

Advertising Regulation Batch Submission of Filings

For those who submit Advertising Regulation forms to FINRA utilizing the batch submission capabilities should be aware of a change to the FINRA batch submission systems. FINRA has announced a new centralized secure file transfer portal called fileX.

In order to ensure an easy transition for firms, FINRA has provided detailed information about the fileX platform and migration process. This information will assist Advertising Regulation batch submitters with their transition and help prepare for testing. The key features, benefits, and access details of each service can be found through hyperlinks under the *Resources* section below. The fileX platform will eventually replace all legacy file transfer methods in use today.

Required Firm Action Items

The following actions are required for file transfers related to Advertising Regulation Batch Submission of Filings:

1. Advertising Regulation batch submission users are currently using FINRA Enterprise Web Security (EWS) accounts and will be able to continue using their current credentials to connect to fileX.
2. Advertising Regulation batch submission users will need to whitelist (i.e., add as trusted Internet Protocol addresses “IPs”) the new FINRA fileX IPs to successfully connect with the FINRA servers. The new FINRA fileX IPs can be found in the fileX User Guide under the *Resources* section below. Advertising Regulation batch submission users will not need to have FINRA whitelist their IPs again unless their server addresses are changing as FINRA will be carrying over existing whitelists.
3. Update scripts or configurations¹ that drive the existing SFTP transfers with:
 - a. New Hostname/IP can be found in the User Guide listed below.
 - b. Drop off/pick up directories:

Application Name	Application Sub-Spaces ²	Allowed Actions	File Retention Duration
Advertising Regulation Batch Submission	{orgId}/adv/in	UPLOAD	Immediately moved to archive folder

¹ Or create new processes to leverage the REST or direct AWS S3 copy capability. Additional details regarding the various services fileX offers can be found in the linked User Guide.

² All accounts with access to Advertising Regulation Batch Submission of Filings will have access to view all file submissions and responses for their firm.

	{orgid}/adv/out	DOWNLOAD	30 Days
	{orgid}/adv/in_arcv	DOWNLOAD	30 Days

The Gateway Business Application Support (GBAS) will assist with making this a successful transition and can be reached at (800) 321-6273 or by email at customersupport@finra.org.

Key fileX Migration Dates

- **May 15, 2020** – Testing with fileX is available in a QA environment.
Note: It is highly recommended to test these changes in the QA environment prior to migrating to the fileX production environment.
- **June 1, 2020** – Legacy services in the QA test environment will be retired.
- **June 1, 2020** – Date upon which the Production environment becomes available for migration.
- **June 29, 2020** - All applicable users must complete their migration to the new fileX platform ***as the legacy services will be retired by June 29, 2020.***
Note: During this transition period any submissions received via the legacy platform will return responses to both the legacy platform and fileX.

Resources

User Guide: http://www.finra.org/sites/default/files/fileX_User_Guide.pdf

FINRA Industry Page: <http://www.finra.org/industry/fileX>

Additional Information

Please contact the Advertising Regulation team at advertising-technology@finra.org for additional information.

Thank you,
Advertising Regulation Technology