AGENTSYNC ROADMAP: FINRA INTEGRATION

agentsync

AgentSync Manage will incorporate layers of FINRA data in a matter of months, with several integrations currently in the works on our product roadmap. Each presents challenges and opportunities for us and our partners to discover together.

FINRA API DATASETS

For carriers working in partnership with a firm, a data integration with FINRA's Registration API will pull in registration data for the authorized firm. Note: Integration with the Registration API will only give you securities data for appointed agents or agencies registered with your firm. So, you will not be able to pull data on agents registered to outside firms even if they're appointed to write your variable products.

Tentative timeline:
End of 2021 **contingent on finding carrier and firm partners to alpha/beta test.**

DTCC LNA REPORT

The Depository Trust & Clearing Corporation (DTCC) securities clearinghouse offers their licensing and appointments (LNA) report for customers that authorize AgentSync as their software vendor. This is available to carriers to exchange data with securities businesses. We are working to integrate this information smoothly into carriers' Manage data.

Tentative timeline:
End of 2021 **contingent on finding carrier and firm partners to alpha/beta test.**

BROKERCHECK DATA

BrokerCheck is FINRA's free tool for searching firms' and individuals' securities licensing data and histories. FINRA's internal tech team is working on an API – a data doorway – that will allow vendors like us to pull data for all dually licensed firms and producers. We're communicating with FINRA on their progress and integrating with their API as soon as they are finished is one of our top priorities. In the meantime, we're working to embed a BrokerCheck link into AgentSync Manage so users can see this information all in one place.

Tentative timeline:
End of 2021.

FINRA FORMS SUBMISSION

If you're a carrier with a related firm, you'll need to submit certain forms to FINRA for onboarding and updating certain producers. When this integration is complete, users may submit new forms and changes to forms such as U4, U5, BR, and RFP.

Tentative timeline:
Second quarter 2022

By spring 2022, we aim to have basic securities data for all dually licensed producers incorporated into our AgentSync Manage product, with deeper functionality for carriers attached to securities firms to transmit information back and forth with FINRA within the system. To hit this goal, we have an opportunity for carriers that have direct firm partners to join us in testing these integrations.

If you are a carrier with a firm partner, and you are interested in partnering with AgentSync during this build, please tell your Sales representative.