Print Current View

Date 10/15/2019	Phase 2a	Information Private Line available for network testing (BT Radianz and Century Link) Release 1 - File Submission and Data Integrity Validations	Category Connectivity	 Audience Large Industry Members Small OATS Reporters
		Topics <u>O. Technical</u> <u>Requirements</u>		
10/15/2019	2a	Publication of IMID/IMID Conflicts and Issue Sample List Release 1 - File	Release Availability & Compliance	 Large Industry Members Small OATS Reporters
10/15/2019	2b	Submission and Data Integrity Validations Private Line available for	Connectivity	• Large

Date	Phase	Information Category Audience
		network testing (BT Industry Radianz and Members Century Link)
		Release 1 - File Submission and Data Integrity Validations
		Topics
		<u>O. Technical</u> <u>Requirements</u>
10/15/2019	2b	Release Availability Publication of & Compliance IMID/IMID Conflicts and Issue Sample List
		Release 1 - File Submission and Data Integrity Validations
11/01/2019	2a	Registration & Onboarding Guide Onboarding Update to include • Large Multi-Factor Industry Authentication • Small OATS
		Release 1 - File Reporters Submission and Data Integrity Validations
11/01/2019	2b	Registration &Onboarding GuideOnboardingUpdate to include• LargeMulti-FactorIndustryAuthenticationMembers
		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 Release 1 - File Submission and Data Integrity Validations	Connectivity	 Large Industry Members Small OATS Reporters
11/04/2019		Plan Participant UAT begins for Industry Test Release 1.1 (November 18 functionality) and Reference Data Release	Testing & Readiness	 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	 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	 Large Industry Members

Date	Phase	Information Release 1 - File Submission and Data Integrity Validations	Category	Audience
11/04/2019	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.1 (November 18 functionality)	Specifications & User Guide	 Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
11/18/2019	2a	Industry Test Release 1.1 Industry Test Release of: • CAT Reporter Portal: • CAT Rep ortin g R lation nsh ps • ATS Ord er T ype Reg stration on the strategy of the strategy o	p n de o ni S d T G gi ati (S	 Large Industry Members Small OATS Reporters
) • Reference Data: • Put	ol	

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		Data Integrity	nu	
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		Validationo		
11/18/2019	2b		Testing &	
		Industry Test	Readiness	
		Release 1.1		 Large
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		Submission a	Ind	
		Data Integrity Validations		
		Validations		
11/25/2019)		Testing &	
		Plan Participa		
		UAT begins f		 Large
		Industry Test		Industry
		Release 1.2	0	Members
		(December 1) functionality)	0	Small OATS Reporters
		initionality)		ivehouers
		Release 1 - F	ïle	
		Submission a		
		Data Integrity		
		Validations		

Date 12/02/2019	Phase 2a	Information	Category Specifications &	Audience
		CAT Reporter Portal User Guide Published for Industry Test Release 1.2 (December 16 functionality)	User Guide	 Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
12/02/2019	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.2 (December 16 functionality)	Specifications & User Guide	 Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
12/16/2019	2a	Test Environment opens for file submission and data integrity validations	Testing & Readiness	 Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		Reporters
12/16/2019	2b	Test Environment opens for file submission and data integrity validations	Testing & Readiness	 Large Industry Members
		Release 1 - File Submission and		

Date	Phase	Information Data Integrity Validations	Category	Audience
12/16/2019	2a	Industry Test Release 1.2 Industry Test Release of: • Machine File and Data Integrity Validation & Feedba • CAT Reporter Portal Ba Reporting Statistics and Man File Uplo	ns ack asic g s ual	 Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
12/16/2019	2b	Industry Test Release 1.2 Industry Test Release of: • Machine File and Data Integrity Validation & Feedba • CAT Reporter Portal Ba Reporting	ns ack asic	• Large Industry Members

Date	Phase	Information Statistics and Manua File Upload		Audience
		Release 1 - File Submission and Data Integrity Validations		
12/31/2019	2a	Test Environment Opens	Testing & Readiness	 Large Industry
		Release 1 - File Submission and Data Integrity Validations		Members Small OATS Reporters
12/31/2019	2b	Test Environment Opens	Testing & Readiness	 Large Industry
		Release 1 - File Submission and Data Integrity Validations		Members
01/03/2020	2a	Connectivity Supplement updated to include AWS PrivateLink information	Connectivity	 Large Industry Members Small OATS Perpertore
		Release 1 - File Submission and Data Integrity Validations		Reporters
01/03/2020	2b	Connectivity Supplement updated to include AWS PrivateLink information	Connectivity	 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	 Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations		
01/27/2020	2b	AWS PrivateLink available for 2a/2b machine-to- machine file submission and CAT Reporter Portal	Connectivity	 Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
01/31/2020	2c	Technical Specifications Published for Equities Phase 2c	Specifications & User Guide	 Developers Industry Members Plan Partici pants/Other Regulators Service Bureaus
01/31/2020	2e	LTID Technical Specification Published	Specifications & User Guide	 Industry Members

Date	Phase	Information	Category	Audience
		Topics		
		<u>Q. Customer and</u> <u>Account</u> <u>Information</u>		
02/03/2020		Plan Participant UAT begins for February Industry Test Release	Testing & Readiness	 Large Industry Members Small OATS
		Release 1 - File Submission and Data Integrity Validations		Reporters
02/10/2020	2a	CAT Reporter Portal User Guide Published for February Release		 Large Industry Members Small OATS
		Release 1 - File Submission and Data Integrity Validations		Reporters
02/10/2020	2b	CAT Reporter Portal User Guide Published for February Release		 Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
02/24/2020	2a	Industry Test Release 1.3	Testing & Readiness	 Large Industry
		Industry Test		Members

Date	Phase	Information	Category	Audience
		Release of:		Small OATS
		• CAT		Reporters
		Reporter		
		Portal Erro	or	
		Correction		
		and		
		Feedback		
		Release 1 - File		
		Submission and		
		Data Integrity		
		Validations		
02/24/2020	2b		Testing &	
	-	Industry Test	Readiness	
		Release 1.3		 Large
				Industry
		Industry Test		Members
		Release of:		
		• CAT		
		Reporter		
		Portal Erro	or	
		Correction		
		and		
		Feedback		
		Release 1 - File		
		Submission and		
		Data Integrity Validations		
		Vandationio		
03/11/2020	2a	-	Specifications &	
		CAT Reporter	User Guide	
		Portal User Guide		Large
		Published for		Industry
		Industry Test	^b	Members Small OATS
		Release 1.4 (Marc 23 functionality)	,11	Reporters
		Release 1 - File		
		Submission and		
		Data Integrity		
		Validations		
03/11/2020	2b		Specifications &	

Date	Phase	Information Category CAT Reporter User Guide Portal User Guide Published for Industry Test Release 1.4 (March 23 functionality) Release 1 - File Submission and Data Integrity Validations	Audience • Large Industry Members
03/23/2020	2a	Industry Test Release 1.4Testing & ReadinessIndustry Test Release of:-• CAT Reporter Portal Anno uncements & System Status	• Industry Members
03/23/2020	2b	Release 1 - File Submission and Data Integrity Validations Testing & Readiness	
		Release 1.4 Industry Test Release of: • CAT Reporter Portal Anno uncements & System Status	• Industry Members
		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	 Large Industry Members Small OATS Reporters
04/13/2020	2b	Production Environment Opens for Production Readiness	Testing & Readiness	 Industry Members
		Release 1 - File Submission and Data Integrity Validations		
04/20/2020	2a		Testing & Readiness	 Large Industry Members Small OATS
		Release 2 - Intrafirm Linkage		Reporters
04/20/2020	2b		Testing & Readiness	 Large Industry Members
		Release 2 - Intrafirm Linkage		
04/20/2020	2b		Testing & Readiness	 Industry Members

Date 05/04/2020	Phase 2a	Information Category Testing &	Audience
		Production Readiness Environment opens for Intrafirm Linkage validations	 Large Industry Members Small OATS Reporters
		Release 2 - Intrafirm Linkage	
05/04/2020	2b	Testing & Production Readiness Environment opens for Intrafirm Linkage validations	 Large Industry Members
		Release 2 - Intrafirm Linkage	
06/08/2020	2a	Testing & Industry Members Readiness and CAT Reporting Agents must complete production readiness testing for 2a reporting	 Large Industry Members Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations	
06/22/2020	2a	Release Availabi Production Go-Live & Compliance for Equities 2a file submission and data integrity validations	lity • Large Industry Members • Small OATS Reporters
		Release 1 - File Submission and Data Integrity Validations	
06/30/2020	2d	Specifications & Technical User Guide Specifications	 Developers

Date	Phase	Information	Category	Audience
		Published for Options Phase 2d		 Industry Members Plan Partici pants/Other Regulators
		Topics		 Service Bureaus
		<u>B. Reporting</u> <u>Requirements</u>		
07/06/2020	2b		Testing & Readiness	 Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
07/20/2020	2b	Production Go-Live for Options 2b file submission and data integrity validations	Release Availability & Compliance	 Large Industry Members
		Release 1 - File Submission and Data Integrity Validations		
07/20/2020	2b		Release Availability & Compliance	 Industry Members
07/27/2020	2a		Release Availability & Compliance	/

Date	Phase	Information Category Environment Go- Live for Equities 2a Intrafirm Linkage validations Release 2 -	Audience • Large Industry Members • Small OATS Reporters
07/27/2020	2a	Intrafirm Linkage Test Environment opens for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	 Large Industry Members Small OATS Reporters
07/27/2020	2b	Testing & Test Environment Readiness opens for Firm to Firm Linkage validations	 Large Industry Members
		Release 3 - Interfirm Linkage	
08/10/2020	2a	Testing & Production Readiness Environment opens for Firm to Firm Linkage validations	 Large Industry Members Small OATS Reporters
		Release 3 - Interfirm Linkage	Reporters
08/10/2020	2b	Testing & Production Readiness Environment opens for Firm to Firm Linkage validations	 Large Industry Members
		Release 3 - Interfirm Linkage	
08/17/2020	2a	Release Ava Equities ONLY- & Compliand Report Card	-

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

Date	Phase	Information Linkage validations	Category	Audience Members
		Release 4 - TRF/Exchange Linkage		
09/15/2020	2b		Release Availability & Compliance	 Large Industry Members
09/28/2020	2a		Testing & Readiness	 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	 Large Industry Members
		Release 4 - TRF/Exchange Linkage		
10/26/2020	2a		Release Availability & Compliance	 Large Industry Members Small OATS
		Release 3 - Interfirm Linkage		Reporters
10/26/2020	2a		Release Availability & Compliance	/

Date	Phase	Information Category Environment Go- Live for Equities 2a Exchange and TRF Linkage validations	Audience • Large Industry Members • Small OATS Reporters
		Release 4 - TRF/Exchange Linkage	
12/14/2020	2c	Release Availability LTID Account & Compliance Information Reporting Production Environment Opens	 Developers Industry Members Plan Partici pants/Other Regulators Service Bureaus
		Topics	Dureaus
		Q. Customer and Account Information	
01/04/2021	2b	Release Availability Production & Compliance Environment Go- Live for Firm to Firm Linkage validations	y • Large Industry Members
		Release 3 - Interfirm Linkage	
01/04/2021	2b	Release Availability Production & Compliance Environment Go- Live for Options 2b Exchange Linkage validations	y • 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		 Industry Members
01/29/2021	2e	Full CAIS Final Technical Specification Published Topics Q. Customer and	Specifications & User Guide	 Developers Industry Members Plan Partici pants/Other Regulators Service Bureaus
04/09/2021	2c	Account Information Deadline to	Registration & Onboarding	
		Request Production Readiness Certification for CAIS (account information related to LTIDs)		 Industry Members Service Bureaus
		Topics		
		Q. Customer and Account Information		

2c

Date	Phase	Information for Equities 2c reporting requirements	Category	Audience • Large Industry Members
04/26/2021	2c	LTID Account Information Reporting Go-Live for Phases 2a, 2b and 2c (Large Industry Members)	Release Availability & Compliance	 Developers Large Industry Members Plan Partici pants/Other Regulators Service
		Topics		Bureaus
		Q. Customer and Account Information		
06/28/2021	2d	Test Environment Opens for Options Phase 2d reporting requirements	Testing & Readiness	 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	• Small Non- OATS Reporters
12/13/2021	2d	Production Go-Live for Phase 2d reporting requirements	Release Availability & Compliance	 Large Industry Members

Date 12/13/2021	Phase 2a	Information Category Audienc Release Availability Small Firms: & Compliance	e
		Production Go-Live• Sfor Equities 2a0	small Non- DATS Reporters
12/13/2021	2b	for Options 2bFreporting• SrequirementsC	Small OATS Reporters Small Non- DATS Reporters
12/13/2021	2c	for Equities 2cFreporting• SrequirementsC	Small OATS Reporters Small Non- DATS Reporters
12/13/2021	2d	for Options 2dFreporting• SrequirementsC	Small OATS Reporters Small Non- DATS Reporters
12/13/2021	2d	Reporting Go-Live• Lfor Phase 2d (LargeIIIndustry Members)M• FPFF	Developers arge ndustry Members Plan Partici ants/Other Regulators
			service Sureaus
		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	Release Availability & Compliance	 Developers Small OATS Reporters Small Non- OATS Reporters Plan Partici pants/Other Regulators Service Bureaus
		Q. Customer and Account Information		
01/31/2022	2e	Customer and Account Information - Test Environment Open	Testing & Readiness s	 Industry Members
		Topics		
		<u>Q. Customer and</u> <u>Account</u> <u>Information</u>		
04/25/2022	2e	Customer and Account Information -	Testing & Readiness	 Industry Members

Date	Phase	Information	Catagory	Audience	
Dale	FIIdSe	Production	Category	Audience	
		Environment Opens			
		Topics			
		Q. Customer an			
		Account			
		Information			
07/25/2022	2e		Registration &		
		Deadline to	Onboarding		
		Request Produc	tion	Industry	
		Readiness Certification for	Full	Members	
		CAIS			
		Topics			
		Q. Customer an	d		
		Account	_		
		Information			
08/15/2022	2e		Testing &		
00/15/2022	26	First Day of Inte			
		Reporting		 Industry 	
		Obligation 1		Members	
09/15/2022	2e		Testing &		
		Last Day of Inte Reporting	rim Readiness	 Industry 	
		Obligation 1		Members	
		-			
10/10/2022	2e		Testing &		
,, 		First Day of Inte			
		-			

Date	Phase	Information	Category	Audience
		Reporting Obligation 2		 Industry Members
10/31/2022	2e	Last Day of Interim Reporting Obligation 2	Testing & Readiness	 Industry Members
11/07/2022	2e	Last Day for Interim Reporting Obligation 3	Testing & nReadiness	 Industry Members
05/24/2024	2e	Last Day for Interim Reporting Obligation 4	Testing & nReadiness	 Industry Members
05/31/2024	2e	Customer and Account Information - Compliance Go- Live	Release Availability & Compliance	 Industry Members
		Topics		
		<u>Q. Customer and</u> <u>Account</u> <u>Information</u>		