Financial Industry Regulatory Authority

Account Management	Annual Entitlement User Accounts Certification Process

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

Content:

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.

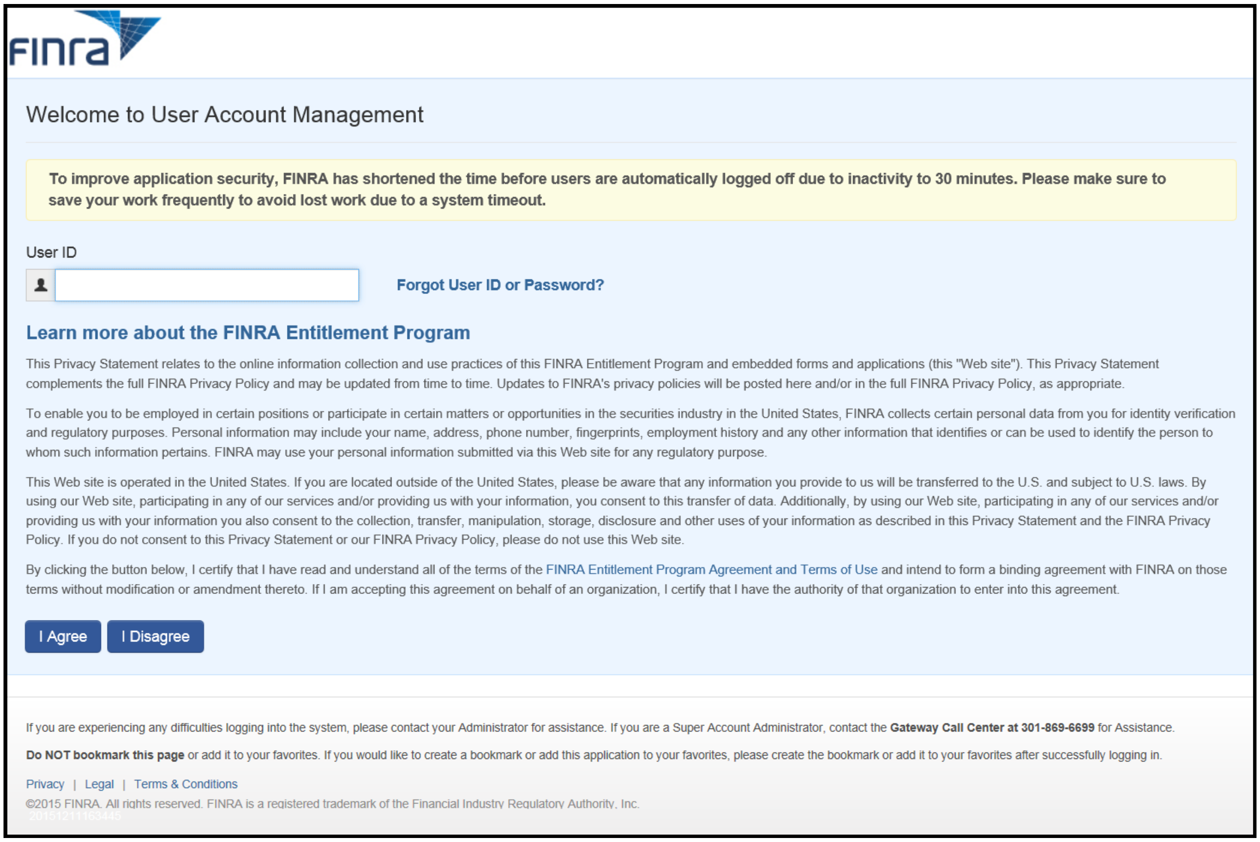
Questions on Account Management ? Call the FINRA Gateway Call Center at **301-869-6699**
8 A.M. - 8 P.M., ET, Monday-Friday.

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/

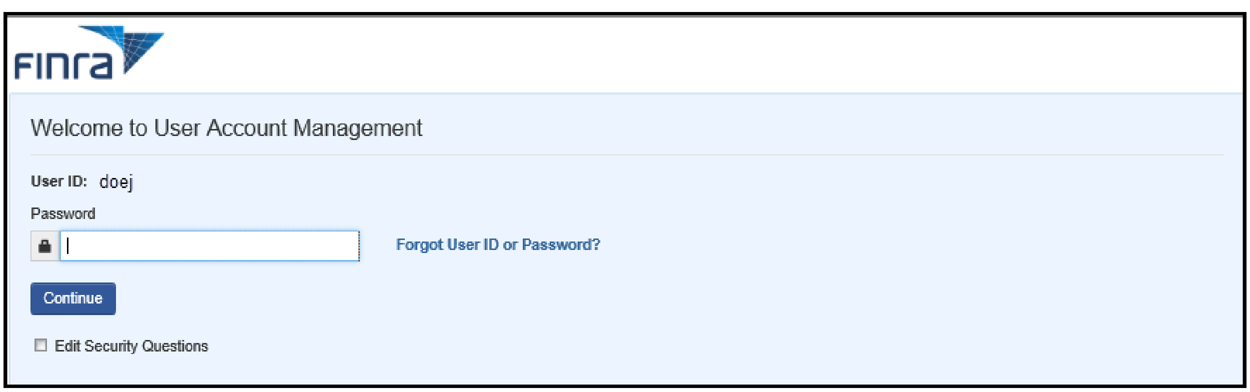
Note: If you are a FINRA-registered firm or an Investment Adviser firm, you can access the certification process via FINRA Firm Gateway. Go to page 4 and follow Steps 1a through Step 13.

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



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.

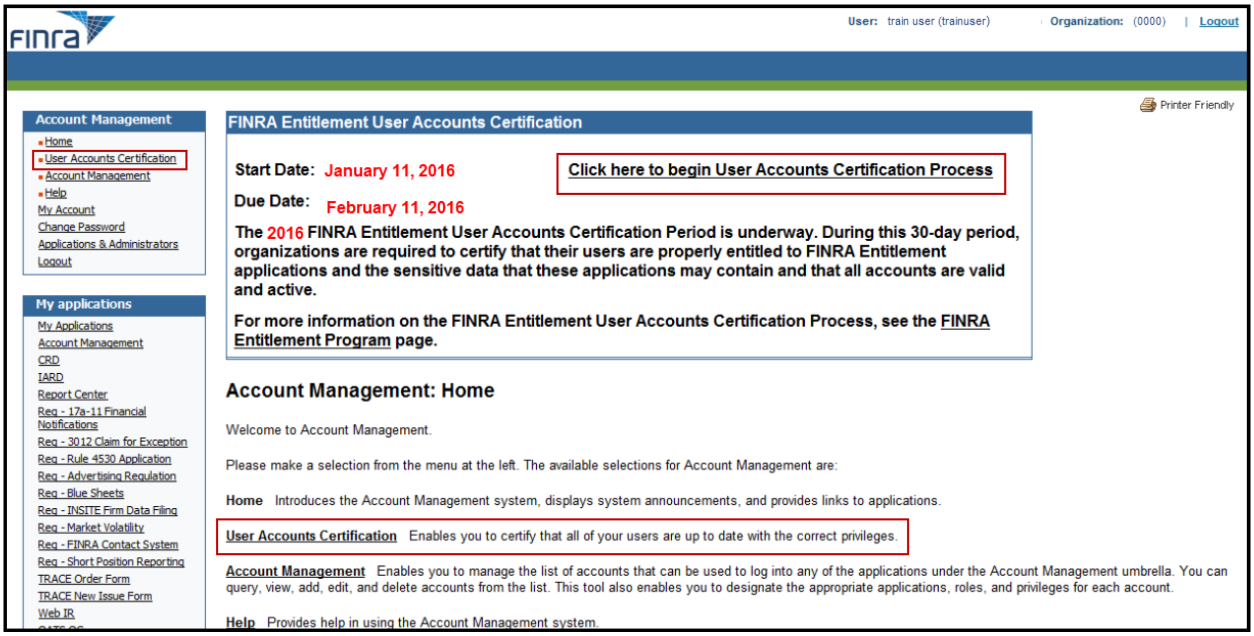


Notes:

- 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.



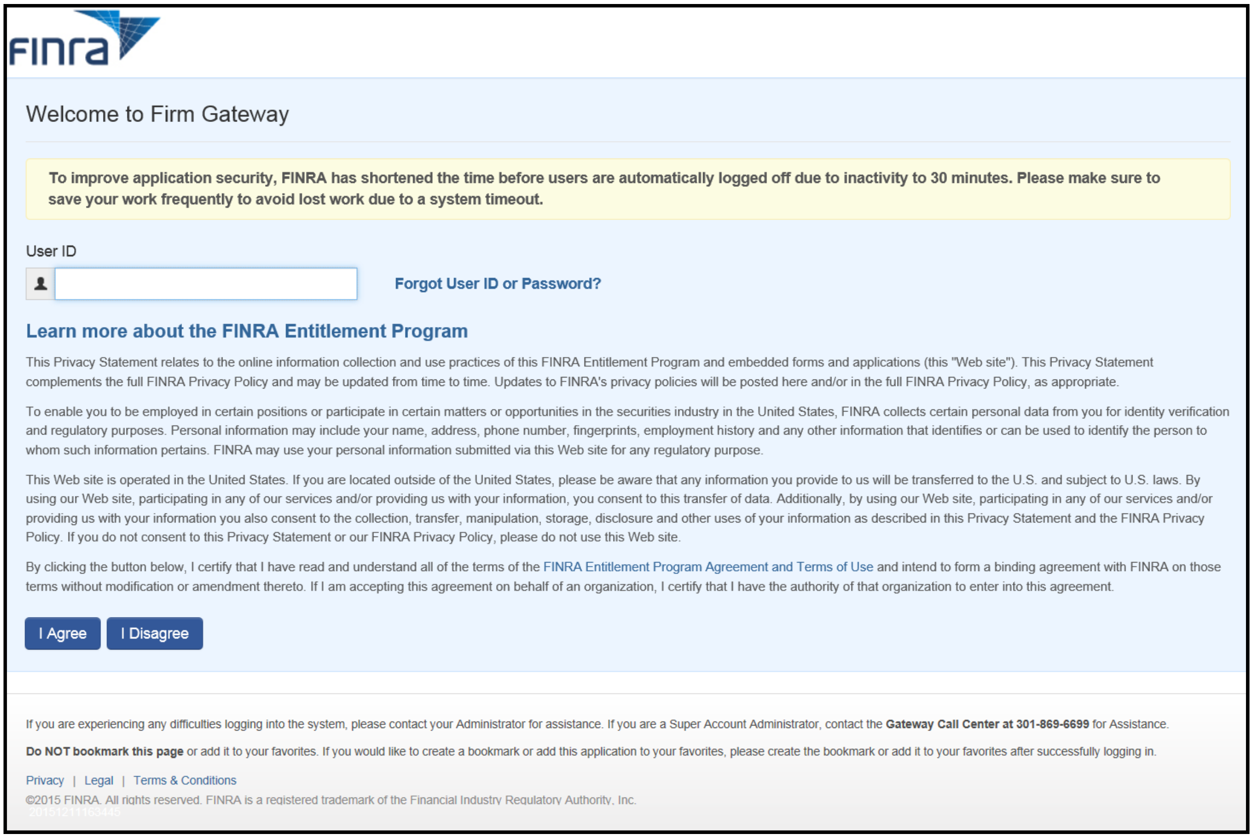
5. Go to **Step 6, Review Information,** located on page 7 and continue through Step 13.

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

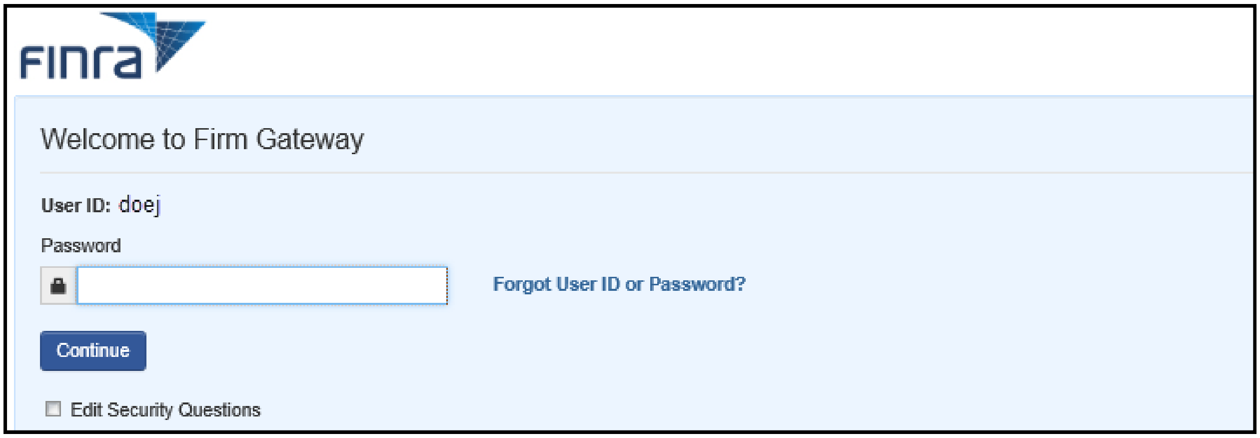
2a. Enter your **User ID**, read the **FINRA Terms and Conditions** and click **I Agree**.

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



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

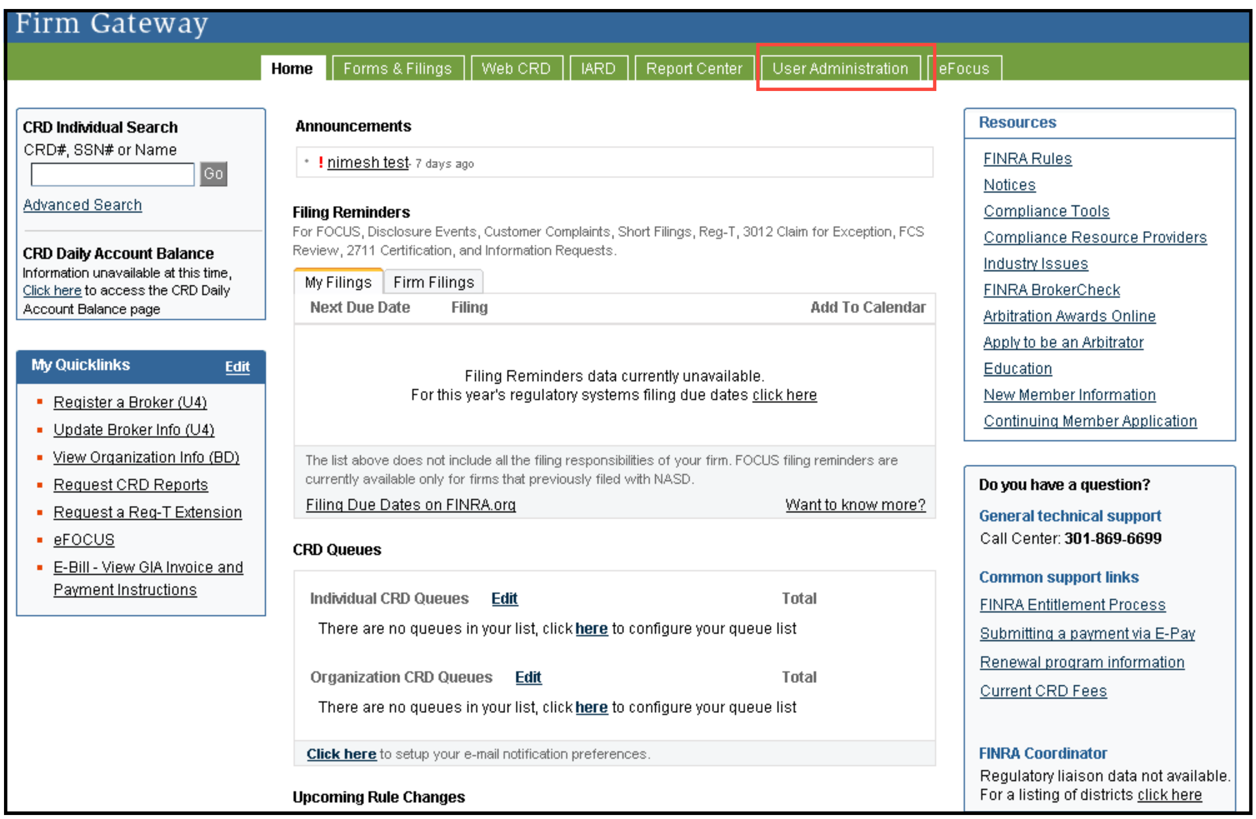
Note: If you do not know your password, click the **Forgot Password** hyperlink. Enter your **User ID, Primary Email** address and click **Submit.** An email with a temporary password will be sent to you.



Notes:

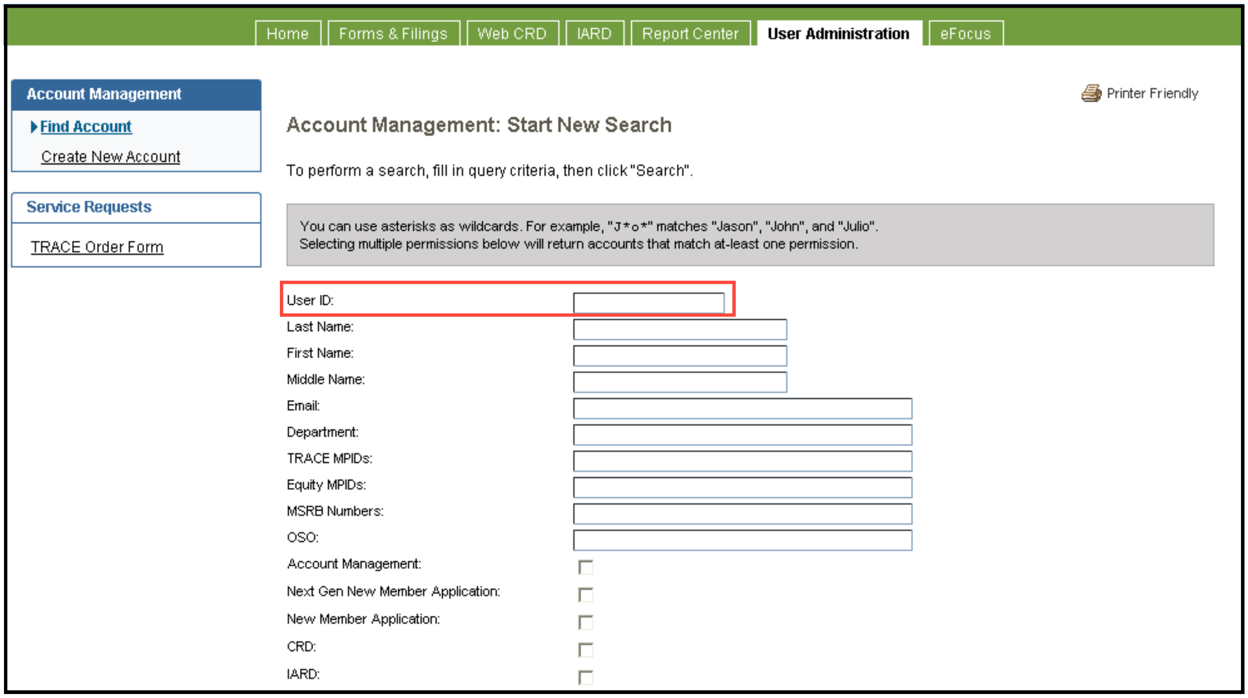
- You may be presented with a Security Information question. If you are presented with a Security Information question, provide the appropriate response.
- If you have not setup your Security Information, you will be presented with the Setup of Security Information screen. Select your three Security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

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



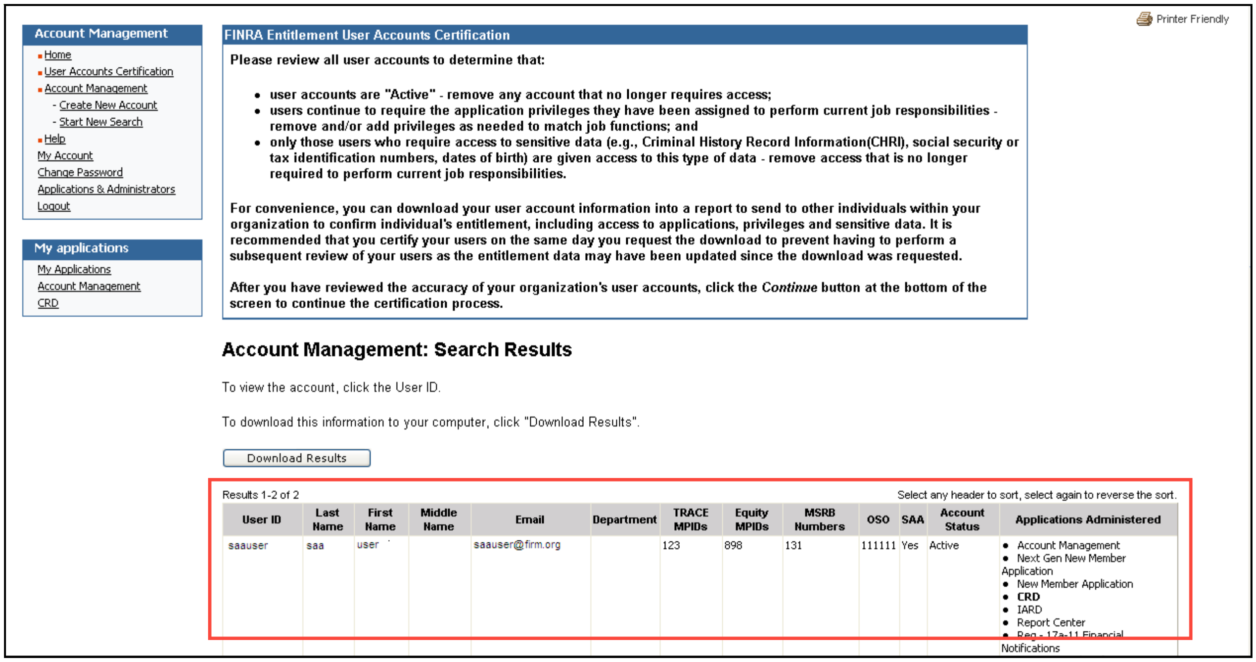
5a. Enter an “*” in the **User ID** field and click on **Search** located at the bottom of the screen.

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



Review Information

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



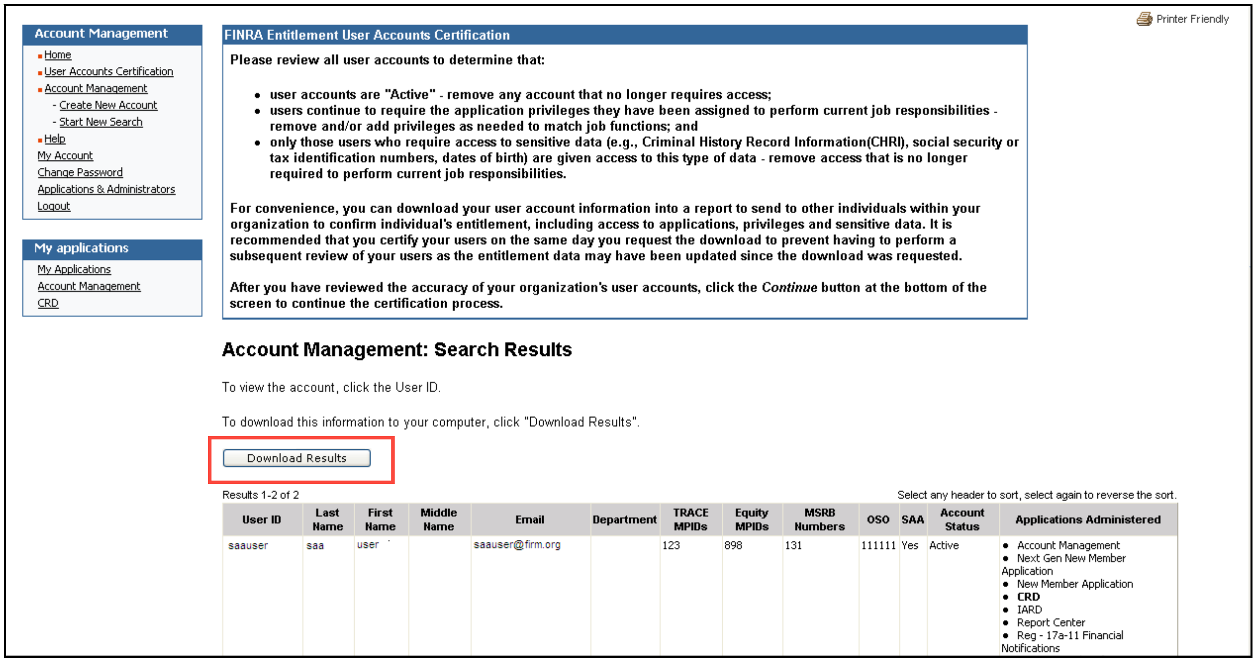
Note: You will need to review your organization's user accounts to determine that:

- 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.

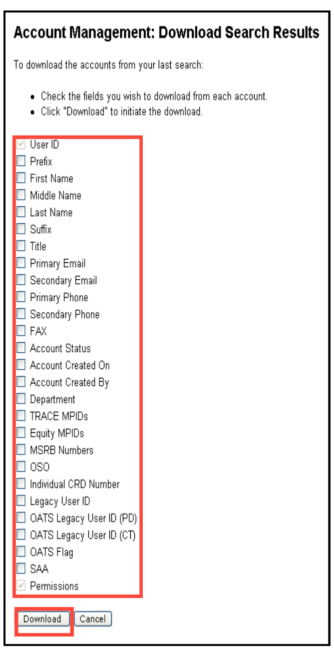
Download Report

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**.



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



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.

A1 User ID

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	User ID	First Nam	Last Name	Primary E	Account S	Account C	Account C	Departme	TRACE MP	Equity MP	MSRB Nur	OATS Lega	OATS Flag	SAA	***Account Management	Edit Accou	Manage A	Change Pa
2	saauser	saa	user	saauser@	ACTIVE	2011.09.26	FINRA		123	898	131			Yes	User and Administrator	User and A	User and A	User and A
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.

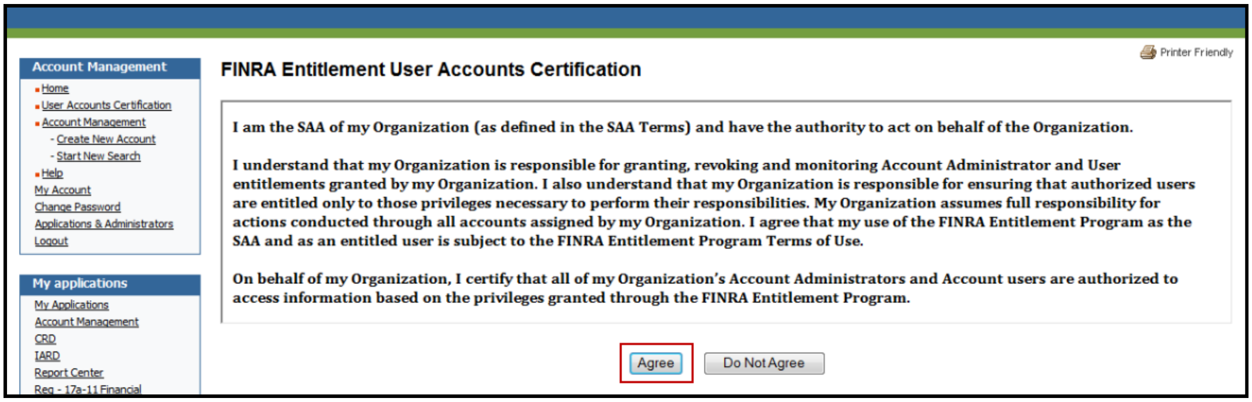
10. Click the FINRA Entitlement User Account Certification checkbox that is located at the bottom of the screen.

11. Click **Continue.**

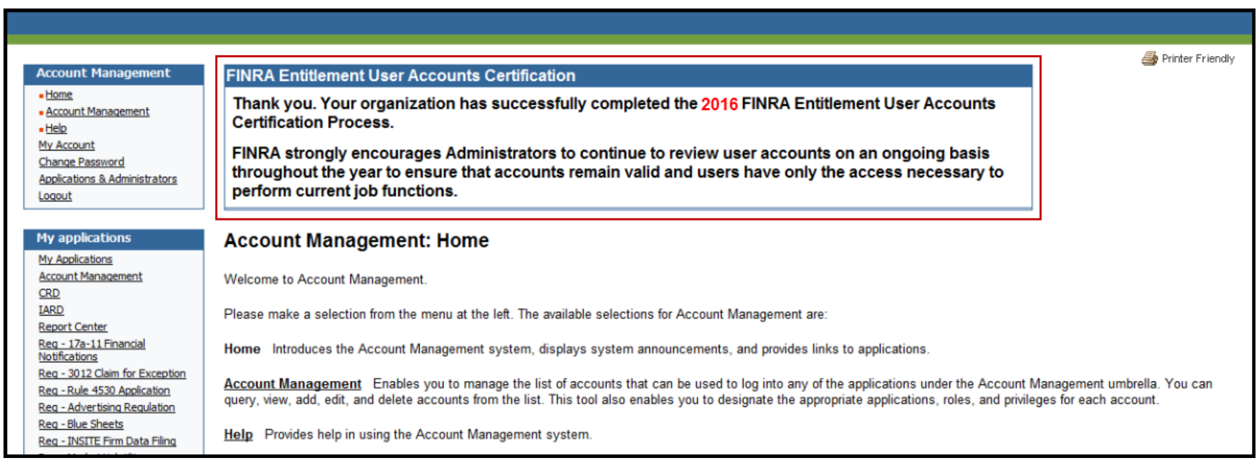
Note: The Continue button will be enabled when the checkbox is selected.

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

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



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



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)