

FINra®

# Web EFT-to-API Migration Updates

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January 8, 2025

# Form U4 RSL Completeness Check

- The previously announced new RSL completeness check was implemented for Form U4 effective January 6, 2025.
  - <https://developer.finra.org/news/residential-supervisory-location-rsl-update-key-dates>
- As a reminder to firms continuing to leverage Web EFT for Form U4 uploads, Web EFT does not support any RSL-related U4 filings.
  - Updates to other Form U4 information can still be made using XML until April 30, however RSL information can only be submitted via API or online in FINRA Gateway.

# Monitor API Developments

- Remaining major Web EFT sunset milestones:
  - <https://developer.finra.org/webeftsunset>
- Schedule of upcoming features and fixes:
  - <https://developer.finra.org/upcoming-changes>
- Release notes and other announcements:
  - <https://developer.finra.org/news-and-updates>
- Known submission workarounds:
  - <https://developer.finra.org/SubmissionKnownErrors>

# Reminders About API Data

- **Social Security Numbers (SSN) will not be available in any API datasets.**
  - Previous SSN fields in Web EFT reports will not be mapped.
- **Due to FBI requirements, fingerprint card statuses will not be included in the Composite Individual dataset/seed.**
  - A separate endpoint to provide fingerprint details is targeted for February 2025.
  - Access will require separate credentials, terms & conditions, and auditing by the firm.
- **Large-scale data reconciliation using Composite Individual Seed dataset will typically not be necessary. However, each firm can evaluate and determine their approach.**
  - See limits on seed file generation in “Dataset Details” on the DFO website.
- **Smaller, legacy API datasets are labeled as “Deprecated” and will be retired in 2025:**
  - <https://developer.finra.org/news/announcing-retirement-legacy-individual-and-branch-datasets>

# Common API Questions

- **Is there a special onboarding process for firms using a third-party vendor?**
  - No, the firm should follow the normal process for onboarding to the API platform. The firm can then use the self-service API Console to create a Client ID to share with the vendor.
  - When sharing a Client ID with a vendor, we recommend clearly identifying the firm.
- **Can an existing Client ID be transferred to a different person?**
  - No, the API Console does not support transferring Client IDs. The user who created the Client ID will need to delete the old ID and then create a new one.
  - For information about credential and usage limits, please review the FAQs at the very bottom of this page: <https://developer.finra.org/fees>.
- **Does testing in QA require separate credentials?**
  - Yes, firms onboarded to the production API can request corresponding QA access: [https://developer.finra.org/docs#getting\\_started-api\\_platform\\_basics-qa\\_test\\_environment](https://developer.finra.org/docs#getting_started-api_platform_basics-qa_test_environment).
  - If you need assistance with an existing QA account, contact FINRA at [api\\_developer@finra.org](mailto:api_developer@finra.org).

# Common API Questions

- There are some lists of allowed values (enums) that are not provided in the currently available mapping. Where can I find those?
  - Since the existing lists of allowed values are not changing as part of the migration, firms can continue to rely on the lists provided in the legacy [Web EFT schemas](#).
- What information should I provide when reporting a possible API issue to FINRA?
  - The following details are very helpful when troubleshooting potential issues:
    - Firm CRD # (New)
    - Individual or branch CRD #
    - Endpoint URL (production or QA)
    - API Request ID (if available)
    - Client ID used to call the API
    - Exact error message and any logs
    - JSON payload (if available - with sensitive data removed)

# Remaining Migration Communications

- Consolidated API/EFT support is available at [API\\_Developer@finra.org](mailto:API_Developer@finra.org).
- Webinars are planned for the first Wednesday of each month from 1-2pm ET through April 2025.
  - 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 April 2025 for technology staff to discuss development topics.
  - Exact dates and times will be included in each invitation, along with registration link.
  - Attendees are able to submit questions and propose topics in advance.

