Investors

Retrieve investor related unique identifiers and data points captured for ERISA and FINRA purposes , compliance data including FATCA, Form PF, AIFMD and CPO-PQR from SEI's KYC system.

TAGS: kyc, insight, aml, CRM,

ENDPOINT: Compliance

ENDPOINT DESCRIPTION:

Returns an investor name, unique identifier(s) and commonly requested compliance data captured for a particular investor or list of investors. Compliance data includes FATCA, Form PF, AIFMD and CPO-PQR.

PROD URL: https://api.seic.com/v1/investors/compliance

TEST URL: https://test.api.seic.com/v1/investors/compliance

TLS URL*: https://mtls.api.seic.com/v1/investors/compliance

*The TLS endpoint is only used if Server Based Application was selected during the App Registration process.

STEP 1
OAuth Token

Pass the oAuth Token and the App key to invoke this endpoint for a particular application.

REQUEST PARAMETERS:

Name	Description	Data Type	Parameter Type
Authorization	access_token value obtained from the Token endpoint.This is passed as "Bearer access_token"	string	header
AppKey	This is the Consumer Key provided during the App Registration process and is used to identify the user's application.	string	header
externalId	The client specific or external identifier that represents the product, fund, contact, investor, or alternate entity recognized by SEI and a third party system or application. Many times the externalId is used to synchronize SEI sourced data with another data source for the same records..	string	query
alternateId	Alternate identifier. Typically used when integrating between systems.	string	query
fundInvestorExternalId	Unique business identifier for the investor product relationship.	string	query
active	Designates whether the contact relationship is active ("true") or inactive ("false").	boolean	query
createStartDate	Created start date for the contact. Required date format yyyy-MM-ddTHH:mm:ss.SSS. Can be used to target contacts created on, since or between specified datetime. Date only can also be accepted.Datetime is Eastern Standard Time (EST).	string	query
createEndDate	Created end date for the contact. Required date format yyyy-MM-ddTHH:mm:ss.SSS. Can be used to target contacts created on, since or between specified datetime. Date only can also be accepted.Datetime is Eastern Standard Time (EST).	string	query

changeStartDate	Last change start date for the contact. Required date format yyyy-MM-ddTHH:mm:ss.SSS. Can be used to target contacts modified on, since or between specified datetime. Date only can also be accepted.Datetime is Eastern Standard Time (EST).	string	query
changeEndDate	Last change end date for the contact. Required date format yyyy-MM-ddTHH:mm:ss.SSS. Can be used to target contacts modified on, since or between specified datetime. Date only can also be accepted.Datetime is Eastern Standard Time (EST).	string	query
section	One or more sections can be specified to target and limit the amount of fields returned in the response. Value options are "fatca", "formPf", "aifmd", "cpoPqr". Passing one of these sections will exclude the other sections from being included in the response. If no sections are passed, the response will include all fields.Datetime is Eastern Standard Time (EST).	string	query
limit	Number of rows per page. Can be used without page to limit result set; in which case will pull results from first page.	integer	query

SAMPLE REQUEST:

```
curl -X GET \
    https://api.seic.com/v1/investors/compliance \
  -H 'appkey: gsedgaerhDSHGRSH' \
  -H 'authorization: Bearer ADsgdnnkjnfdIKJN' \
```

REQUEST HEADER:

```
Authorization: Bearer ADsgdnnkjnfdIKJN
AppKey: gsedgaerhDSHGRSH
```

RESPONSE PAYLOAD MODEL:

Name	Description	Data Type(L)
externalId	Unique business identifier that represents a contact, investor, product, transaction or alternate entity recognized by SEI and a third party system or application. Many times the externalId is used to synchronize SEI sourced data with another data source for the same record.	string
alternateId	Alternate identifier. This is a secondary identifier typically used when integrating between systems. Use of this field is optional.	string (30)
fullName	The full legal name of the investor,manager or contact or any other entity represented by the object grouping of the field in the JSON response structure.	string(250)
active	Designates whether the record is active or inactive. Typically an inactive record is no longer referenced, or expected to be referenced, on a regular basis.	boolean
fundInvestorExternalId	Business identifier for the investor fund relationship recognized by a third party system or application. Many times the fund investor external ID is used to synchronize SEI sourced data with another data source for the same record. This field is not required to be unique.	string(50)
changeDate	Latest date the entity relevant to the API was modified. Date is in ISO 8601 format YYYY-MM-DD. Datetime is Eastern Standard Time (EST).	string
createDate	Initial create timestamp for the record. Datetime is Eastern Standard Time (EST).	string
fatca	Foreign Account Tax Compliance Act (FATCA) object groups data captured solely for FATCA reporting purposes. FATCA is used to locate U.S. citizens (residing in the U.S. or not) and "U.S. persons for tax purposes" and to collect and store information including total asset value and Social Security number. The law is used to detect assets, rather than income.	object
fatcaPreexisting	Indicator that denotes whether the Investor was a pre-existing FATCA account. Value of 'true' indicates pre-existing.	boolean

crsPreexisting	Indicator that denotes whether the Investor was a pre-existing CRS account. Value of 'true' indicates pre-existing. CRS is Common Standard on Reporting, the global version of FATCA.	boolean
excludeFatca	Indicator that denotes Investor is excluded from FATCA. Value of 'true' indicates exclusion.	boolean
formPf	The collection of investor data points related to the SEC's Form Private Fund rule (Form PF) that requires private fund managers to report regulatory assets under management to the Financial Stability Oversight Council (FSOC), an organization established under Frank-Dodd.	object
beneOwnerType	Type of Beneficial Owner on Form PF reporting requirements as indicated on subscription document. The full list of beneficial owner types is available from the Lists product.	string(30)
beneOwnerName	Name of the beneficial owner on Form PF. Form PF is a report provided to the Securities and Exchange Commission (SEC) by private product managers.	string(250)
aifmd	The Alternative Investment Fund Managers Directive 2011/61/EU (AIFMD) is an EU law on the financial regulation of hedge funds, private equity, real estate funds and other Alternative Investment Fund Managers in the European Union. The full list of AIFMD types is available from the Lists API.	object
investorType	Type of investor as indicated on the subscription document as it relates AIFMD or Open Protocol. A full list of AIFMD types can be obtained through the Lists API.	string(70)
reverseSolicitCert	Indicates the investor's AIFMD reverse solicitation status. Value options are 'Yes', 'No' or blank.	string
cpoPqr	The collection of investor data points a Commodity Pool Operator (CPO) is obligated to report on Pool Quarterly Reports (PQR).	object
securityLendingCollateral	Indicator that denotes whether the Investor has a securities lending agreement.	boolean
distribution	Capital Distributions for the period	string
cpoExempt	Information about the reason for exemption as indicated on the subscription document. Free text.	string(500)
regExemptCpo	Status of the CPO as indicated on the subscription document. Value options are 'Exempt', 'Registered' or blank.	string(30)

RESPONSE PAYLOAD MODEL:

Name	Description	Data Type(L)
firmId	SEI internal identifier for a firm (required)	string
externalId	The client specific or external identifier that represents the product, fund, contact, investor, or alternate entity recognized by SEI and a third party system or application. Many times the externalId is used to synchronize SEI sourced data with another data source for the same records	string
alternateId	Alternate identifier. Typically used when integrating between systems.	string
fullName	Full name of the contact. This can be an individual, institution or entity represented in a single field	string
active	Designates whether the contact relationship is active ("true") or inactive ("false").	boolean
fundInvestorExternalId	Designates whether the contact relationship is active ("true") or inactive ("false").	string
changeDate	Latest date the investor was modified in ISO 8601 UTC format. Datetime is Eastern Standard Time (EST).	string
createDate	Date the investor was created in ISO 8601 UTC format. Datetime is Eastern Standard Time (EST).	string
fatca		object
fatcaPreexisting	Indicator that denotes whether the Investor was a pre-existing FATCA account. Value of "true" indicates pre-existing.	string
crsPreexisting	Indicator that denotes whether the Investor was a pre-existing CRS account. Value of "true" indicates pre-existing.	string
excludeFatca	Indicator that denotes Investor is excluded from FATCA. Value of "true" indicates exclusion.	string
formPf		object

beneOwnerType	Type of Beneficial Owner per Form PF reporting requirements as indicated on subscription document. Value options are "Banking or Thrift", "Broker-Dealer", "Government Entity", "Government Pension", "Insurance Company", "Non-Profit", "Non-U.S. Person", "None", "Other", "Pension Plan", "Private Fund", "SEC Investment Company", "Sovereign Wealth", "U.S. Person", "Unknown".	string
beneOwnerName	Name of the Beneficial Owner on Form PF. Form PF is a report provided to the Securities and Exchange Commission (SEC) by Private product managers.	string
aifmd		object
investorType	AIFMD Investor Type as indicated on subscription document. The Alternative Investment product Managers Directive (AIFMD) is a European Union (EU) directive governing the regulation of alternative investment product managers (AIFMs) operating in the EU. Value options are "Banks", "General government", "Households", "Insurance corporations", "Non-financial corporations", "None", "Other collective investment undertaking (e.g. fund of funds or master)", "Other financial institutions", "Pension funds", "Unknown", blank.	string
reverseSolicitCert	Indicates the investor's AIFMD reverse solicitation status. Value options are "Yes", "No" or blank.	string
cpoPqr		object
securityLendingCollateral	Indicator that denotes whether the Investor has a securities lending agreement. Value options are "true" or "false".	string
distribution	Indicator that denotes a distributor. Value options are "true" or "false".	string
investorType	Open Protocol Type as indicated on subscription document. OPERA (Open Protocol Enabling Risk Aggregation) is a set of reporting templates created by the Financial Services Authority (FSA) with Albourne Partners and Thomson Reuters. The new protocol aims to help hedge product investors aggregate and integrate their exposures to help hedge products report risk information in a standardized fashion. Value options are "Individual", "Institutional", "Intermediary", "Other/Unknown" or blank.	string
cpoExempt	Information about the reason for exemption as indicated on the subscription document. Free text.	string
regExemptCpo	Status of the CPO as indicated on the subscription document. Value options are "Exempt", "Registered", blank.	string
totalCount	The total number of records	string
limit	The pageSize or number of records returned per page	string
first	URL to the first page of records with respect to the API request	string
last	URL to the previous page of records with respect to the API request	string
previous	URL to the next page of records with respect to the API request	string
next	URL to the last page of records with respect to the API request	string
self	The Original Request API URL	string

RESPONSE ERRORS:

Name	Description
200	OK- The request has succeeded and the response has been returned.
400	Bad request - The server cannot or will not process the request due to an inaccurate request submitted by the client application. Please resubmit the request after making the required corrections indicated in the error response. For more Info on SEI Error Standards please refer to the API Standards FAQ under Support.
401	Unauthorized - Invalid authentication details have been provided. Also useful to trigger an authorization pop up if the API is used from a browser.
403	Forbidden-The SEI Server understood the request but refuses to fulfill it.
404	Not Found- The requested resource or the underlying resource does not exist. Please resubmit the request after making the required corrections

500	Internal Server Error - The SEI server was unable to fulfill the request due to an unknown condition. Please contact SEI for support. For More Info please refer to the "Response & Errors" FAQ under support.

SAMPLE RESPONSE:

```
{
        "data": [{
                "externalId": "111111111",
                "alternateId": "123456789",
                "fullName": "Patel Family Trust",
                "active": true,
                "fundInvestorExternalId": [
                        "WWCEDLP111111111"
                ],
                "changeDate": "2019-08-12T16:46:24.873",
                "createDate": "2019-01-16T16:37:00",
                "links": [{
                        "rel": "string",
                        "href": "string"
                }],
                "systemIdentifier": [{
                        "name": "string",
                        "value": "string"
                }],
                "fatca": {
                        "fatcaPreexisting": true,
                        "crsPreexisting": true,
                        "excludeFatca": true
                },
                "formPf": {
                        "beneOwnerType": "Pension Plan",
                        "beneOwnerName": "Other"
                },
                "aifmd": {
                        "investorType": "Banks",
                        "reverseSolicitCert": true
                },
                "cpoPqr": {
                        "securityLendingCollateral": true,
                        "distribution": true,
                        "investorType": "Intermediary",
                        "cpoExempt": "CPO Exemption",
                        "regExemptCpo": "Exempt"
                }
        }],
        "paging": {
                "cursors": {
                        "before": "MTE0OTI2",
                        "after": "MTE0OTI2",
                        "max": "MTE0OTI2",
                        "last": null,
                        "resultCount": 1
                },
                "totalCount": 1,
                "limit": 1,
                "previous": null,
                "next": null,
                "self": "https://api.seic.com/v2/investors/compliance?firmId=9999&limit=1&externalId=111111111",
                "first": "https://api.seic.com/v2/investors/compliance?firmId=9999&externalId=111111111&limit=1",
                "last": null
        }
}
```

RESPONSE HEADER:

```
Content-Type: application/json
Status: 200 OK
requesttrackingid: 67e1ff68-164f-03ad-0f2d-5cbbfda56ec9
```