



Replacing or Updating an Existing SAA

FIP Team

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Agenda

- 01 | Introduction
- 02 | Replace SAA
- 03 | Update SAA Name/Email
- 04 | Demo
- 05 | Resources

Introduction

- **With the modernization of the Account Management application within the FINRA Gateway we have enabled your organizations to replace its Super Account Administrator (SAA) or allow an SAA to update their name and/or email address using an online workflow.**
- **The new simplified workflow is replacing the legacy process whereby organizations had to call FINRA Gateway Call Center and provide supporting documentation.**
- **Today we'll review information about these two processes, demo the updated screens and share resources for additional guidance.**

Replace SAA

- Utilizing the Replace SAA workflow in Account Management, organizations may designate a replacement SAA.
- Any individual at the organization with an active FINRA Gateway account can submit this type of request.
- An Authorized Signatory must approve the request.
- The request maybe approved, denied or sent back to requestor by Authorized Signatory.
- Status of each request is viewable through Request & Filings screen as it moves through the workflow.
- Both the requestor and Authorized Signatory receive email updates on the request.

Update SAA Name and/or Email

- Only the organization's SAA can submit a request to update their name and/or email.
- An Authorized Signatory must approve the request.
- The request maybe approved, denied or sent back to requestor by Authorized Signatory.
- Status of each request is viewable through Request & Filings screen as it moves through the workflow.
- Both the requestor and Authorized Signatory receive email updates on the request.

DEMO



Resources

Details on Replacing or Updating an Existing SAA –

<https://www.finra.org/filing-reporting/entitlement/reference-guide#section1-4>

Need step-by-step help? Refer to the FINRA Entitlement Reference Guide –

- Replace SAA –

<https://www.finra.org/filing-reporting/entitlement/reference-guide#section1-4-1>

- Update Name and/or Email –

<https://www.finra.org/filing-reporting/entitlement/reference-guide#section1-4-2>

- Request & Filings –

<https://www.finra.org/filing-reporting/entitlement/reference-guide#section1-4-3>

All other SAA related Questions –

<https://www.finra.org/filing-reporting/entitlement/super-account-administrator-saa>