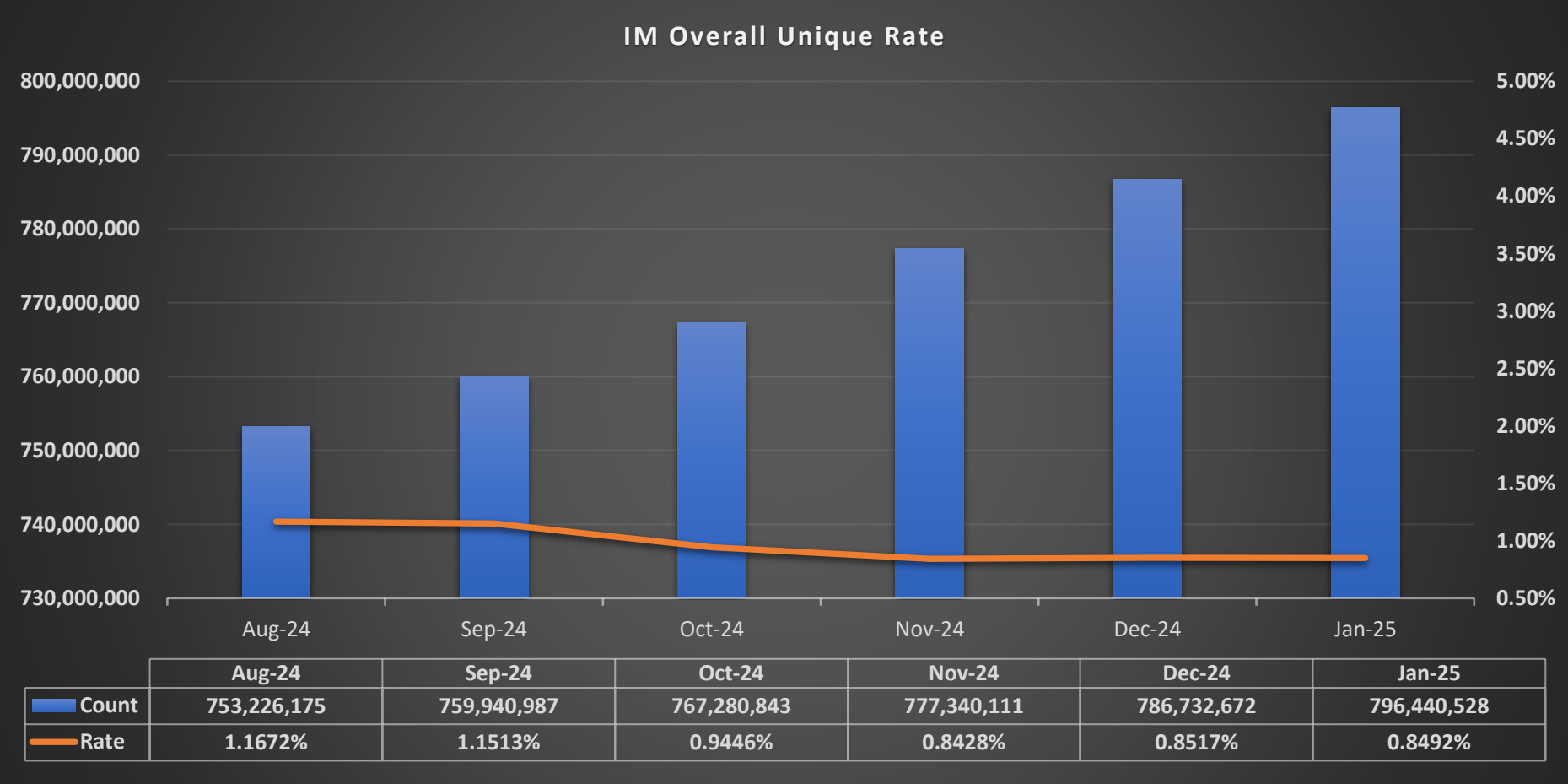
# Transaction Tier Size and Peer Group Assignment

➢CAIS Tier Size and Peer Group assignment will be based on Unique Processed Counts and will use the current Transaction Report Card distribution percentages listed below.

| Tier # | Description |
|--------|-------------|
| 1 | Top 2.5% Industry Members |
| 2 | Next 2.5% Industry Members |
| 3 | Next 10% Industry Members |
| 4 | Next 15% Industry Members |
| 5 | Next 20% Industry Members |
| 6 | Remaining 50% Industry Members |

# CAIS Tier Size and Peer Group Assignment

➢ CAIS Tiers When Applying the Same Distribution to January 2025 Unique Processed Counts

| Tier # | Description | No of Firms in Each Tier |
|---|---|---|
| 1 | Top 2.5% Industry Members | 34 |
| 2 | Next 2.5% Industry Members | 34 |
| 3 | Next 10% Industry Members | 134 |
| 4 | Next 15% Industry Members | 201 |
| 5 | Next 20% Industry Members | 269 |
| 6 | Remaining 50% Industry Members | 672 |
| **Total IMs that submitted to CAIS at the end of January 2025** | | 1,344 |

# CAIS Report Card

Mock-Up Screens

# Current CAIS Report Card Screen



**CAT** Reporter Portal    5:01 PM ET    01/15/2025

Perspective    Reporter

*on behalf of* TEST FIRM (99999999)
User (User)

## Monthly Report Cards

| Transaction Report Card | CAIS Report Card |

Industry Member Firm Name (CRD):  TEST FIRM (99999999)

EXPORT

**Period**
December 2024

**Version**
1

**Correspondent CRD**
OVERALL

### CAIS Monthly Report Card

ⓘ The CAIS Monthly Report Card assists CAT Reporters in monitoring compliance, as well as to support Regulators in their oversight functions. The CAIS Report Card Glossary published on the CAT NMS plan website provides a reference description for all of the elements found on the CAIS Monthly Report Card. For questions regarding the specific report, please call the FINRA CAT Helpdesk by phone at 888-696-3348 or email at help@finracat.com

### CAIS Compliance Summary

| CATEGORY | COUNT/RATE |
|---|---|
| Firm CAIS Compliance Error Rate* ⓘ | 0.0500% |
| Firm CAIS Compliance Error Count ⓘ | 500 |
| Processed Record Count ⓘ | 1,000,000 |
| Days Exceeding 5% Compliance Error Rate | 0 |
| Tier ⓘ | |
| Peer Group Compliance Error Rate | |
| Industry Compliance Error Rate | 0.5500% |

*Inconsistencies are not included in the Compliance Error Rate

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# Future State - CAIS Report Card Screen

# Appendix - Reporting Examples

1. No New Unique Identifiers Submitted in the Report Card Month.
2. New Unique Identifiers – Timely Repairs Within the Report Card Month.
3. New Unique Identifiers – Repaired Late Within the Report Card Month.
4. New Unique Identifiers – Repaired Late after the Report Card Cut-Off.
5. New Unique Identifiers Across Report Card Months – Repaired Late, Resubmitted and Repaired on Time.
6. New Unique Identifiers Across Report Card Months – Repaired Late, Resubmitted and Repaired Late.

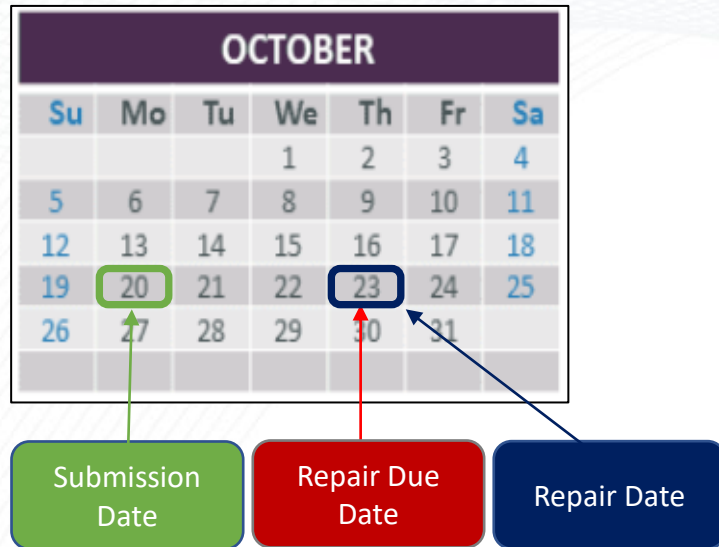# Example 1 - No New Unique Identifiers Submitted in October

- Prior to October 2025, Firm A submitted **30** Unique FDIDs and **20** Unique Customers.

- In October 2025, Firm A successfully submitted **20** FDIDs and **10** Customers that were **not** unique (previously submitted).

### OCTOBER

| Su | Mo | Tu | We | Th | Fr | Sa |
|----|----|----|----|----|----|----|
|    |    |    | 1  | 2  | 3  | 4  |
| 5  | 6  | 7  | 8  | 9  | 10 | 11 |
| 12 | 13 | 14 | 15 | 16 | 17 | 18 |
| 19 | 20 | 21 | 22 | 23 | 24 | 25 |
| 26 | 27 | 28 | 29 | 30 | 31 |    |
|    |    |    |    |    |    |    |

### Firm A October 2025 Report Card

| Category | Count/Rate | Calculation |
|----------|------------|-------------|
| **Unique FDID Summary** | | |
| Unique Processed Count | 30 | Includes all unique submissions and rejections |
| Late Repaired Count | 0 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 0 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 0.0000% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 20 | Includes all unique submissions and rejections |
| Late Repaired Count | 0 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 0 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 0.0000% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 0.0000% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Firm CAIS Compliance Error Count | 0 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 50 | FDID Unique Processed Count + Customer Unique Count |

# Example 2 - New Unique Identifiers Rejected and Timely Repaired in October

- On **10/20/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer**. Both records were **rejected.** The repairs were due **10/23/2025** by 5 PM.

- Firm A corrected the data and resubmitted on **10/23/2025** prior to 5 PM. Both records were accepted.



Submission Date — Repair Due Date — Repair Date

| Firm A October 2025 Report Card | | |
|---|---|---|
| **Category** | Count/Rate | Calculation |
| **Unique FDID Summary** | | |
| Unique Processed Count | 31 | Includes all unique submissions |
| Late Repaired Count | 0 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 0 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 0.0000% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 21 | Includes all unique submissions |
| Late Repaired Count | 0 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 0 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 0.0000% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 0.0000% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Compliance Error Count | 0 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 3 - New Unique Identifiers Rejected and Repaired Late in October

- On **10/20/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer.** Both records were **rejected.** The repairs were due **10/23/2025** by 5 PM.

- Firm A corrected the data and resubmitted on **10/30/2025.** Both records were accepted.
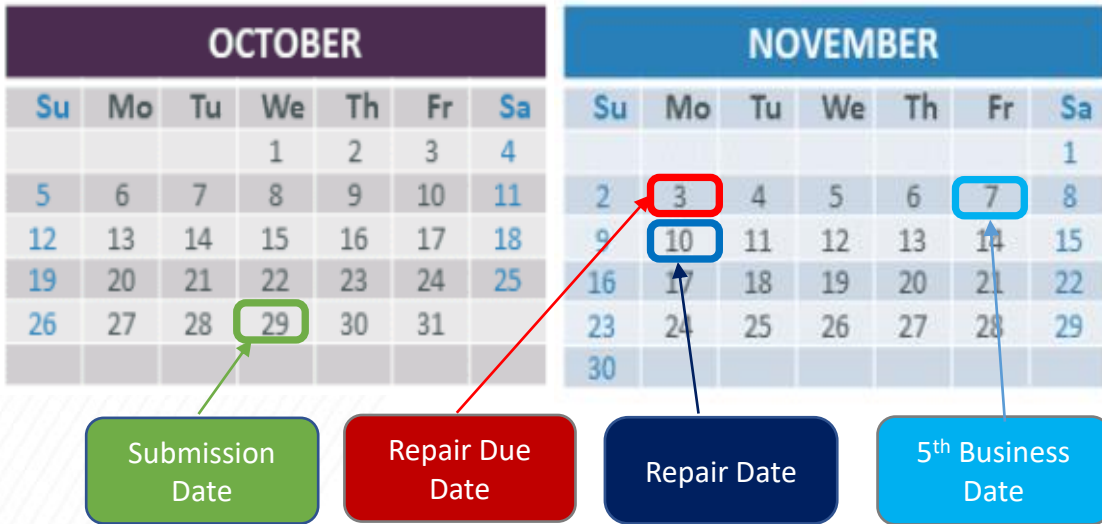
Submission Date → 20

Repair Due Date → 23

Repair Date → 30

| Firm A October 2025 Report Card | | |
|---|---|---|
| Category | Count/Rate | Calculation |
| **Unique FDID Summary** | | |
| Unique Processed Count | 31 | Includes all unique submissions |
| Late Repaired Count | 1 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 21 | Includes all unique submissions |
| Late Repaired Count | 1 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Compliance Error Count | 2 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 52 | FDID Unique Processed Count + Customer Unique Count |

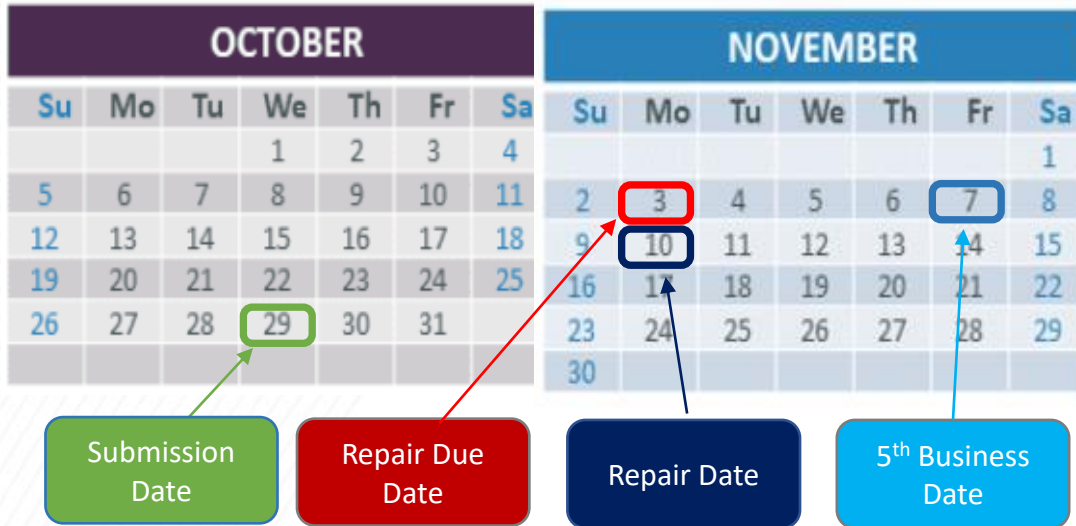# Example 4a - New Unique Identifiers Rejected and Repaired Late After the Report Card Run (October RC)

- On **10/29/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer**. Both records were **rejected.** The repairs were due **11/3/2025** by 5 PM.

- Firm A corrected the data and resubmitted on **11/10/2025.** Both records were accepted.

Submission Date — Repair Due Date — Repair Date — 5th Business Date

| Firm A October 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| **Unique FDID Summary** | | |
| Unique Processed Count | 31 | Includes all unique submissions |
| Late Repaired Count | 0 | |
| Outstanding Count | 1 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 21 | Includes all unique submissions |
| Late Repaired Count | 0 | |
| Outstanding Count | 1 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Compliance Error Count | 2 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 52 | FDID Unique Processed Count + Customer Unique Count |

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# Example 4b- New Unique Identifiers Rejected and Repaired Late After the Report Card Run (November RC)

- On **10/29/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer**. Both records were **rejected.** The repairs are due **11/3/2025** by 5 PM.

- Firm A corrected the data and resubmitted on **11/10/2025.** Both records were accepted.



Submission Date

Repair Due Date

Repair Date

5th Business Date

| Firm A November 2025 Report Card | | |
|---|---|---|
| Category | Count/Rate | Calculation |
| **Unique FDID Summary** | | |
| Unique Processed Count | 31 | Includes all unique submissions |
| Late Repaired Count | 1 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 21 | Includes all unique submissions |
| Late Repaired Count | 1 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Compliance Error Count | 2 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 5a- New Unique Identifiers Repaired Across Months and Resubmitted (September RC)

- On **9/19/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer.** Both records were **rejected.** The repairs were due **09/24/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **10/21/2025.** Both records were accepted.

- On **11/17/2025** - Firm A resubmitted the same FDID with one unique Customer. Both records were **rejected.** The repairs were due **11/20/2025** by 5 PM.

- Firm A corrected the data and resubmitted on **11/19/2025.** Both records were accepted.

Submission Date — Repair Date — Resubmission Date — Repair Date

| Firm A September 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| **Unique FDID Summary** | | |
| **Unique Processed Count** | 31 | Includes all unique submissions |
| **Late Repaired Count** | 0 | |
| **Outstanding Count** | 1 | |
| **Compliance Error Count** | 1 | Late Repaired Count + Outstanding Repairable Count |
| **FDID Compliance Error Rate** | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| **Unique Processed Count** | 21 | Includes all unique submissions |
| **Late Repaired Count** | 0 | |
| **Outstanding Count** | 1 | |
| **Compliance Error Count** | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| **Customer Compliance Error Rate** | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| **Firm CAIS Compliance Error Rate** | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| **Compliance Error Count** | 2 | FDID Error Count + Customer Error Count |
| **Processed Unique Identifier Count** | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 5b- New Unique Identifiers Repaired Across Months and Resubmitted (October RC)

- On **9/19/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer.** Both records were **rejected.** The repairs were due **09/24/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **10/21/2025.** Both records were accepted.

- On **11/17/2025** - Firm A resubmitted the same FDID with one unique Customer. Both records were **rejected.** The repairs were due **11/20/2025** by 5 PM.

- Firm A corrected the data and resubmitted on **11/19/2025.** Both records were accepted.

| Firm A October 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| **Unique FDID Summary** | | |
| Unique Processed Count | 31 | Includes all unique submissions |
| Late Repaired Count | 1 | |
| Outstanding Count | | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 21 | Includes all unique submissions |
| Late Repaired Count | 1 | |
| Outstanding Count | 0 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Compliance Error Count | 2 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 5c- New Unique Identifiers Repaired Across Months and Resubmitted (November RC)

- On **9/19/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer.** Both records were **rejected.** The repairs were due **09/24/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **10/21/2025.** Both records were accepted.

- On **11/17/2025** - Firm A resubmitted the same FDID with one unique Customer. Both records were **rejected.** The repairs were due **11/20/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **11/19/2025.** Both records were accepted.



| Firm A November 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| Category | Count/Rate | Calculation |
| **Unique FDID Summary** | | |
| **Unique Processed Count** | 31 | Includes all unique submissions |
| **Late Repaired Count** | 0 | |
| **Outstanding Count** | 0 | |
| **Compliance Error Count** | 0 | Late Repaired Count + Outstanding Repairable Count |
| **FDID Compliance Error Rate** | 0.0000% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| **Unique Processed Count** | 21 | Includes all unique submissions |
| **Late Repaired Count** | 0 | |
| **Outstanding Count** | 0 | |
| **Compliance Error Count** | 0 | Late Repaired Count + Outstanding Repairable Record Count |
| **Customer Compliance Error Rate** | 0.0000% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| **Firm CAIS Compliance Error Rate** | 0.0000% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| **Compliance Error Count** | 0 | FDID Error Count + Customer Error Count |
| **Processed Unique Identifier Count** | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 6a- New Unique Identifiers Repaired Across Months and Repaired Late (September RC)
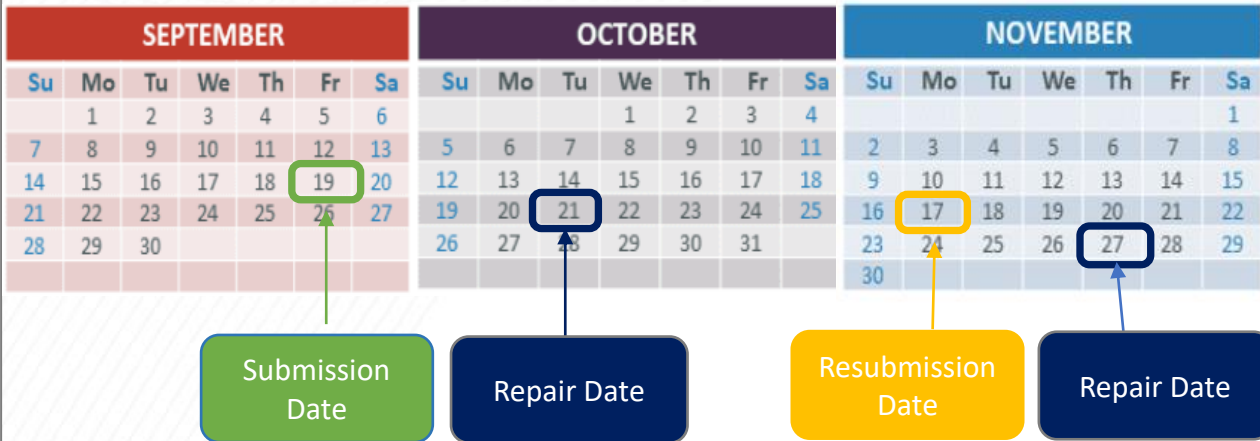
- On **9/19/2025** - Firm A submitted a unique FDID with one unique Customer. Both records were **rejected.** The repairs were due **09/24/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **10/21/2025** prior to 5 PM. Both records were accepted.

- On **11/17/2025** - Firm A resubmitted the same FDID with one unique Customer. Both records were **rejected.** The repairs were due **11/20/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **11/27/2025.** Both records were accepted.



| Firm A September 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| **Unique FDID Summary** | | |
| Unique Processed Count | 31 | Includes all unique submissions |
| Late Repaired Count | 0 | |
| Outstanding Count | 1 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Count |
| FDID Compliance Error Rate | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| Unique Processed Count | 21 | Includes all unique submissions |
| Late Repaired Count | 0 | |
| Outstanding Count | 1 | |
| Compliance Error Count | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| Customer Compliance Error Rate | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| Firm CAIS Compliance Error Rate | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| Compliance Error Count | 2 | FDID Error Count + Customer Error Count |
| Processed Unique Identifier Count | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 6b- New Unique Identifiers Repaired Across Months and Repaired Late (October RC)

- On **9/19/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer.** Both records were **rejected.** The repairs were due **09/24/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **10/21/2025** prior to 5 PM. Both records were accepted.

- On **11/17/2025** - Firm A resubmitted the same FDID with one unique Customer. Both records were **rejected.** The repairs were due **11/20/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **11/27/2025.** Both records were accepted.



| Firm A October 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| | | |
| **Unique FDID Summary** | | |
| **Unique Processed Count** | 31 | Includes all unique submissions |
| **Late Repaired Count** | 1 | |
| **Outstanding Count** | 0 | |
| **Compliance Error Count** | 1 | Late Repaired Count + Outstanding Repairable Count |
| **FDID Compliance Error Rate** | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| **Unique Processed Count** | 21 | Includes all unique submissions |
| **Late Repaired Count** | 1 | |
| **Outstanding Count** | 0 | |
| **Compliance Error Count** | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| **Customer Compliance Error Rate** | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| **Firm CAIS Compliance Error Rate** | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| **Compliance Error Count** | 2 | FDID Error Count + Customer Error Count |
| **Processed Unique Identifier Count** | 52 | FDID Unique Processed Count + Customer Unique Count |

# Example 6c- New Unique Identifiers Repaired Across Month and Repaired Late (November RC)

- On **9/19/2025** - Firm A submitted **1 Unique FDID** with **1 Unique Customer.** Both records were **rejected.** The repairs are due **09/24/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **10/21/2025** prior to 5 PM. Both records were accepted.

- On **11/17/2025** - Firm A resubmitted the same FDID with one unique Customer. Both records were **rejected.** The repairs were due **11/20/2025** by 5 PM.

- Firm A corrected the data and resubmitted late on **11/27/2025.** Both records were accepted.



| Firm A November 2025 Report Card | | |
|---|---|---|
| **Category** | **Count/Rate** | **Calculation** |
| **Unique FDID Summary** | | |
| **Unique Processed Count** | 31 | Includes all unique submissions |
| **Late Repaired Count** | 1 | |
| **Outstanding Count** | 0 | |
| **Compliance Error Count** | 1 | Late Repaired Count + Outstanding Repairable Count |
| **FDID Compliance Error Rate** | 3.2258% | (Compliance Error Count / Processed Records Count) |
| **Unique Customer Summary** | | |
| **Unique Processed Count** | 21 | Includes all unique submissions |
| **Late Repaired Count** | 1 | |
| **Outstanding Count** | 0 | |
| **Compliance Error Count** | 1 | Late Repaired Count + Outstanding Repairable Record Count |
| **Customer Compliance Error Rate** | 4.7619% | (Compliance Error Records Count / Processed Records Count)*100 |
| **CAIS Compliance Summary** | | |
| **Firm CAIS Compliance Error Rate** | 3.8461% | (FDID Compliance Error Count + Customer Compliance Error Count/Processed Count)*100 |
| **Compliance Error Count** | 2 | FDID Error Count + Customer Error Count |
| **Processed Unique Identifier Count** | 52 | FDID Unique Processed Count + Customer Unique Count |

# How to Ask a Question during Today's Call

➢**For participants using computer audio:**
- Click the "Raise Hand" button at the bottom of the participant's window
- A visual prompt will indicate that your line has been unmuted

➢**For participants using phone audio:**
- Enter *9 on your phone keypad
- An audio prompt will indicate that your line has been unmuted

# FINRA CAT Helpdesk

**Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or [help@finracat.com](mailto:help@finracat.com)**