SIFMA Industry Checkpoint

August 23, 2022

Agenda

- About FINRA CAT SIFMA Test
- Upcoming Key Events
- Takeaway
- Q&A

ABOUT CAT SIFMA Test

FINRA CAT, along with selected CAT Reporters, will participate in the 2022 SIFMA test in similar fashion to its participation in the 2021 SIFMA test. For the 2022 test FINRA CAT plans to use its Enhanced Disaster Recovery environment (EDR) in AWS East-2 Region.

▸ This annual test will occur on Saturday 10/15/2022 (8AM to 2PM EST).

▸ FINRA CAT will conduct this test out of its EDR region and will utilize the Production Mirror ("Prod Mirror") environment in that region. (*Please utilize the connectivity guides for additional network connectivity configurations*).

▸ CAT submitters are encouraged to test their network connectivity to this new region beginning 9/24/2022 and complete this pre-test on or before 10/15/2022.

▸ This test will require both CAIS (LTID or Full CAIS*) and Transaction submissions.

▸ This test will only validate ingestion and provide ingestion feedback (***Note***: *No linkage feedback process will be executed*).

▸ Selected CAT Reporters have been notified and will receive additional instructions and test scripts.

▸ FINRA CAT will host a SIFMA Test meeting with selected submitters on Tuesday 10/11/22 (*meeting invite will be distributed in September 2022*).

* Dependent on selected Industry Member's existing submissions in Production

Submission Patterns

Plan Participants

- Machine to Machine submission

10/11/22 Production data → Submitted on → **10/15/22 Test date**

★ Recommended submission time for PP's 8AM-10AM

IM Transaction Submitters

- SFTP submission
- Web File Upload
- Web Manual Entry (minimum of five order events)

10/11/22 Production data → Submitted on → **10/15/22 Test date**

★ Recommended submission time for IM's 10AM-2PM

IM CAIS Submitters

- SFTP submission
- Web File Upload
- Web Manual Entry (minimum of five update events)

10/11/22 Production data → Submitted on → **10/15/22 Test date**
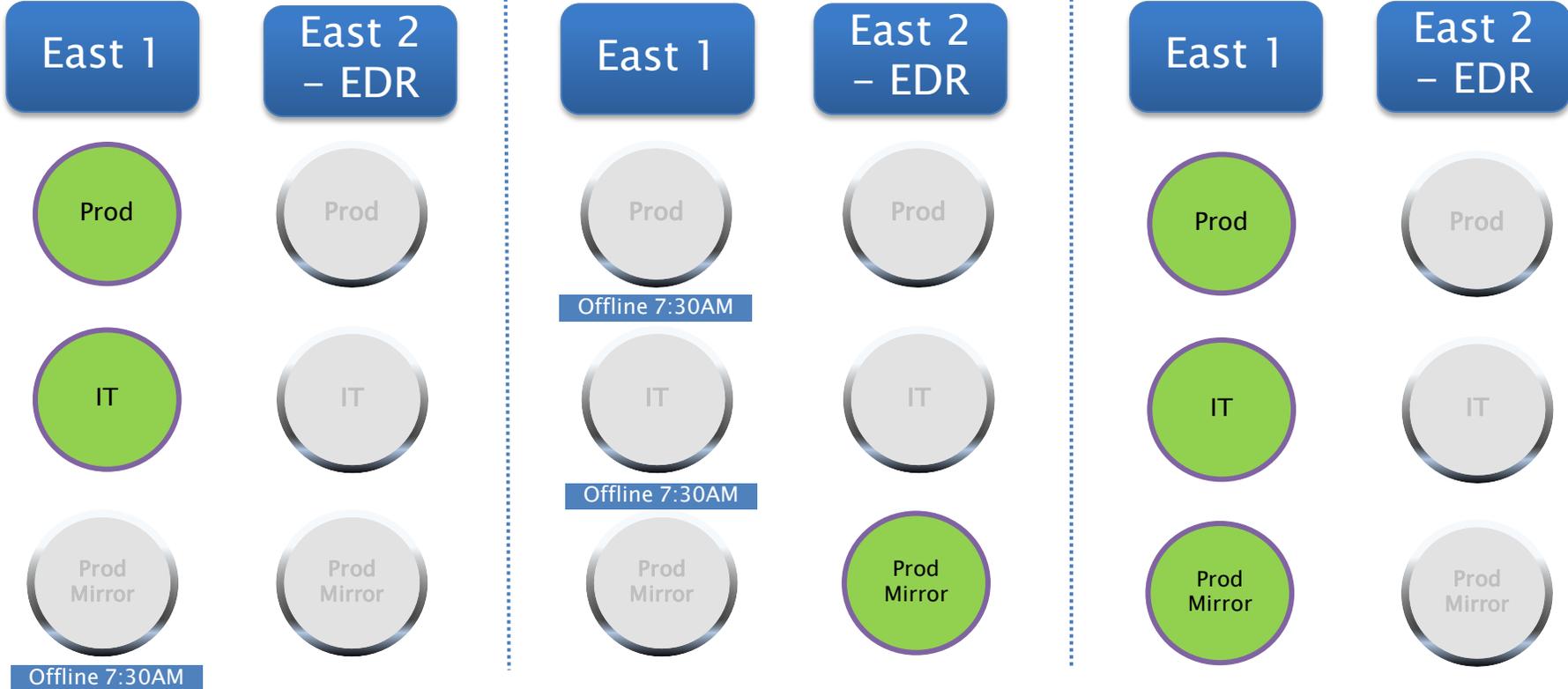
Action Items

Important Notice	FINRA CAT requires each Industry Member and CRA to utilize the appropriate connectivity methods (Private Line, 3rd Party Extranet, or AWS PrivateLink). CAT reporters are invited to check that their packages are up to date, particularly if they are having problems with PrivateLink or intend to utilize new scripts. They must test connecting to the CAT System for each interface method that will be used to report to CAT and/or retrieve associated feedback. The FINRA CAT Help Desk should be contacted for support, to initiate a request, and for any changes to connectivity methods.
Ping Test URLs	See Section 4.2 (Tables 6 and 7) of the FINRA CAT Industry Member Connectivity Supplement

Submission Location Summary

Connectivity Type	
Industry Member Portal	•SRG: https://srg.prodmirror.ct.dr.catnms.com/ •Private Line: https://reporterportal.prodmirror.ct.dr.catnms.com/ •AWS Private Link: https://reporterportal-pl.prodmirror.ct.dr.catnms.com/
CAIS Portal	•Private Line: https://reporterportal.prodmirror.ct.cais.dr.catnms.com •AWS Private Link: https://reporterportalpl.prodmirror.ct.cais.dr.catnms.com
SFTP Industry Members	•Private Line : sftp.prodmirror.ct.dr.catnms.com •AWS Private Link :sftp-pl.prodmirror.ct.dr.catnms.com
SFTP CAIS	•Private Line : sftp.prodmirror.ct.cais.dr.catnms.com •AWS Private Link : sftppl.prodmirror.ct.cais.dr.catnms.com

FINRA CAT Helpdesk

Questions may be directed to the FINRA CAT Helpdesk at 888-696-3348 or help@finracat.com

How to Ask a Question during Today's Call

- **For participants using computer audio:**
  - Click the "Raise Hand" button at the bottom of the participants 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.