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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	• Large Industry Members • Small OATS Reporters
10/15/2019	2b	Publication of IMID/IMID Conflicts and Issue Sample List Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	• Large Industry Members
10/15/2019	2b	Private Line available for	Connectivity	• Large

Date	Phase	Information	Category	Audience
		network testing (BT Radianz and Century Link) Release 1 - File Submission and Data Integrity Validations Topics O. Technical Requirements		Industry Members
10/15/2019	2a	Publication of IMID/IMID Conflicts and Issue Sample List Release 1 - File Submission and Data Integrity Validations	Release Availability & Compliance	• Large Industry Members • Small OATS Reporters
11/01/2019	2a	Onboarding Guide Update to include Multi-Factor Authentication Release 1 - File Submission and Data Integrity Validations	Registration & Onboarding	• Large Industry Members • Small OATS Reporters
11/01/2019	2b	Onboarding Guide Update to include Multi-Factor Authentication Release 1 - File	Registration & Onboarding	• Large Industry Members

Date	Phase	Information	Category	Audience
		Submission and Data Integrity Validations		
11/04/2019	2a	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	• 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 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Large Industry Members • Small OATS Reporters
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	2b	CAT Reporter Portal User Guide Published for Industry Test	Specifications & User Guide	• Large Industry Members

Date	**Phase**	Information	**Category**	**Audience**
		Release 1.1 (November 18 functionality) Release 1 - File Submission and Data Integrity Validations		
11/04/2019	2b	CAT Secure Reporting Gateway available for network testing Release 1 - File Submission and Data Integrity Validations	Connectivity	• Large Industry Members
11/18/2019	2a	Industry Test Release 1.1 Industry Test Release of: • CAT Reporter Portal: ◦ CAT Reporting Relationships ◦ ATS Order Type Registration (ATS Only) • Reference Data:	Testing & Readiness	• Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
		◦ Publication 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: • CAT Reporter Portal: ◦ CAT Reporting Relationships ◦ ATS Order T	Testing & Readiness	• Large Industry Members

Date	Phase	Information	Category	Audience
		ype 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	Testing & Readiness	• Large Industry Members • Small OATS Reporters

Date	**Phase**	Information Validations	**Category**	**Audience**
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	• Large Industry Members
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	• Large Industry Members • Small OATS Reporters
12/16/2019	2a	Industry Test Release 1.2 Industry Test Release of: • Machine-to-Machine File and Data Integrity Validations & Feedback • CAT Reporter Portal Basic Reporting Statistics	Testing & Readiness	• Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
		and Manual File Upload		
		Release 1 - File Submission and Data Integrity Validations		
12/16/2019	2a	Test Environment opens for file submission and data integrity validations Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• 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 Data Integrity Validations	Testing & Readiness	• Large Industry Members
12/16/2019	2b	Industry Test Release 1.2 Industry Test Release of: • Machine-to-Machine File and Data Integrity Validations & Feedback • CAT Reporter	Testing & Readiness	• Large Industry Members

Date	Phase	Information	Category	Audience
		Portal Basic Reporting Statistics and Manual File Upload		
		Release 1 - File Submission and Data Integrity Validations		
12/31/2019	2a	Test Environment Opens Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Large Industry Members • Small OATS Reporters
12/31/2019	2b	Test Environment Opens Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Large Industry Members
01/03/2020	2b	Connectivity Supplement updated to include AWS PrivateLink information Release 1 - File Submission and Data Integrity Validations	Connectivity	• Large Industry Members
01/03/2020	2a	Connectivity Supplement updated to include AWS PrivateLink information	Connectivity	• Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
		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 Release 1 - File Submission and Data Integrity Validations	Connectivity	• Large Industry Members
01/27/2020	2a	AWS PrivateLink available for 2a/2b machine-to-machine file submission and CAT Reporter Portal Release 1 - File Submission and Data Integrity Validations	Connectivity	• Large Industry Members • Small OATS Reporters
01/31/2020	2c	Technical Specifications Published for Equities Phase 2c	Specifications & User Guide	• Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
01/31/2020	2e	LTID Technical Specification Published	Specifications & User Guide	• 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 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Large Industry Members • Small OATS Reporters
02/10/2020	2a	CAT Reporter Portal User Guide Published for February Release Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	• Large Industry Members • Small OATS Reporters
02/10/2020	2b	CAT Reporter Portal User Guide Published for February Release Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	• Large Industry Members
02/24/2020	2b	Industry Test Release 1.3	Testing & Readiness	• Large Industry

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

Date	Phase	Information	Category	Audience
03/11/2020	2b	CAT Reporter Portal User Guide Published for Industry Test Release 1.4 (March 23 functionality) Release 1 - File Submission and Data Integrity Validations	Specifications & User Guide	• Large Industry Members
03/23/2020	2b	Industry Test Release 1.4 Industry Test Release of: • CAT Reporter Portal Announcements & System Status Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Industry Members
03/23/2020	2a	Industry Test Release 1.4 Industry Test Release of: • CAT Reporter Portal Announcements & System Status Release 1 - File	Testing & Readiness	• Industry Members

Date	Phase	Information	Category	Audience
		Submission and Data Integrity Validations		
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 Release 1 - File Submission and Data Integrity Validations	Testing & Readiness	• Industry Members
04/20/2020	2b	Test Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	• Large Industry Members
04/20/2020	2b	Industry Members are permitted to begin reporting Quote Sent Time on OMM quotes	Testing & Readiness	• Industry Members
04/20/2020	2a	Test Environment opens for Intrafirm Linkage validations Release 2 -	Testing & Readiness	• Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
		Intrafirm Linkage		
05/04/2020	2a	Production Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	• Large Industry Members • Small OATS Reporters
05/04/2020	2b	Production Environment opens for Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Testing & Readiness	• 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	• 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	• Large Industry Members • Small OATS Reporters
06/30/2020	2d		Specifications &	

Date	Phase	Information	Category	Audience
		Technical Specifications Published for Options Phase 2d Topics B. Reporting Requirements	User Guide	• Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
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	• Large Industry Members
07/20/2020	2b	Industry Members are required to begin reporting Quote Sent Time on OMM quotes	Release Availability & Compliance	• 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	• Large Industry Members

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

Date	Phase	Information	Category	Audience
		Equities ONLY- Report Card Availability	& Compliance	• Large Industry Members • Small OATS Reporters
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
08/24/2020	2b	Production Environment Go-Live for Options 2b Intrafirm Linkage validations Release 2 - Intrafirm Linkage	Release Availability & Compliance	• Large Industry Members
09/09/2020	2b	Test Environment opens for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	• Large Industry Members
09/09/2020	2a	Test Environment opens for Equities	Testing & Readiness	• Large

Date	Phase	Information	Category	Audience
		2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage		Industry Members • Small OATS Reporters
09/15/2020	2b	Equities AND Options- Report Card Availability	Release Availability & Compliance	• Large Industry Members
09/28/2020	2a	Production Environment opens for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	• Large Industry Members • Small OATS Reporters
09/28/2020	2b	Production Environment opens for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange Linkage	Testing & Readiness	• Large Industry Members
10/26/2020	2a	Production Environment Go-Live for Equities 2a Exchange and TRF Linkage validations Release 4 - TRF/Exchange Linkage	Release Availability & Compliance	• Large Industry Members • Small OATS Reporters

Date	Phase	Information	Category	Audience
10/26/2020	2a	Production Environment Go-Live for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Release Availability & Compliance	• Large Industry Members • Small OATS Reporters
12/14/2020	2c	LTID Account Information Reporting Production Environment Opens Topics Q. Customer and Account Information	Release Availability & Compliance	• Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
01/04/2021	2b	Production Environment Go-Live for Firm to Firm Linkage validations Release 3 - Interfirm Linkage	Release Availability & Compliance	• Large Industry Members
01/04/2021	2b	Production Environment Go-Live for Options 2b Exchange Linkage validations Release 4 - TRF/Exchange	Release Availability & Compliance	• Large Industry Members

Date	Phase	Information Linkage	Category	Audience
01/25/2021	2c	Test Environment Opens for Equities Phase 2c reporting requirements	Testing & Readiness	• Industry Members
01/29/2021	2e	Full CAIS Final Technical Specification Published Topics Q. Customer and Account Information	Specifications & User Guide	• Developers • Industry Members • Plan Participants/Other Regulators • Service Bureaus
04/09/2021	2c	Deadline to Request Production Readiness Certification for CAIS (account information related to LTIDs) Topics Q. Customer and Account Information	Registration & Onboarding	• Industry Members • Service Bureaus
04/26/2021	2c	Production Go-Live	Release Availability & Compliance	

Date	Phase	Information	Category	Audience
		for Equities 2c reporting requirements		• 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	• 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	• 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	2c	Small Firms: Production Go-Live for Equities 2c reporting requirements	Release Availability & Compliance	• Small OATS Reporters • Small Non-OATS

Date	Phase	Information	Category	Audience
				Reporters
12/13/2021	2d	Small Firms: Production Go-Live for Options 2d reporting requirements	Release Availability & Compliance	• Small OATS Reporters • Small Non-OATS Reporters
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	• Developers • Small OATS Reporters • Small Non-OATS Reporters • Plan Participants/Other Regulators • Service Bureaus
12/13/2021	2d	LTID Account Information Reporting Go-Live for Phase 2d (Large Industry Members) Topics Q. Customer and Account Information	Release Availability & Compliance	• Developers • Large Industry Members • Plan Participants/Other Regulators • Service Bureaus

Date	Phase	Information	Category	Audience
12/13/2021	2a	Small Firms: Production Go-Live for Equities 2a reporting requirements	Release Availability & Compliance	• Small Non-OATS Reporters
12/13/2021	2d	Production Go-Live for Phase 2d reporting requirements	Release Availability & Compliance	• Large Industry Members
12/13/2021	2b	Small Firms: Production Go-Live for Options 2b reporting requirements	Release Availability & Compliance	• Small OATS Reporters • Small Non-OATS Reporters
01/31/2022	2e	Customer and Account Information - Test Environment Opens Topics Q. Customer and Account Information	Testing & Readiness	• Industry Members
04/25/2022	2e	Customer and Account Information -	Testing & Readiness	• Industry Members

Date	Phase	Information	Category	Audience
		Production Environment Opens		
		Topics Q. Customer and Account Information		
07/25/2022	2e	Deadline to Request Production Readiness Certification for Full CAIS	Registration & Onboarding	• Industry Members
		Topics Q. Customer and Account Information		
08/15/2022	2e	First Day of Interim Reporting Obligation 1	Testing & Readiness	• Industry Members
09/15/2022	2e	Last Day of Interim Reporting Obligation 1	Testing & Readiness	• Industry Members
10/10/2022	2e	First Day of Interim	Testing & Readiness	

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 & Readiness	• Industry Members
05/24/2024	2e	Last Day for Interim Reporting Obligation 4	Testing & Readiness	• Industry Members
05/31/2024	2e	Customer and Account Information - Compliance Go-Live	Release Availability & Compliance	• Industry Members
		Topics		
		Q. Customer and Account Information		