



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>

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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 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.' Two buttons are available: 'I Agree' and 'I Disagree'. At the bottom of the page, there is a note: '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.' A link to 'Privacy | Legal | Terms & Conditions' and a copyright notice for FINRA are also present."/>

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

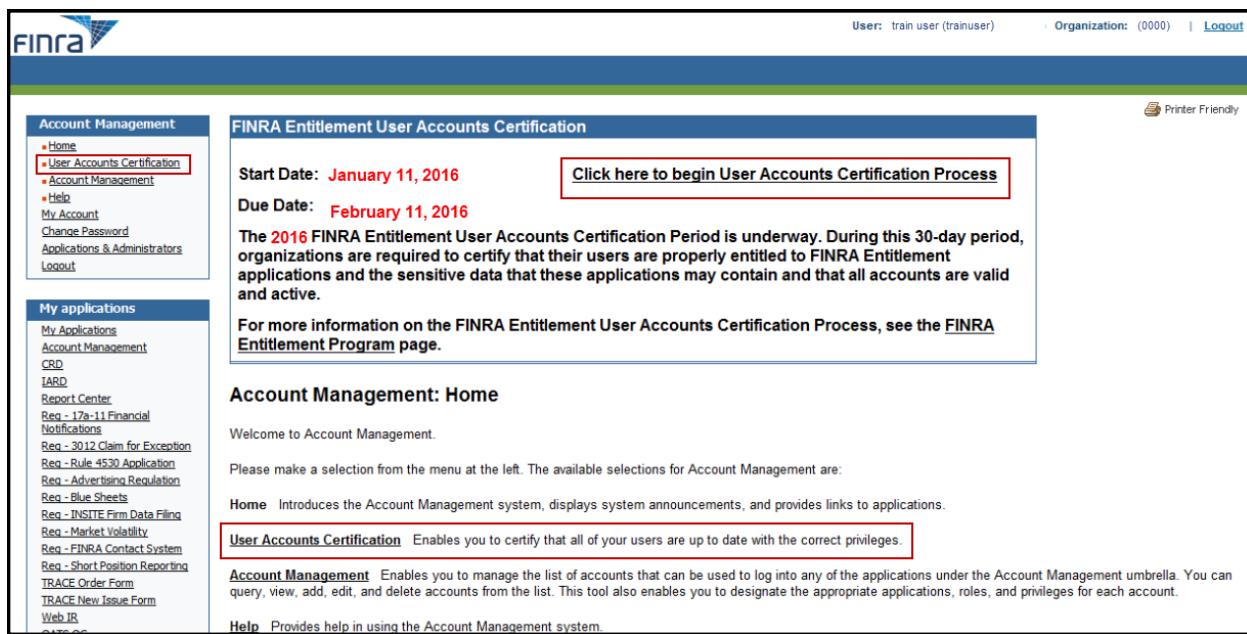
**Note:** If you do not know your password, click the **Forgot Password** hyperlink. Enter your **User ID, Primary Email** address and click **Submit**. An email with a temporary password will be sent to you.

**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.



FINRA Entitlement User Accounts Certification

Start Date: **January 11, 2016**

Due Date: **February 11, 2016**

**Click here to begin User Accounts Certification Process**

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.

For more information on the FINRA Entitlement User Accounts Certification Process, see the [FINRA Entitlement Program page](#).

**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.

**User Accounts Certification** Enables you to certify that all of your users are up to date with the correct privileges.

**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.

**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**

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.

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.

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

**Account Management**

**Find Account**

[Create New Account](#)

**Service Requests**

[TRACE Order Form](#)

**Account Management: Start New Search**

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.

[Printer Friendly](#)

**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

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

**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.

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## 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.

**Account Management**

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

**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.

[Printer Friendly](#)

**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					
saauser	saa	User	'	saauser@frm.org		123	898	131	111111	Yes	Active	<ul style="list-style-type: none"> <li>• Account Management</li> <li>• Next Gen New Member Application</li> <li>• New Member Application</li> <li>• CRD</li> <li>• IARD</li> <li>• Report Center</li> <li>• Reg - 17a-11 Financial Notifications</li> </ul>					

### 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 (PO)  
 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.

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9. Manipulate and disperse the data as needed.

User ID																			
1	User ID	First Name	Last Name	Primary Email	Account S	Account C	Account C Department	TRACE MP	Equity MP	MSRB Nur	OATS Leg	OATS Flag	SAA	***Account Management	Edit Accou	Manage A	Change Pa		
2	saauser	saa	user	saauuser@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.

**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.

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)