

FINRA®

# FINRA Registration API Roadmap

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Updated July 16, 2020

# FINRA API Recap

- Last year FINRA launched the API Developer Center, a strategic FINRA initiative to support the automation goals of member firms and the broader financial services industry.
- FINRA wants to support and encourage the innovation opportunities presented by APIs and work with industry participants to create new solutions that improve risk management and lower regulatory costs for our member firms.
- Initial Categories of APIs that are available:
  - Registration
  - Market Transparency
  - Fixed Income
- The Registration API offers Web EFT subscribers an additional option to receive registration data from FINRA.
  - Existing Web EFT reports and batch upload functionality will continue to be available.
- To request API test or production access, please visit: <https://developer.finra.org/>.

# Web EFT vs. Registration APIs

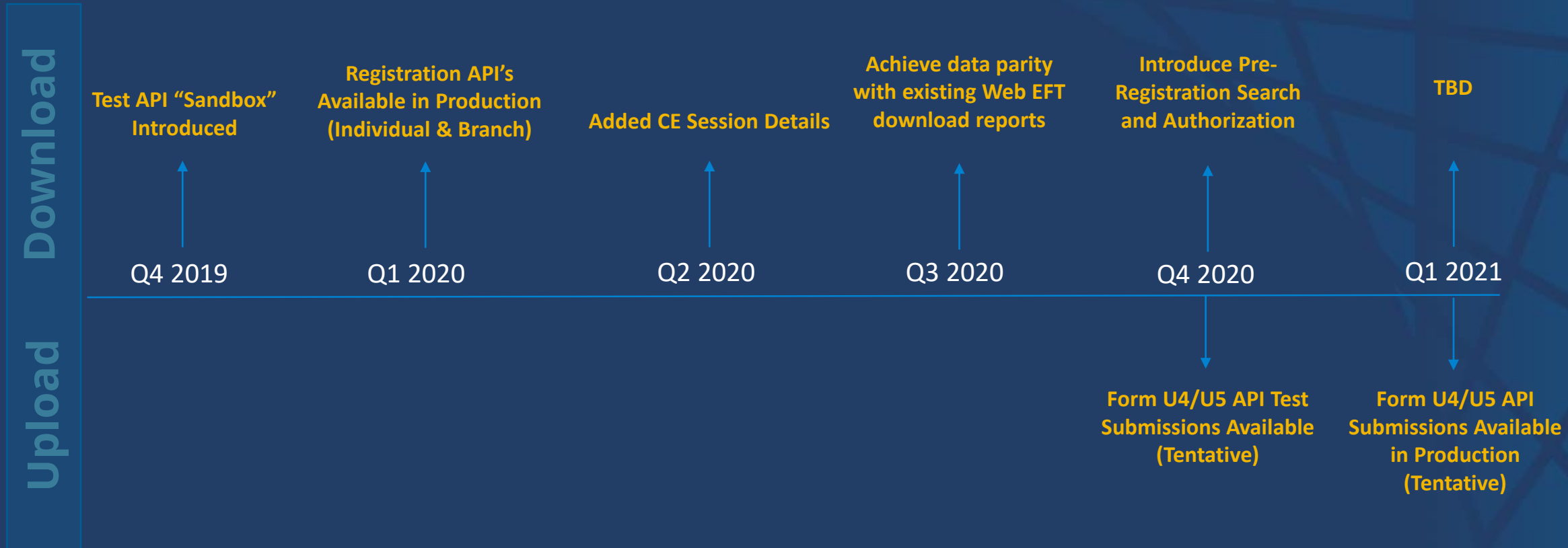
## Web EFT

- Complete CRD data sets are available
- Submission of individual and branch form filings available today
- Utilizes a batch file upload/download model
- Information returned on a t+1 basis
- Test environment available for subscribers
- Minimal new capabilities planned beyond necessary schema updates

## Registration API

- CRD data sets are being added incrementally
- Submission of individual form filings tentatively planned for 2021
- Utilizes a modern web-service interface
- Information returned on a near real-time basis
- Open sandbox with test data available for testing by any interested party
- New APIs are being planned to support requested scenarios; such as pre-registration search and validating a potential filing

# Registration API Milestones (Updated)



# Non-Registration API Information (Updated)

- Additional firm-facing APIs planned for 2020:
  - MSRB CE
  - FINRA Rulebook
  - Rule 4530
  - Regulatory Filing History
- As more details about these APIs become available, updates will be posted to: <https://developer.finra.org/>.
- Interested firms can also reach out to [api\\_developer@finra.org](mailto:api_developer@finra.org) with technical questions.

