

FINra®

Web EFT-to-API Migration Updates

May 15, 2024

Reminder – Web EFT Sunset

- Web EFT will be sunset on November 15, 2024. All currently available XML reports and batch upload functionality will be COMPLETELY RETIRED as of that date.
 - All existing XML reports and functionality will continue to be available until the sunset date.
 - Limited XML schema updates only when absolutely necessary.
- All firms wishing to continue automating registration data transfers MUST transition to using the new FINRA API platform.
 - This includes firms who may utilize a third-party vendor. After the firm onboards to the new platform, they can then create and share credentials with the vendor.
- Refer to the Web EFT sunset page on the DFO website for full roadmap and other resources: <https://developer.finra.org/webeftsunset>

Onboarding to the API Platform


- Detailed steps are provided on the DFO website, including links to screenshots:
 - <https://developer.finra.org/APICredentials>
- Summary of process:
 - SAA requests admin access to API Console in FINRA Gateway (form available at link above).
 - SAA grants “User” entitlement to API Console to themselves and others.
 - Users with console access are then able to create API credentials (including for vendors).
 - Invoices available in E-Bill a month after creating first credential.
 - Please coordinate with team/individual listed under “Firm Billing Info”.
 - For more about fees, including for affiliate firms, see FAQs at the bottom of this page:
<https://developer.finra.org/fees>
- After provisioning the first production machine-to-machine credential, access to the QA API Console can be requested by following the steps here:
 - https://developer.finra.org/docs#getting_started-api_platform_basics-qa_test_environment

Help Getting Started

- Information about authorization, headers, troubleshooting, etc.:
 - https://developer.finra.org/docs#getting_started-api_platform_basics-authorization
- Sample API call using Postman:
 - <https://developer.finra.org/UsingPostmantocalltheFINRAAPIPlatform>
- Recorded webinars for Form U4 and Composite Individual:
 - <https://developer.finra.org/webinars>
- Support FAQs:
 - <https://developer.finra.org/support>
- Explore non-registration datasets included in your subscription:
 - <https://developer.finra.org/catalog>

Suggested Use of Individual Datasets

Use Composite Individual Seed dataset for initial database population (not intended to be used regularly)

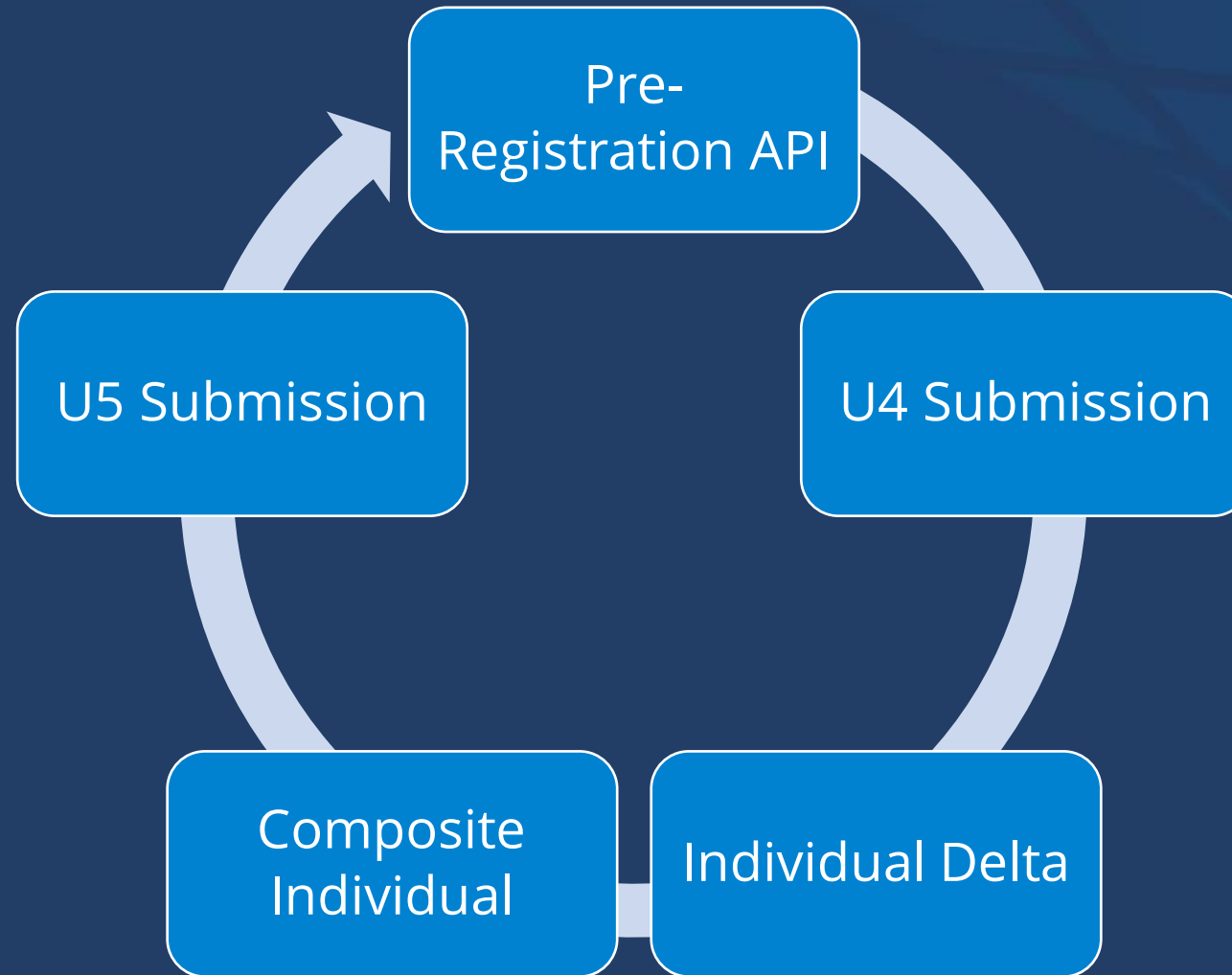


Call Individual Delta on a chosen cadence to receive a list CRD #'s who have had changes since the last call



Use the list of CRD #'s to call the Composite Individual dataset and download updates for each individual

Suggested Submission API Workflow



Recent API Developments

- **Updates to Composite Individual and Delta: Enhancements and fixes.**
 - <https://developer.finra.org/release-notes/april-19-2024-release-notes>
 - Includes switch from using "&filters=" to using "§ions=".
- **Go-Live for All Branch Endpoints: Form BR and related functionality.**
 - <https://developer.finra.org/news/announcing-launch-branch-related-api-endpoint>
 - Composite Branch Dataset (mapping provided in "eftReportAttributeName" fields)
 - Branch Delta Dataset (same concept as Individual Delta)
 - Branch List Dataset (used to get info for all branches, no branch seed file)
 - Form BR Submission (includes all filing types)
- **Updates to Branch Endpoints: Fixes to Composite Branch and Delta**
 - <https://developer.finra.org/release-notes/may-9th-2024-release-notes>

Residential Supervisory Location (RSL)

- RSL-related changes targeted for June 1, 2024:
 - In support of rules changes described in [Notice 24-02](#).
- Form U4 submission changes already available to test:
 - <https://developer.finra.org/news/residential-supervisory-location-rsl-related-updates-u4-submission-apis-available-qa-test>
- Updates to Composite Individual dataset targeted to be available in QA on or about May 13.
- Due to impending sunset, no impacts are planned for Web EFT.

API Communications

- Web EFT sunset milestones, FAQs, and previous webinar slides are posted online:
 - <https://developer.finra.org/webeftsunset>
 - For questions not already answered online: api_developer@finra.org
- Webinars are planned for the third Wednesday of each month from 1-2pm ET through November 2024.
 - Agendas and connection information will be sent monthly via broadcast email.
- Office hours will typically be held on the second and fourth Tuesdays of each month through November 2024 for technology staff to discuss development topics.
 - Exact dates and times will be included in each invitation, along with registration link.

(Continue sending XML batch questions to WebEFT.Support@finra.org.)

