Retrieves investor information as captured during the investor on-boarding process. Real time notifications for investor updates are also available for subscription.

TAGS: fulfillment, onboarding, trade, CRM,

ENDPOINT: Investor

ENDPOINT DESCRIPTION:

Returns all the investor related attributes available from the on-boarding process and documentation.

PROD URL: https://api.seic.com/v1/investors/fulfillment/{trackingNumber}

TEST URL: https://test.api.seic.com/v1/investors/fulfillment/{trackingNumber}

TLS URL*: https://mtls.api.seic.com/v1/investors/fulfillment/{trackingNumber}

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

STEP 1
OAuth Token

STEP 2
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	The Base64 Encoded Appkey (Consumer Key) and secret (Consumer Secret) provided during the App registration process.	string	header
AppKey	This is the Consumer Key provided during the App Registration process and is used to identify the user. It is a form of user credential generated and provisioned by the SEI Developer Portal for applications associated with individual developers.	string	header
trackingNumber	Unique tracking number to get investor data .	string	template

SAMPLE REQUEST:

```
curl -X GET \
    https://api.seic.com/v1/investors/fulfillment/1234 \
  -H 'appkey: gsedgaerhDSHGRSH' \
  -H 'authorization: Bearer ADsgdnnkjnfdIKJN' \
```

REQUEST HEADER:

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

RESPONSE PAYLOAD MODEL:

Name	Description	Data Type(L)
firmId	The identifier of the firm.	string
standard	The collection of investor level data points considered standard and captured for the majority of investors.	object
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
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 (100)
accountNumber	Code which uniquely identifies an individual or entity.	string
subscriberType	Investor's subscriber type as indicated on the subscription document. A full list of subscriber types can be obtained through the Lists API.	string
taxType	Investor's tax type as indicated on the tax form. A full list of tax types can be obtained through the Lists API.	string
taxStatus	Indicates whether the investor is exempt from US taxation or not. A full list of tax statuses can be obtained through the Lists API.	string
accreditedInvestor	Designates whether an investor is an accredited investor or not. A full list of accredited investor types can be obtained through the Lists API.	string
qualifiedPurchaser	Designates whether an investor is a qualified purchaser or not. A full list of qualified purchaser types can be obtained through the Lists API.	string
employeeEligibleFlag	Indicates whether the investor is employee eligible.	boolean
domicileIsoCode	Identifies the domicile country of the investor in ISO 3166-1 alpha-2 code format.	string
citizenshipIsoCodes	Identifies the country or countries of nationality for the investor in ISO 3166-1 alpha-2 code format.	array
placeOfBusinessIsoCode	The 2 character country specific to the primary location where business is performed in ISO 3166-1 alpha-2 format. This is generally where the investor's books and records are kept and usually where the investor is located for tax reporting purposes.	string
placeOfBusinessStateCode	The 2 character US state or Canadian province specific to the primary location where business is performed in ISO 3166-2 format. This is generally where the investor's books and records are kept and usually where the investor is located for tax reporting purposes.	string
pii	Personally identifiable information (PII) is any data that could potentially identify a specific individual. Any information that can be used to distinguish one person from another and can be used for de-anonymizing data can be considered PII.	object
primaryTaxId	Primary social security number of tax identification number for an investor provided on tax form and/or subscription document.	string
secondaryTaxId	Secondary social security number or tax identification number for an investor provided on tax form and/or subscription document.	string
foreignTaxId	Foreign tax identifier for the investor provided by on tax form or subscription document.	string
dob	Date of birth or date of formation in the format MM/DD/YYYY.	string
compliance	The collection of investor data points related to compliance activities.	object
formPfBeneficialOwnerType	Type of beneficial owner per Form PF reporting requirements as indicated on subscription document. The full list of beneficial owner types is available from the Lists product.	string

BeneficialOwnerFormPF	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
erisaType	ERISA status of investors as indicated on subscription document.	string
erisaPercentage	Percentage of earnings contributed to an ERISA participant's account as indicated on the subscription document.	string
finra5130	FINRA 5130 Status for the Investor as indicated on the subscription document. A full list of FINRA 5130 types can be obtained through the Lists API.	string
finra5130Percentage	Investor's percentage of beneficial interest in regard to FINRA 5130. FINRA rule 5130 prohibits FINRA members from selling new issues to any account in which "restricted persons" have a beneficial interest.	string
finra5131	FINRA 5131 Status for the Investor as indicated on the subscription document. Value options are 'Yes', 'No', 'N/A' or blank. The percentage of investor's assets that are subject to FINRA regulation.	string
finra5131CompanyName	Represents the company name when investor is applicable company under FINRA Rule 5131.	string
finra5131Percentage	Investor's percentage of beneficial interest in regard to FINRA 5131. FINRA rule 5131 addresses the potential misconduct in the allocation and distribution of new issues.	string
giin	Global Intermediary Identification Number (GIIN) for the product.	string
addresses	A physical address(es) for the investor.	array
type	Address type value options are "Legal", "Mailing" or "Tax."	
attention1	The first attention line of the address, typically used for a specific recipient.	string
attention2	The second attention line of the address.	string
addressLine1	The first line of the address, typically used for the street address.	string
addressLine2	The second line of the address.	string
addressLine3	The third line of the address.	string
addressLine4	The fourth line of the address.	string
city	The city of the address.	string
state	This specifies the state of the transaction process (e.g., pending, final) expected in the response. The default state is Pending and will return capital activity that has not yet been finalized.	string
postalCode	The postal code of the address.	string
countryIsoCode	ISO country code ISO 3166-1 alpha-2 code format.	string
firm	An optional identifier that can be used to link a Firm to an Opportunity.	object

RESPONSE PAYLOAD MODEL:

Name	Description	Data Type(L)
firm	Internal identifier for a firm (required)	string
standard	Generic response object	object
fullName	Investor Full Legal Name (as indicated on subscription document)	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
accountNumber		string

subscriberType	Investors Subscriber Type as indicated on the subscription document. Default value options are "C-Corp", "Charitable Lead Trust", "Charitable Remainder Trust", "Common Property", "Employee Benefit or Keogh Plan", "Employer Spons IRA", "Endowment", "Endowment or Foundation", "Estate", "Foreign - Other", "Foundation", "Fund of Funds", "General Partnership", "Grantor or Rev Trust", "Grantor Trust", "Group Trusts", "Individual", "Inside Fund", "IRA", "IRA Rollover", "Joint Account", "Joint Owners", "Joint Tenants in Common", "JTWROS", "Limited", "LLC", "LLC Disregarded", "LLC Taxed as a Corp", "LLC Taxed as a PSHP", "LP", "Miscellaneous", "Money Purchase Plan", "Non-Grantor or Irrev Trust", "Non-US", "Other Tax Exempt", "Other Taxable", "Pension Plan", "Profit Sharing Plan", "Retirement Plan", "Roth IRA", "S-Corp", "S-Corporation", "Simple Trust", "Super Tax Exempt", "Tax Exempt Corp", "Tax Exempt Trust", "Tenants by Entirety", blank	string
taxType	Investor's Tax Type as indicated on the tax form	string
taxStatus	Tax Status Indicates whether the investor is exempt from US taxation or not. Value options are "US Taxable" or "US Tax Exempt".	string
accreditedInvestor	Designates whether an investor is an accredited investor or not. Default values options are "yes", "no", "na", blank.	boolean
qualifiedPurchaser	Designates whether an investor is a qualified purchaser or not. Default value options are "yes", "no", "na", blank.	boolean
employeeEligibleFlag	Indicates whether the investor is employee eligible.	boolean
domicileIsoCode	Identifies the domicile country of the Investor provided on subscription document in ISO 3166-1 alpha-2 code format.	string
citizenshipIsoCodes	Identifies the country of nationality for the investor in ISO 3166-1 alpha-2 code format.	array
placeOfBusinessIsoCode	Identifies the country of business for the investor in ISO 3166-1 alpha-2 code format.	string
placeOfBusinessStateCode	Identifies the state of business for the investor in ISO 3166-1 alpha-2 code format.	string
pii	Personally identifiable information.	object
primaryTaxId	Primary SSN or TIN for investor provided on tax form and/or subscription document.	string
secondaryTaxId	Secondary SSN or TIN for investor provided on tax form and/or subscription document.	string
foreignTaxId	Foreign Tax ID for the investor provided by on tax form or subscription document	string
birthCountryIsoCode	The country in which the investor was born. ISO 3166-1 alpha-2	string
dob	Birth Date or Date of Formation for Investor provided on subscription document in ISO 8601 UTC format.	string
compliance		string
formPfBeneficialOwnerType	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".	object
beneficialOwnersFormPf	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.	array
erisaType	ERISA status of investors as indicated on subscription document. Default value options are "yes", "no", "na".	boolean
erisaPercentage	Percentage of earnings contributed to an ERISA participant's account as indicated on the subscription document.	string
finra5130	FINRA 5130 Status for the Investor as indicated on the subscription document. Value options are "Not Participating", "Not Restricted", "Restricted", "NA".	string
finra5130Percentage	Investor's Percentage of beneficial Interest in regard to FINRA 5130. FINRA rule 5130 prohibits FINRA members from selling new issues to any account in which "restricted persons" have a beneficial interest.	string
finra5131	FINRA 5131 Status for the Investor as indicated on the subscription document. Value options are "Yes", "No", "NA" or blank. The percentage of investor's assets that are are subject to FINRA regulation. Default value options are "yes", "no", "na".	boolean

finra5131CompanyName	Company adhering to FINRA Rule 5131.	string
finra5131Percentage	Conditionally required field is the FINRA_5131 flag is enabled.	string
giin	Global Intermediary Identification Number.	string
addresses	An investor may have up to three addresses.	array
type	Address type value options are "Legal", "Mailing" or "Tax."	string
attention1	The first attention line of the address, typically used for a specific recipient.	string
attention2	The second attention line of the address.	string
addressLine1	The first line of the address, typically used for the street address.	string
addressLine2	The second line of the address.	string
addressLine3	The third line of the address.	string
addressLine4	The fourth line of the address.	string
city	The city of the address.	string
state	The two character ISO code that represents a US State or country province of the address.	string
postalCode	The postal code of the address.	string
countryIsoCode	The 2 character ISO country code of the address.	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": {
    "results": [
      {
        "firm": "string",
        "standard": {
          "fullName": "string",
          "externalId": "string",
          "alternateId": "string",
          "accountNumber": "string",
          "subscriberType": "string",
          "taxType": "string",
          "taxStatus": "string",
```

```
            "accreditedInvestor": true,
            "qualifiedPurchaser": true,
            "employeeEligibleFlag": true,
            "domicileIsoCode": "string",
            "citizenshipIsoCodes": [
              "string"
            ],
            "placeOfBusinessIsoCode": "string",
            "placeOfBusinessStateCode": "string"
          },
          "pii": {
            "primaryTaxId": "string",
            "secondaryTaxId": "string",
            "foreignTaxId": "string",
            "dob": "string"
          },
          "compliance": {
            "formPfBeneficialOwnerType": "U.S.Person",
            "beneficialOwnersFormPf": [
              "string"
            ],
            "erisaType": true,
            "erisaPercentage": "1.1",
            "finra5130": "restricted",
            "finra5130Percentage": "string",
            "finra5131": true,
            "finra5131CompanyName": "string",
            "finra5131Percentage": "string",
            "giin": "string"
          },
          "addresses": [
            {
              "type": "mailing",
              "attention1": "string",
              "attention2": "string",
              "addressLine1": "string",
              "addressLine2": "string",
              "addressLine3": "string",
              "addressLine4": "string",
              "city": "string",
              "state": "string",
              "postalCode": "string",
              "countryIsoCode": "string"
            }
          ],
          "label": {}
        }
      ]
    }
}
```

RESPONSE HEADER:

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