

Introduction

Certain firms are required to submit data to FINRA for daily capital monitoring using the SFTP protocol. SFTP ensures that the files are submitted securely. Details of the file format are provided at the end of this document.

Account Setup

Before files can be submitted, a FINRA SFTP account must be created associated with someone at your firm. To set up the account, FINRA must be provided with the name, email and phone number of the person who will be the point of contact for the account.

Once the account has been created, the point of contact will be notified of their credentials (username and initial password) and will be provided with instructions on changing their password and establishing security questions.

Network Security

Connections to the FINRA SFTP site are only allowed from specific IP addresses. Before connecting, your firm must inform FINRA of the externally facing IP address from which the SFTP connection will be made on port 22.

Submitting a File

Steps to submit a file are as follows:

1. Connect to the FINRA SFTP server on port 22 at filetransfer.finra.org (75.98.61.45). Use the username provided by FINRA and the password that was set up by the firm's point of contact.
2. Change to the "**phlx**" directory
3. Change to the "**in**" directory
4. Put the file into **the current(phlx/in)** directory
5. Log out

After the file is processed, it will be removed from the location where it was uploaded.

Note: The FTP servers will lock out an account after 3 consecutive failed attempts to connect, so verify your username and password carefully if you experience an error. If you get locked-out please call the FINRA Call Center at (800) 321-6273

Test Environment

A test environment is available for firms to test file submission. A separate SFTP account can be set up for testing purposes. Submitting a file works the same as described above except that the SFTP server is filetransfer.qa.finra.org (198.202.241.37).

Getting Help

If there are any issues, please contact the FINRA Call Center at (800) 321-6273.

File Format

Submitted files must be in Comma Separated Value (CSV) format. Multiple lines are allowed in the file; each line is considered its own filing.

All amounts can be zero or negative. Submissions for trade dates that are not business dates will not be accepted.

File must be named like `abcdefg_capmon.YYYYMMDD.csv`, where `abcdefg` is abbreviation representing the submitting firm and `YYYYMMDD` is the trade date. The firm abbreviation must be the same with every submission from the same firm and must be eight characters or less. The trade date used in the filename must match the trade date of the data being submitted.

Fields should appear in this order:

- Filing Type – Always 1
- Trade Date – Format is YYYYMMDD
- Clearing Firm – CRD number of the firm submitting data
- PHLX DEA Firm – CRD number of the firm for which data is being submitted
- Net Equity Amount of securities and commodity accounts
- Haircut Amount on proprietary positions

All fields are required except for Haircut Amount.

Example with Haircut Amount:

```
1,20161021,12345,67890,10000,8000
```

Example without Haircut Amount:

```
1,20161021,12345,67890,10000
```