

About Entitlement User Accounts Certification Process

Each year, FINRA conducts an annual user accounts certification process as part of the FINRA Entitlement Program. During the certification period, Super Account Administrators (SAAs) for organizations with more than one user need to certify that their users are properly entitled to the applications in the FINRA Entitlement Program and the sensitive data these applications may contain. This document provides instructions for the online certification process.

Access Account Management at:

- System/Application Information at <https://accountmgmt.finra.org/ewsadmin2/>, or
- FINRA-registered firms and Investment Adviser firms can access the FINRA Firm Gateway at <http://www.finra.org/FirmGateway/login>

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IMPORTANT INFORMATION

Super Account Administrators (SAAs) in organizations with more than one user are required to complete the FINRA Annual Entitlement User Accounts Certification Process within the 30-day period communicated by FINRA. Consequences for failing to comply include disablement of the capability to create, edit and clone accounts for all administrators at the organization and follow-up by FINRA and possibly other regulators. Account certification must be completed in order for a firm to be in compliance and, if applicable, to have all administrator functionality restored.

**Questions on Account Management ? Call the FINRA Gateway Call Center at 301-869-6699
8 A.M. - 8 P.M., ET, Monday-Friday.**

Access Certification Process via Account Management System Application

1. Begin the certification process by accessing the Account Management System/Application Information at <https://accountmgmt.finra.org/ewsadmin2/>

Note: If you are a FINRA-registered firm or an Investment Adviser firm, you can access the certification process via FINRA Firm Gateway. Go to page 4 and follow Steps 1a through Step 13.

2. Enter your **User ID**, read the **FINRA Terms and Conditions** and click **I Agree**.

FINRA

Welcome to User Account Management

To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.

User ID

[Forgot User ID or Password?](#)

Learn more about the FINRA Entitlement Program

This Privacy Statement relates to the online information collection and use practices of this FINRA Entitlement Program and embedded forms and applications (this "Web site"). This Privacy Statement complements the full FINRA Privacy Policy and may be updated from time to time. Updates to FINRA's privacy policies will be posted here and/or in the full FINRA Privacy Policy, as appropriate.

To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

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By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the **Gateway Call Center at 301-869-6699** for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

[Privacy](#) | [Legal](#) | [Terms & Conditions](#)

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- 3: Enter your **Password** and click **Continue**.

Note: If you do not know your password, click the **Forgot Password** hyperlink. Enter your **User ID, Primary Email** address and click **Submit**. An email with a temporary password will be sent to you.

FINRA

Welcome to User Account Management

User ID: doej

Password

[Forgot User ID or Password?](#)

☐ Edit Security Questions

Notes:

- You may be presented with a Security Information question. If you are presented with a Security Information question, provide the appropriate response.
 - If you have not setup your Security Information, you will be presented with the Setup of Security Information screen. Select your three Security Questions, enter the appropriate answer for each question and click Save.
4. Click **User Accounts Certification**.

Note: There are three different links that can be accessed for User Accounts Certification.

The screenshot displays the FINRA Entitlement User Accounts Certification web interface. At the top, the FINRA logo is on the left, and user/organization information is on the right. The main content area is titled "FINRA Entitlement User Accounts Certification" and includes the following details:

- Start Date:** January 11, 2016
- Due Date:** February 11, 2016
- A button labeled "Click here to begin User Accounts Certification Process".
- A paragraph stating: "The 2016 FINRA Entitlement User Accounts Certification Period is underway. During this 30-day period, organizations are required to certify that their users are properly entitled to FINRA Entitlement applications and the sensitive data that these applications may contain and that all accounts are valid and active."
- A link to "For more information on the FINRA Entitlement User Accounts Certification Process, see the [FINRA Entitlement Program page](#)."

On the left sidebar, under "Account Management", the "User Accounts Certification" link is highlighted. Below this, under "My applications", various application categories are listed. The main content area also includes a section titled "Account Management: Home" with a welcome message and a list of available selections for Account Management, including "Home", "User Accounts Certification", "Account Management", and "Help".

5. Go to **Step 6, Review Information**, located on page 7 and continue through Step 13.

Access Certification Process via FINRA Firm Gateway

1a. FINRA-registered firms and Investment Adviser firms can access the FINRA Firm Gateway at <http://www.finra.org/FirmGateway/login>

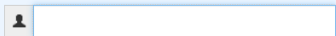
2a. Enter your **User ID**, read the **FINRA Terms and Conditions** and click **I Agree**.

Note: Clicking **I Disagree** prevents you from accessing the application.

Welcome to Firm Gateway

To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.

User ID

 [Forgot User ID or Password?](#)

Learn more about the FINRA Entitlement Program

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To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

This Web site is operated in the United States. If you are located outside of the United States, please be aware that any information you provide to us will be transferred to the U.S. and subject to U.S. laws. By using our Web site, participating in any of our services and/or providing us with your information, you consent to this transfer of data. Additionally, by using our Web site, participating in any of our services and/or providing us with your information you also consent to the collection, transfer, manipulation, storage, disclosure and other uses of your information as described in this Privacy Statement and the FINRA Privacy Policy. If you do not consent to this Privacy Statement or our FINRA Privacy Policy, please do not use this Web site.

By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

[I Agree](#) [I Disagree](#)

If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the **Gateway Call Center at 301-869-6699** for Assistance.

Do NOT bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

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3a: Enter your **Password** and click **Continue**.

Note: If you do not know your password, click the **Forgot Password** hyperlink. Enter your **User ID, Primary Email** address and click **Submit**. An email with a temporary password will be sent to you.

Notes:

- You may be presented with a Security Information question. If you are presented with a Security Information question, provide the appropriate response.
- If you have not setup your Security Information, you will be presented with the Setup of Security Information screen. Select your three Security Questions, enter the appropriate answer for each question and click Save.

4a. Click the **User Administration** tab to search for accounts.

5a. Enter an "*" in the **User ID** field and click on **Search** located at the bottom of the screen.


Note: Using the asterisk as a wildcard will display a list of all of your organization's users.

The screenshot shows the 'Account Management: Start New Search' page. The top navigation bar includes links for Home, Forms & Filings, Web CRD, IARD, Report Center, User Administration (selected), and eFocus. On the left, there are two main sections: 'Account Management' with links for 'Find Account' and 'Create New Account', and 'Service Requests' with a link for 'TRACE Order Form'. The main content area is titled 'Account Management: Start New Search' and includes a 'Printer Friendly' icon. Below the title, it says 'To perform a search, fill in query criteria, then click "Search".' A grey box provides a tip: 'You can use asterisks as wildcards. For example, "J*o*" matches "Jason", "John", and "Julio". Selecting multiple permissions below will return accounts that match at-least one permission.' The search criteria section includes text input fields for User ID (highlighted with a red box), Last Name, First Name, Middle Name, Email, Department, TRACE MPIDs, Equity MPIDs, MSRB Numbers, and OSO. Below these are checkboxes for Account Management, Next Gen New Member Application, New Member Application, CRD, and IARD.

Home | Forms & Filings | Web CRD | IARD | Report Center | **User Administration** | eFocus

Account Management
▶ [Find Account](#)
[Create New Account](#)

Service Requests
[TRACE Order Form](#)

Account Management: Start New Search  Printer Friendly

To perform a search, fill in query criteria, then click "Search".

You can use asterisks as wildcards. For example, "J*o*" matches "Jason", "John", and "Julio".
Selecting multiple permissions below will return accounts that match at-least one permission.

User ID:

Last Name:

First Name:

Middle Name:

Email:

Department:

TRACE MPIDs:

Equity MPIDs:

MSRB Numbers:

OSO:

Account Management: ☐

Next Gen New Member Application: ☐

New Member Application: ☐

CRD: ☐

IARD: ☐

Review Information

6. Review user information that is listed in the **Account Management: Search Results**.

Account Management

- [Home](#)
- [User Accounts Certification](#)
- [Account Management](#)
 - [Create New Account](#)
 - [Start New Search](#)
- [Help](#)
- [My Account](#)
- [Change Password](#)
- [Applications & Administrators](#)
- [Logout](#)

My applications

- [My Applications](#)
- [Account Management](#)
- [CRD](#)

FINRA Entitlement User Accounts Certification

Please review all user accounts to determine that:

- user accounts are "Active" - remove any account that no longer requires access;
- users continue to require the application privileges they have been assigned to perform current job responsibilities - remove and/or add privileges as needed to match job functions; and
- only those users who require access to sensitive data (e.g., Criminal History Record Information(CHRI), social security or tax identification numbers, dates of birth) are given access to this type of data - remove access that is no longer required to perform current job responsibilities.

For convenience, you can download your user account information into a report to send to other individuals within your organization to confirm individual's entitlement, including access to applications, privileges and sensitive data. It is recommended that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have been updated since the download was requested.

After you have reviewed the accuracy of your organization's user accounts, click the *Continue* button at the bottom of the screen to continue the certification process.

Account Management: Search Results

To view the account, click the User ID.

To download this information to your computer, click "Download Results".

Download Results

Results 1-2 of 2 Select any header to sort, select again to reverse the sort.

User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
sauser	sas	user		sauser@firm.org		123	898	131	111111	Yes	Active	<ul style="list-style-type: none"> Account Management Next Gen New Member Application New Member Application CRD IARD Report Center Reg -17a-11 Financial
Notifications												

Note: You will need to review your organization's user accounts to determine that:

- each user has a continuing need to access FINRA application(s) on the organization's behalf;
- each user is entitled only to the applications and privileges needed to perform current job responsibilities; and
- only users who require access to sensitive data (e.g., Criminal History Record Information, Social Security or tax identification numbers, dates of birth) are entitled to access this type of data.

Download Report

You can download your user account information into a report to send to other individuals within your organization to confirm individual's appropriate entitlement, including access to applications, privileges, and sensitive data.

7. Click **Download Reports**.

Printer Friendly

Account Management

- Home
- User Accounts Certification
- Account Management
 - Create New Account
 - Start New Search
- Help
- My Account
- Change Password
- Applications & Administrators
- Logout

My applications

- My Applications
- Account Management
- CRD

FINRA Entitlement User Accounts Certification

Please review all user accounts to determine that:

- user accounts are "Active" - remove any account that no longer requires access;
- users continue to require the application privileges they have been assigned to perform current job responsibilities - remove and/or add privileges as needed to match job functions; and
- only those users who require access to sensitive data (e.g., Criminal History Record Information(CHRI), social security or tax identification numbers, dates of birth) are given access to this type of data - remove access that is no longer required to perform current job responsibilities.

For convenience, you can download your user account information into a report to send to other individuals within your organization to confirm individual's entitlement, including access to applications, privileges and sensitive data. It is recommended that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have been updated since the download was requested.

After you have reviewed the accuracy of your organization's user accounts, click the *Continue* button at the bottom of the screen to continue the certification process.

Account Management: Search Results

To view the account, click the User ID.

To download this information to your computer, click "Download Results".

Download Results

Results 1-2 of 2 Select any header to sort, select again to reverse the sort.

User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
saasuser	saa	user		saasuser@firm.org		123	898	131	111111	Yes	Active	<ul style="list-style-type: none"> Account Management Next Gen New Member Application New Member Application CRD IARD Report Center Reg - 17a-11 Financial Notifications

8. Determine the criteria for your Download Report and click **Download**.

Account Management: Download Search Results

To download the accounts from your last search:

- Check the fields you wish to download from each account.
- Click "Download" to initiate the download.

☒ User ID
☐ Prefix
☐ First Name
☐ Middle Name
☐ Last Name
☐ Suffix
☐ Title
☐ Primary Email
☐ Secondary Email
☐ Primary Phone
☐ Secondary Phone
☐ FAX
☐ Account Status
☐ Account Created On
☐ Account Created By
☐ Department
☐ TRACE MPIDs
☐ Equity MPIDs
☐ MSRB Numbers
☐ OSO
☐ Individual CRD Number
☐ Legacy User ID
☐ OATS Legacy User ID (PD)
☐ OATS Legacy User ID (CT)
☐ OATS Flag
☐ SAA
☒ Permissions

Download

Cancel

Note: User ID and Permissions are default settings and will be provided in your Download Report. You may want to include other criteria such as first, middle and last name to facilitate your review. FINRA recommends that email be selected as an option, as email addresses may change. If individuals are assigned OSO numbers, then an SAA should select the OSO option to confirm this information. Other criteria may be selected based on an organization's decision to validate this information.

9. Manipulate and disperse the data as needed.

User ID																		
1	User ID	First Name	Last Name	Primary Email	Account Status	Account Creation Date	Account Category	Department	TRACE MP	Equity MP	MSRB Nur	OATS Leg	OATS Flag	SAA	***Account Management	Edit Account	Manage Account	Change Password
2	sauser	saa	user	sauser@	ACTIVE	2011.09.26	FINRA		123	898	131			Yes	User and Administrator	User and Administrator	User and Administrator	User and Administrator
3	user1	admin	user	adminuse	ACTIVE	2011.09.26	FINRA		123	898	131			No	User	User	User	User
4																		

Note: FINRA recommends that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have changed since the download was requested.

Final Certification

Once the user information is verified, if needed, log back into Account Management and click User Accounts Certification.

10. Click the FINRA Entitlement User Account Certification checkbox that is located at the bottom of the screen.

FINRA Entitlement User Accounts Certification

☐ I have reviewed and validated the account information for the users in my organization for this certification period.

11. Click **Continue**.

FINRA Entitlement User Accounts Certification

☒ I have reviewed and validated the account information for the users in my organization for this certification period.

Note: The Continue button will be enabled when the checkbox is selected.

12. Read the **Terms and Conditions** and click **Agree**.

Note: Selecting **Do Not Agree** will not permit you to complete the certification process.

Account Management

- Home
- User Accounts Certification
- Account Management
 - Create New Account
 - Start New Search
- Help
- My Account
- Change Password
- Applications & Administrators
- Logout

My applications

- My Applications
- Account Management
- CRD
- IARD
- Report Center
- Reg - 17a-11 Financial

FINRA Entitlement User Accounts Certification

I am the SAA of my Organization (as defined in the SAA Terms) and have the authority to act on behalf of the Organization.

I understand that my Organization is responsible for granting, revoking and monitoring Account Administrator and User entitlements granted by my Organization. I also understand that my Organization is responsible for ensuring that authorized users are entitled only to those privileges necessary to perform their responsibilities. My Organization assumes full responsibility for actions conducted through all accounts assigned by my Organization. I agree that my use of the FINRA Entitlement Program as the SAA and as an entitled user is subject to the FINRA Entitlement Program Terms of Use.

On behalf of my Organization, I certify that all of my Organization's Account Administrators and Account users are authorized to access information based on the privileges granted through the FINRA Entitlement Program.

13. The system will display a **Successfully Completed** message and you will receive a confirmation email.

Account Management

- Home
- Account Management
- Help
- My Account
- Change Password
- Applications & Administrators
- Logout

My applications

- My Applications
- Account Management
- CRD
- IARD
- Report Center
- Reg - 17a-11 Financial
- Notifications
- Reg - 3012 Claim for Exception
- Reg - Rule 4530 Application
- Reg - Advertising Regulation
- Reg - Blue Sheets
- Reg - INSITE Firm Data Filing

FINRA Entitlement User Accounts Certification

Thank you. Your organization has successfully completed the 2016 FINRA Entitlement User Accounts Certification Process.

FINRA strongly encourages Administrators to continue to review user accounts on an ongoing basis throughout the year to ensure that accounts remain valid and users have only the access necessary to perform current job functions.

Account Management: Home

Welcome to Account Management.

Please make a selection from the menu at the left. The available selections for Account Management are:

Home Introduces the Account Management system, displays system announcements, and provides links to applications.

Account Management Enables you to manage the list of accounts that can be used to log into any of the applications under the Account Management umbrella. You can query, view, add, edit, and delete accounts from the list. This tool also enables you to designate the appropriate applications, roles, and privileges for each account.

Help Provides help in using the Account Management system.

Email Confirmation:

Thank you. Your organization has successfully completed the 2016 FINRA Entitlement User Accounts Certification Process.

FINRA strongly encourages Administrators to continue to review user accounts on an ongoing basis throughout the year to ensure that accounts remain valid and users have only the access necessary to perform current job functions.

Additional entitlement information can be found on the [FINRA Entitlement Program](#) page and in the [FINRA Entitlement Program Frequently Asked Questions](#).

If you have any questions concerning the certification process, please contact the Gateway Call Center at:

(301) 869-6699 (Broker/Dealers)

(240) 386-4848 (Investment Advisers)