
Print Current View

Date	Phase	Information	Category	Audience
10/15/2019	2a	Private Line available for network testing (BT Radianz and Century Link) Release 1 - File Submission and Data Integrity Validations Topics O. Technical Requirements	Connectivity	<ul style="list-style-type: none">• Large Industry Members• Small OATS Reporters
10/15/2019	2a	Publication of IMID/IMID Conflicts and Issue Sample List Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	<ul style="list-style-type: none">• Large Industry Members• Small OATS Reporters
10/15/2019	2b	Private Line available for	Connectivity	<ul style="list-style-type: none">• Large

Date	Phase	Information	Category	Audience
		network testing (BT Radianz and Century Link)		Industry Members
		Release 1 - File Submission and Data Integrity Validations		
		Topics		
		O. Technical Requirements		
10/15/2019	2b	Publication of IMID/IMID Conflicts and Issue Sample List	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
11/01/2019	2a	Onboarding Guide Update to include Multi-Factor Authentication	Registration & Onboarding	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
11/01/2019	2b	Onboarding Guide Update to include Multi-Factor Authentication	Registration & Onboarding	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File		

Date	Phase	Information Submission and Data Integrity Validations	Category	Audience
11/04/2019	2a	CAT Secure Reporting Gateway available for network testing	Connectivity	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
11/04/2019		Release 1 - File Submission and Data Integrity Validations		
11/04/2019		Plan Participant UAT begins for Industry Test Release 1.1 (November 18 functionality) and Reference Data Release	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
11/04/2019	2a	CAT Reporter Portal User Guide Published for Industry Test Release 1.1 (November 18 functionality)	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
11/04/2019	2b	CAT Secure Reporting Gateway available for network testing	Connectivity	<ul style="list-style-type: none"> • Large Industry Members

Date	Phase	Information	Category	Audience
		Release 1 - File Submission and Data Integrity Validations		
11/04/2019	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.1 (November 18 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
11/18/2019	2a	Industry Test Release 1.1 Industry Test Release of: <ul style="list-style-type: none"> • CAT Reporter Portal: <ul style="list-style-type: none"> ◦ CAT Reporting Relationships ◦ ATS Order Type Registration (ATS Only) • Reference Data: <ul style="list-style-type: none"> ◦ Publ 	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
		<ul style="list-style-type: none"> ication of Daily Issue Symbol Reference List Publication of Daily IMID and Conflicts List 		
		Release 1 - File Submission and Data Integrity Validations		
11/18/2019	2b	Industry Test Release 1.1 Industry Test Release of: <ul style="list-style-type: none"> CAT Reporter Portal: <ul style="list-style-type: none"> CAT Reporting Relationships ATS Order Type 	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members

Date	Phase	Information	Category	Audience
		Registration (ATS Only) • Reference Data: ◦ Publication of Daily Issue Symbol Reference List ◦ Publication of Daily IMID and Conflicts List Release 1 - File Submission and Data Integrity Validations		
11/25/2019		Plan Participant UAT begins for Industry Test Release 1.2 (December 16 functionality) Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
12/02/2019	2a	CAT Reporter Portal User Guide Published for Industry Test Release 1.2 (December 16 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
12/02/2019	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.2 (December 16 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
12/16/2019	2a	Test Environment opens for file submission and data integrity validations Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
12/16/2019	2b	Test Environment opens for file submission and data integrity validations Release 1 - File Submission and	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members

Date	Phase	Information Data Integrity Validations	Category	Audience
12/16/2019	2a	<p>Industry Test Release 1.2</p> <p>Industry Test Release of:</p> <ul style="list-style-type: none"> Machine-to-Machine File and Data Integrity Validations & Feedback CAT Reporter Portal Basic Reporting Statistics and Manual File Upload <p>Release 1 - File Submission and Data Integrity Validations</p>	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members Small OATS Reporters
12/16/2019	2b	<p>Industry Test Release 1.2</p> <p>Industry Test Release of:</p> <ul style="list-style-type: none"> Machine-to-Machine File and Data Integrity Validations & Feedback CAT Reporter Portal Basic Reporting 	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members

Date	Phase	Information	Category	Audience
		Statistics and Manual File Upload		
		Release 1 - File Submission and Data Integrity Validations		
12/31/2019	2a	Test Environment Opens	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
12/31/2019	2b	Test Environment Opens	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
01/03/2020	2a	Connectivity Supplement updated to include AWS PrivateLink information	Connectivity	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
01/03/2020	2b	Connectivity Supplement updated to include AWS PrivateLink information	Connectivity	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and		

Date	Phase	Information Data Integrity Validations	Category	Audience
01/27/2020	2a	AWS PrivateLink available for 2a/2b machine-to- machine file submission and CAT Reporter Portal	Connectivity	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
01/27/2020	2b	Release 1 - File Submission and Data Integrity Validations	Connectivity	<ul style="list-style-type: none"> • Large Industry Members
01/31/2020	2c	Technical Specifications Published for Equities Phase 2c	Specifications & User Guide	<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
01/31/2020	2e	LTID Technical Specification Published	Specifications & User Guide	<ul style="list-style-type: none"> • Industry Members

Date	Phase	Information	Category	Audience
		Topics		
		Q. Customer and Account Information		
02/03/2020		Plan Participant UAT begins for February Industry Test Release	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
02/10/2020	2a	CAT Reporter Portal User Guide Published for February Release	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
02/10/2020	2b	CAT Reporter Portal User Guide Published for February Release	Specifications & User Guide	<ul style="list-style-type: none"> • Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
02/24/2020	2a	Industry Test Release 1.3	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Industry Test		

Date	Phase	Information Release of:	Category	Audience
		<ul style="list-style-type: none"> CAT Reporter Portal Error Correction and Feedback 		<ul style="list-style-type: none"> Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
02/24/2020	2b	Industry Test Release 1.3 Industry Test Release of: <ul style="list-style-type: none"> CAT Reporter Portal Error Correction and Feedback 	Testing & Readiness	<ul style="list-style-type: none"> Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
03/11/2020	2a	CAT Reporter Portal User Guide Published for Industry Test Release 1.4 (March 23 functionality)	Specifications & User Guide	<ul style="list-style-type: none"> Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
03/11/2020	2b		Specifications &	

Date	Phase	Information	Category	Audience
		CAT Reporter Portal User Guide Published for Industry Test Release 1.4 (March 23 functionality)	User Guide	<ul style="list-style-type: none"> Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
03/23/2020	2a	Industry Test Release 1.4	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
		Industry Test Release of: <ul style="list-style-type: none"> CAT Reporter Portal Announcements & System Status 		
		Release 1 - File Submission and Data Integrity Validations		
03/23/2020	2b	Industry Test Release 1.4	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
		Industry Test Release of: <ul style="list-style-type: none"> CAT Reporter Portal Announcements & System Status 		
		Release 1 - File Submission and		

Date	Phase	Information Data Integrity Validations	Category	Audience
04/13/2020	2a	Production Environment Opens for Production Readiness Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
04/13/2020	2b	Production Environment Opens for Production Readiness Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
04/20/2020	2a	Test Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
04/20/2020	2b	Test Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
04/20/2020	2b	Industry Members are permitted to begin reporting Quote Sent Time on OMM quotes	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members

Date	Phase	Information	Category	Audience
05/04/2020	2a	Production Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
05/04/2020	2b	Production Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
06/08/2020	2a	Industry Members and CAT Reporting Agents must complete production readiness testing for 2a reporting Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
06/22/2020	2a	Production Go-Live for Equities 2a file submission and data integrity validations Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
06/30/2020	2d	Technical Specifications	Specifications & User Guide	<ul style="list-style-type: none"> • Developers

Date	Phase	Information	Category	Audience
		Published for Options Phase 2d		<ul style="list-style-type: none"> • Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		B. Reporting Requirements		
07/06/2020	2b	Industry Members and CAT Reporting Agents must complete production readiness testing for 2b reporting Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
07/20/2020	2b	Production Go-Live for Options 2b file submission and data integrity validations Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
07/20/2020	2b	Industry Members are required to begin reporting Quote Sent Time on OMM quotes	Release Availability & Compliance	<ul style="list-style-type: none"> • Industry Members
07/27/2020	2a	Production	Release Availability & Compliance	

Date	Phase	Information	Category	Audience
		Environment Go-Live for Equities 2a Intrafirm Linkage validations		<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 2 - Intrafirm Linkage		
07/27/2020	2a	Test Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 3 - Interfirm Linkage		
07/27/2020	2b	Test Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Release 3 - Interfirm Linkage		
08/10/2020	2a	Production Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 3 - Interfirm Linkage		
08/10/2020	2b	Production Environment opens for Firm to Firm Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Release 3 - Interfirm Linkage		
08/17/2020	2a	Equities ONLY- Report Card	Release Availability & Compliance	<ul style="list-style-type: none"> • Large

Date	Phase	Information Availability	Category	Audience
				Industry Members • Small OATS Reporters
08/24/2020	2b	Production Environment Go-Live for Options 2b Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Release Availability & Compliance	• Large Industry Members
08/24/2020	2c	LTID Account Information Testing Environment Opens Topics Q. Customer and Account Information	Testing & Readiness	• Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
09/09/2020	2a	Test Environment opens for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	• Large Industry Members • Small OATS Reporters
09/09/2020	2b	Test Environment opens for Options 2b Exchange	Testing & Readiness	• Large Industry

Date	Phase	Information	Category	Audience
		Linkage validations		Members
		Release 4 - TRF/Exchange Linkage		
09/15/2020	2b	Equities AND Options- Report Card Availability	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
09/28/2020	2a	Production Environment opens for Equities 2a Exchange and TRF Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 4 - TRF/Exchange Linkage		
09/28/2020	2b	Production Environment opens for Options 2b Exchange Linkage validations	Testing & Readiness	<ul style="list-style-type: none"> • Large Industry Members
		Release 4 - TRF/Exchange Linkage		
10/26/2020	2a	Production Environment Go- Live for Firm to Firm Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 3 - Interfirm Linkage		
10/26/2020	2a	Production	Release Availability & Compliance	

Date	Phase	Information	Category	Audience
		Environment Go-Live for Equities 2a Exchange and TRF Linkage validations		<ul style="list-style-type: none"> • Large Industry Members • Small OATS Reporters
		Release 4 - TRF/Exchange Linkage		
12/14/2020	2c	LTID Account Information Reporting Production Environment Opens	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account Information		
01/04/2021	2b	Production Environment Go-Live for Firm to Firm Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
		Release 3 - Interfirm Linkage		
01/04/2021	2b	Production Environment Go-Live for Options 2b Exchange Linkage validations	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members
		Release 4 - TRF/Exchange		

Date	Phase	Information Linkage	Category	Audience
01/25/2021	2c	Test Environment Opens for Equities Phase 2c reporting requirements	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
01/29/2021	2e	Full CAIS Final Technical Specification Published	Specifications & User Guide	<ul style="list-style-type: none"> • Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account Information		
04/09/2021	2c	Deadline to Request Production Readiness Certification for CAIS (account information related to LTIDs)	Registration & Onboarding	<ul style="list-style-type: none"> • Industry Members • Service Bureaus
		Topics		
		Q. Customer and Account Information		
04/26/2021	2c	Production Go-Live & Compliance	Release Availability	

Date	Phase	Information for Equities 2c reporting requirements	Category	Audience
				<ul style="list-style-type: none"> • Large Industry Members
04/26/2021	2c	LTID Account Information Reporting Go-Live for Phases 2a, 2b and 2c (Large Industry Members) Topics Q. Customer and Account Information	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Large Industry Members • Plan Participants/Other Regulators • Service Bureaus
06/28/2021	2d	Test Environment Opens for Options Phase 2d reporting requirements	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
11/29/2021	2a/2b/2c/2d	Small Industry Members and their CAT Reporting Agents must complete production readiness testing for 2a, 2b, 2c and 2d reporting	Testing & Readiness	<ul style="list-style-type: none"> • Small Non-OATS Reporters
12/13/2021	2d	Production Go-Live for Phase 2d reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Large Industry Members

Date	Phase	Information	Category	Audience
12/13/2021	2a	Small Firms: Production Go-Live for Equities 2a reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small Non-OATS Reporters
12/13/2021	2b	Small Firms: Production Go-Live for Options 2b reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small OATS Reporters • Small Non-OATS Reporters
12/13/2021	2c	Small Firms: Production Go-Live for Equities 2c reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small OATS Reporters • Small Non-OATS Reporters
12/13/2021	2d	Small Firms: Production Go-Live for Options 2d reporting requirements	Release Availability & Compliance	<ul style="list-style-type: none"> • Small OATS Reporters • Small Non-OATS Reporters
12/13/2021	2d	LTID Account Information Reporting Go-Live for Phase 2d (Large Industry Members)	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Large Industry Members • Plan Participants/Other Regulators • Service Bureaus
		Topics		
		Q. Customer and Account		

Date	Phase	Information Information	Category	Audience
12/13/2021	2d	LTID Account Information Reporting Go-Live for Phases 2a, 2b, 2c and 2d (Small Industry Members) Topics Q. Customer and Account Information	Release Availability & Compliance	<ul style="list-style-type: none"> • Developers • Small OATS Reporters • Small Non-OATS Reporters • Plan Participants/Other Regulators • Service Bureaus
01/31/2022	2e	Customer and Account Information - Test Environment Opens Topics Q. Customer and Account Information	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members
04/25/2022	2e	Customer and Account Information -	Testing & Readiness	<ul style="list-style-type: none"> • Industry Members

Date	Phase	Information Production Environment Opens	Category	Audience
		Topics		
		Q. Customer and Account Information		
07/25/2022	2e	Deadline to Request Production Readiness Certification for Full CAIS	Registration & Onboarding	<ul style="list-style-type: none"> Industry Members
		Topics		
		Q. Customer and Account Information		
08/15/2022	2e	First Day of Interim Reporting Obligation 1	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
09/15/2022	2e	Last Day of Interim Reporting Obligation 1	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
10/10/2022	2e	First Day of Interim	Testing & Readiness	

Date	Phase	Information Reporting Obligation 2	Category	Audience
				<ul style="list-style-type: none"> Industry Members
10/31/2022	2e	Last Day of Interim Reporting Obligation 2	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
11/07/2022	2e	Last Day for Interim Reporting Obligation 3	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
05/24/2024	2e	Last Day for Interim Reporting Obligation 4	Testing & Readiness	<ul style="list-style-type: none"> Industry Members
05/31/2024	2e	Customer and Account Information - Compliance Go-Live	Release Availability & Compliance	<ul style="list-style-type: none"> Industry Members
		Topics		
		Q. Customer and Account Information		