

## Introduction

New Form PF Sections 5 and 6 are available for submission as of December 11, 2023. This document is provided to assist filers in making manual and programmatic file uploads.

**\*\*\*IMPORTANT NOTE:** There is no change to the file upload process for the main Form PF, which includes Sections 1-4. The existing manual upload via Classic PFRD and programmatic submission via the web service will continue to be used for those original form sections.

## Manual Upload Using FINRA Gateway

FINRA Gateway can be used to manually upload files for Sections 5 & 6. Filers can submit a Form PF filing by clicking the *Upload Files* tab and completing the following steps:

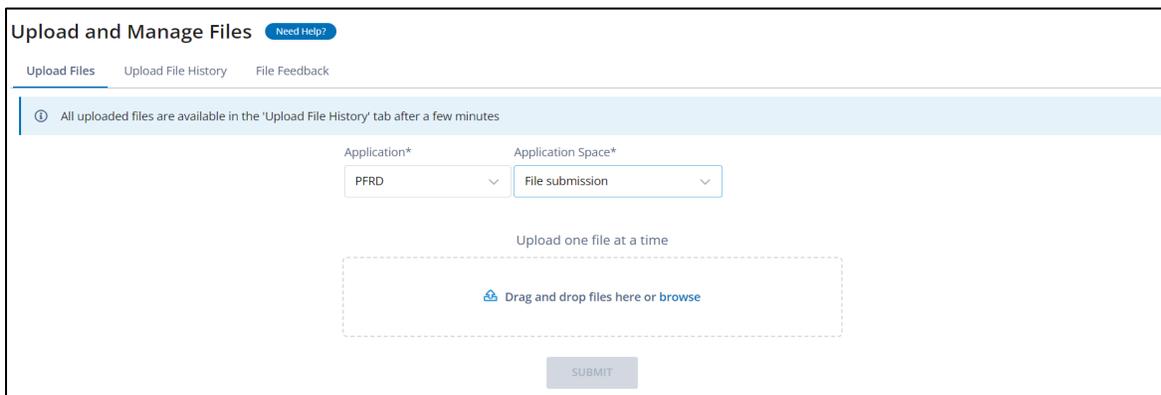
1. Login to PFRD and click one of the two new form filing links to navigate to FINRA Gateway.
2. Once in FINRA Gateway, click the *Upload* tab on the left navigation panel.



3. Select Application as *PFRD* and Application Space as *File Submission*
4. Select a file that conforms to the schema and press the *Submit* button.

Uploaded files are available in the *Upload File History* tab after a few minutes and are stored for 30 days.

Once the filing has been submitted and processed, the processing results will be available for download under the *File Feedback* tab. Any processing errors/failures will be made viewable in the feedback file.



## Filing Programmatically via the fileX platform

FINRA's fileX platform is a centralized, secure file transfer service that supports multiple access methods to send/receive files. Filers may choose to use any of the supported access methods to transfer file(s).

For detailed information on connecting to the fileX platform, please refer to the user guide available here: [https://www.finra.org/sites/default/files/2021-09/fileX-User-Guide-v1\\_3\\_0\\_OAUTH2\\_0.pdf](https://www.finra.org/sites/default/files/2021-09/fileX-User-Guide-v1_3_0_OAUTH2_0.pdf).

Once your connection to the fileX platform has been established, Form PF Section 5 or 6 files must be uploaded to and downloaded from the following directories:

File Type	Directory on FileX server
File submission by firm	/org_id/pfrd/file_in
Feedback file by FINRA	/org_id/pfrd/file_out

## File Naming convention and guidelines

- Firms can submit the Form PF section 5 or 6 submissions in either XML or JSON file format.
  - Example incoming filename: pf5-initial.xml
- If the submitted file has any other extension, the processing will fail and feedback file with errors will be available for the firm to review.
- Feedback file provided by FINRA follows this naming standard: incoming filename prefix + filing id or "error"+ org\_id + form type+ timestamp.xml/json
  - Example feedback filename: pf5-initial\_4317cb11b14a\_105676\_section5\_20231025-133032-939.xml

Please contact [PFRDSupport@finra.org](mailto:PFRDSupport@finra.org) with any questions or issues.