Financial Industry Regulatory Authority

EWS for Account Administrators

Account Administration refers to the management of user accounts. The FINRA Entitlement Group and Super Account Administrators (SAA) and Account Administrators (AA) for firms, jurisdictions, SROs and the SEC share responsibility for maintaining their user accounts for Web CRD, IARD, Focus, OATS and other FINRA regulatory systems. These applications can be accessed at:www.finra.org/firmgateway.

Entitlement Group, Super Account Administrator & Account Administrator's Roles & Responsibilities

The FINRA Entitlement Group:

- Creates one SAA for each Organization/CRD#.
- Creates initial passwords for SAA's.
  - Firms that are both Investment Advisers and Broker-Dealer (joint firms) use the same User ID and Password to log into both Web CRD and IARD.
- Sets the initial entitlements for SAA's.
- Deletes user accounts for SAA's.
- Performs account maintenance:
  1. Reset passwords for SAA's.
  2. Activate accounts for SAA's.

A Super Account Administrator can:

- Self entitle "User" privileges.
- Create and update accounts for AA's.
- Create and update accounts for individuals
- Perform password administration, such as unlocking accounts, and resetting passwords.
- Provide and update privileges (entitlement) for AA's and individual users.
- Disable and/or delete accounts when necessary.
- Delete an account immediately when the individual no longer is with the firm.
- Certify accounts for authorized access on an annual basis.

An Account Administrator can:

- Create accounts for individuals.
- Perform password administration, such as unlocking accounts, and resetting passwords for individual users.
- Verify accounts periodically for authorized access.
- Provide and update privileges (entitlement) for individual users.
- Disable and/or delete user accounts when necessary.
- Delete an account immediately when the individual no longer is with the organization.

An Account Administrator CANNOT:

∅ Change or reset another Account Administrator's password.
∅ Change or setup their own account privileges (entitlement) or another Account Administrator's account.
∅ Activate or change their own account or another Account Administrator's account.

NOTE: An AA that needs assistance with their own account, should contact their SAA.

Questions for Technical Support? Call the FINRA Gateway Call Center at **301-869-6699**
8 AM through 8 PM, ET, Monday-Friday.

Password Information

Password Criteria:

- Passwords are case sensitive.
- Passwords must be a minimum of 8 characters.
- Passwords cannot contain any portion of the user's ID, first, middle or last name, or the following characters: ampersand (&), asterisk (*), caret (^) or percent (%).
- Passwords cannot contain any spaces.

NOTE: User IDs and passwords can be systematically generated.

- Passwords must contain at least three of the following:
    1. An uppercase character (A-Z)
    2. A lowercase character (a-z)
    3. A numeric character (0 - 9)
    4. Special characters ($ #@!)

Password Security Information:

- All initial passwords require the user to create a new password with initial log in.
- Passwords are valid for 120 days. A message will inform the user 14 days prior to expiration. Each time a user logs into Web CRD & IARD, a message will inform the user when the password has expired.
- If the 120 days has elapsed, a user cannot log into Web CRD and IARD without changing his/her password. The system will prompt the user to enter a new password.
- A user can change his/her password at any time by clicking **Change Password/Change Account Profile** under Admin Tools on the Web CRD and IARD site maps. A user cannot reuse a password used within the last seven password changes.
- Users who forget their password can click on the **Forgot Password?** link on the login screen to request a new password. The user will be prompted to enter their User ID and security challenge response before a new password will be emailed.
- Users who are locked out from entering an incorrect password or security challenge response more than five times should contact their Account Administrator.

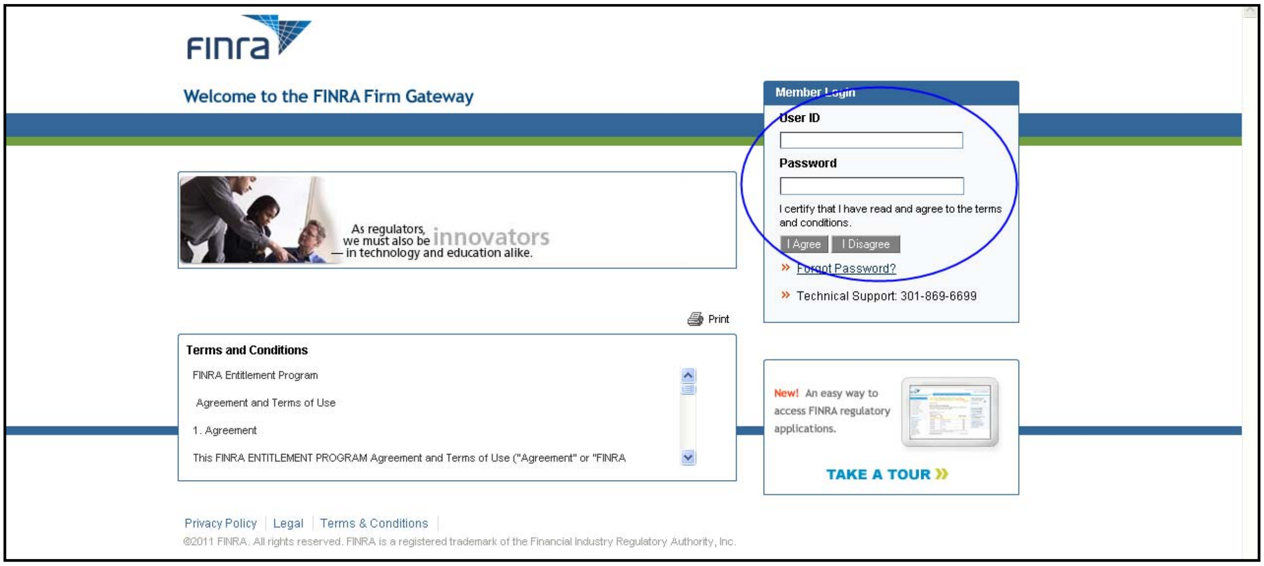
Setting Up Your AA Account

When you receive your User ID and initial password from the SAA, you must first log into the application and then change your password.

Step 1: Access the address for Firm Gateway: www.finra.org/firmgateway

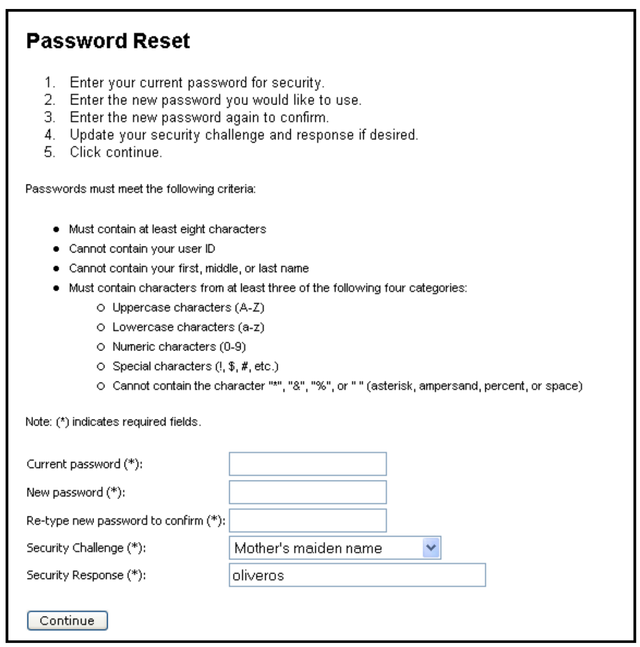
Enter the User ID and password provided to you by the SAA in the **User ID** and **Password** fields, read the FINRA Terms and Conditions and click **I Agree**.

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



Result: The *Password Reset* screen displays.

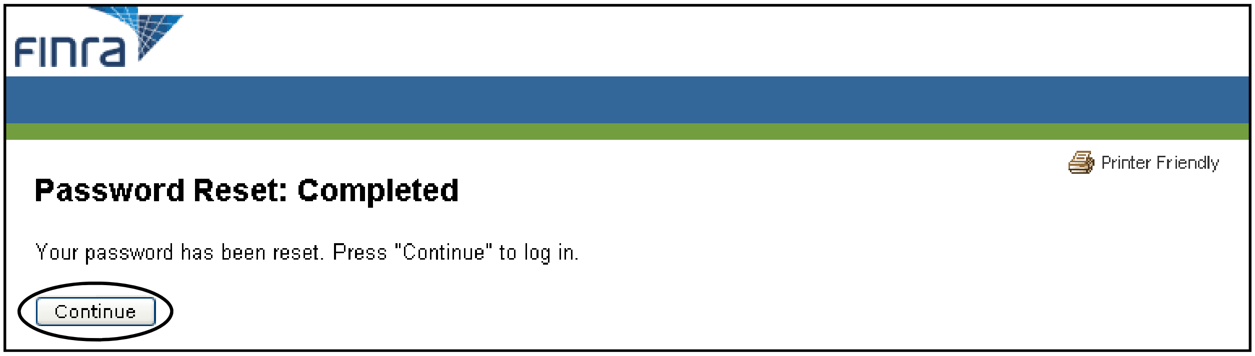
Step 2: Enter the password provided by the SAA in the **Current password** field. Enter a new password in the **New password** field. Re-enter the new password in the **Re-type new password to confirm** field. Select a **Security Challenge** question from the drop-down list, enter the **Security Response** and click **Continue**.



NOTE: The **Security Challenge** question and **Security Response** are used to verify your identity if you call the FINRA Gateway Call Center to request assistance with your account.

Setting Up Your AA Account (cont.)

Step 3: A confirmation that your password has been reset displays. Click **Continue**.



Your account is now active. Enter your User ID and new password, You can begin creating user accounts for users at your organization who require entitlement to FINRA applications.

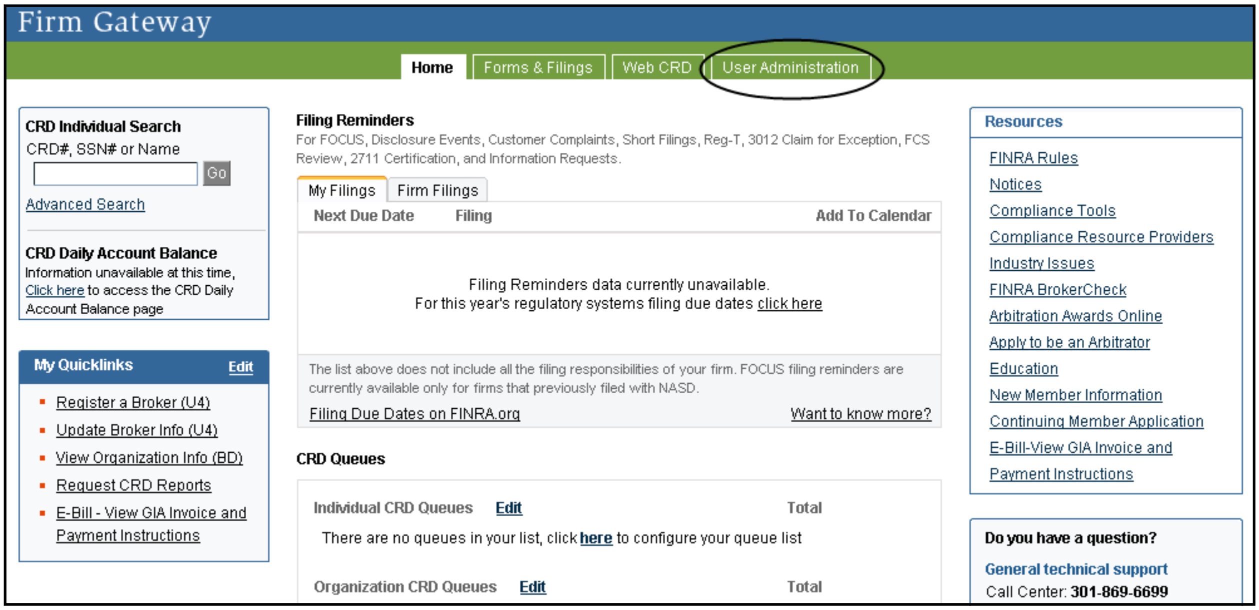
Users who forget their password and/or are locked out of the system for attempting to enter a password more than five times can click on the **Forgot Password?** link on the log in screen to request a new password.

Users are prompted to enter their User ID and security challenge response before a new password is emailed. You are required to change the new, temporary password when you log into the system.

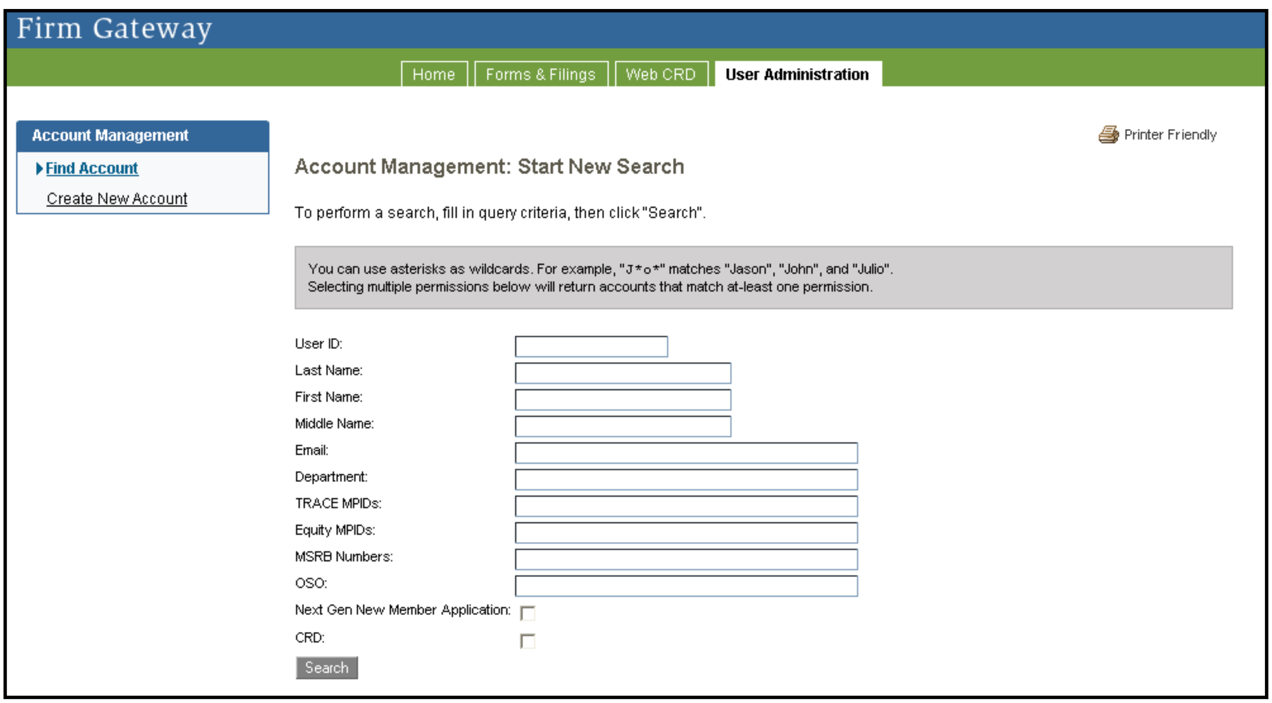
How to Access the Account Management Site

As an Account Administrator, you are responsible for managing the accounts of users at your organization who require entitlement to FINRA regulatory systems.

Step 1: Access the FINRA Firm Gateway site and click the **User Administration** tab on the top **Menu**.



Result: The *Account Management: Start New Search* screen opens.

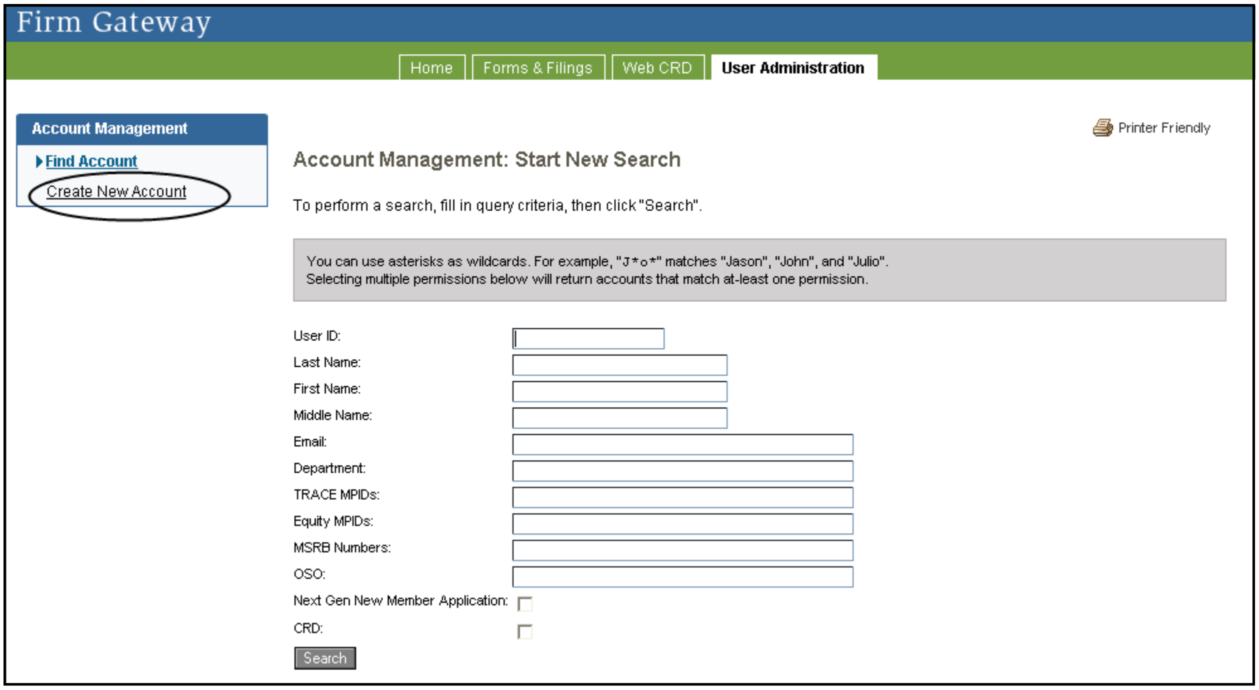


*****NOTE: You can also access the User Account Management login screen by logging into the following URL:https://accountmgmt.finra.org/ewsadmin2/index.jsp.**

How to Create a User Account

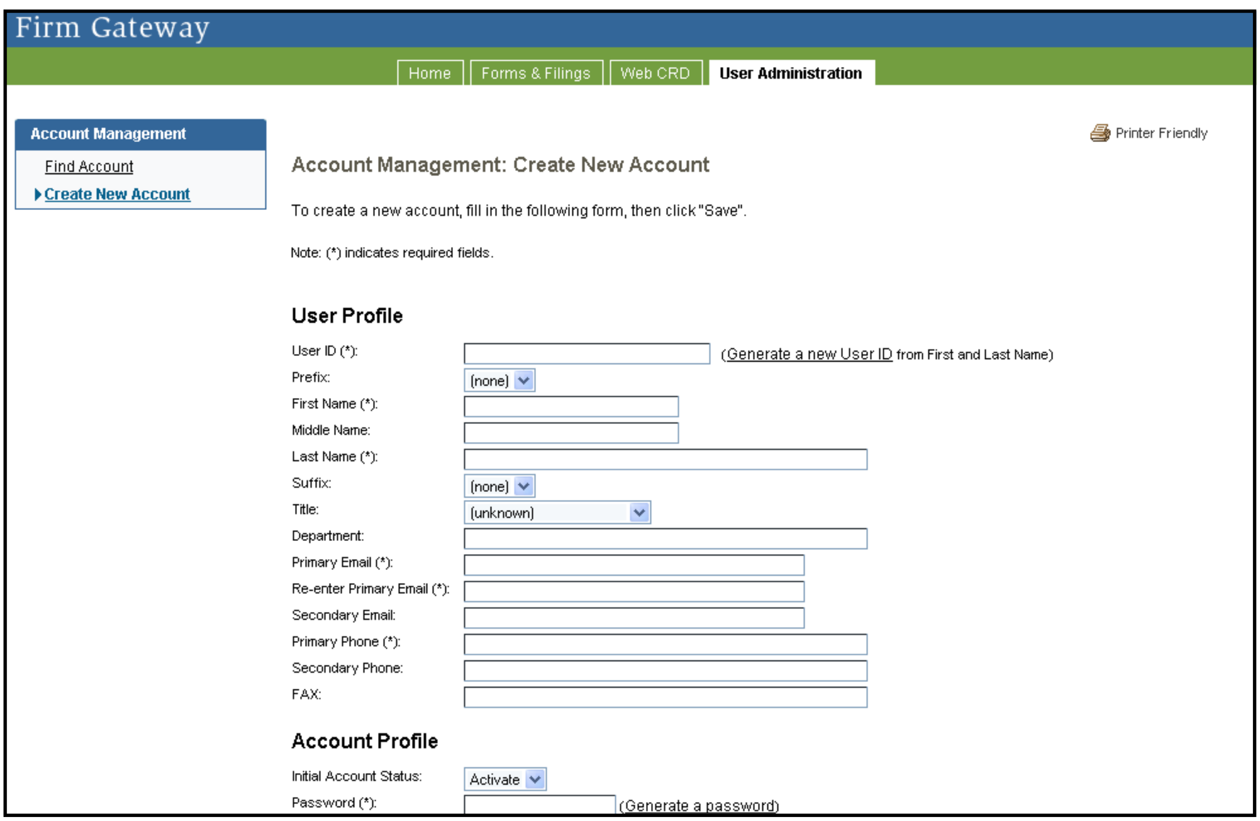
Step 1: Access the Account Management site *(see page 5).*

Result: The **Start New Search** screen appears. It is recommended you search the system first to verify that the individual does not already have an account with your organization.



Step 2: Click **Create New Account** from the navigation panel.

Result: The **Create New Account** screen displays.



How to Create a User Account (cont.)

Step 3: Enter the appropriate information into the fields in the **User Profile**, **Account Profile, FINRA Information,** and **Application Entitlements** sections of the **Create New Account** screen.

NOTES:

- All fields marked with an asterisk (*****) are required to create a new user account. To systematically generate a User ID, enter the user's first and last names into the appropriate fields and click the **Generate a new User ID** hyperlink. To systematically generate a password, click the **Generate a password** hyperlink.
- A new account automatically defaults to an **Initial Account Status** of **Active**, meaning the user can access Web CRD as soon as they are provided with the User ID and Password. If the status is changed to **Disable**, the user cannot access Web CRD until you activate it. The **Legacy User ID** is a read-only field except for FINRA Account Administrators.

The application(s) and privileges for which you are an Account Administrator are listed below the **User Profile**, **Account Profile**, and **FINRA Information** sections of the **Create New Account** screen.

You can grant **User** entitlement for any privilege for which you are entitled as an Account Administrator. Selecting **User** allows the user access to a specific functionality of Web CRD needed to perform their job.

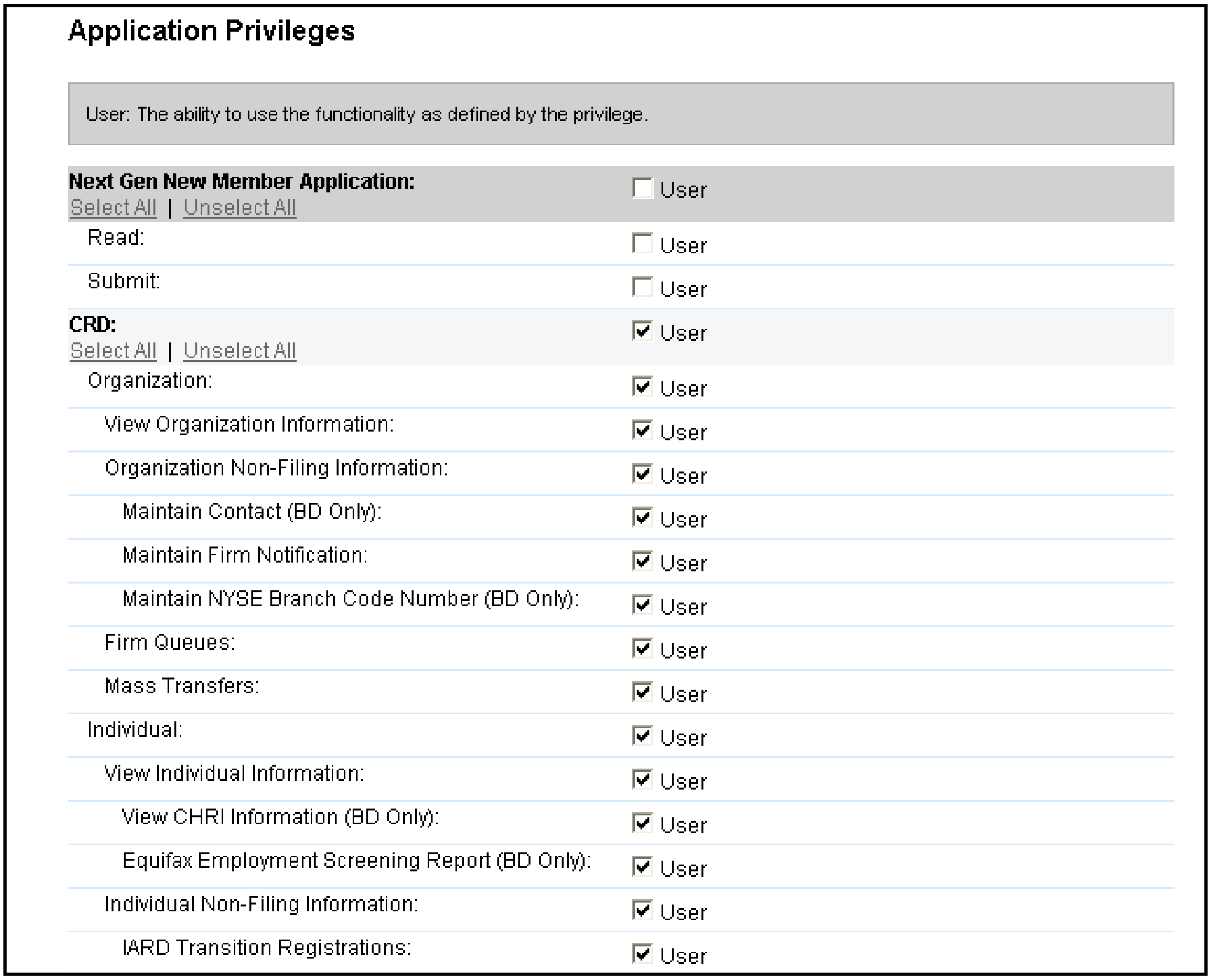
Privileges are organized in a hierarchy, and referred to as "parent" privileges and "child" privileges. If you wish to give a user entitlement to a "child" privilege, you must also give him/her entitlement to the "parent" of that privilege.

For example, the Form U4 privilege is a child of the **Form Filing** parent privilege, which is also a child privilege of the **CRD** parent privilege. To entitle a user at your organization with the ability to submit the Form U4, you would select **CRD User**, **Form Filing: User**, and **Form U4: User**.

If you select **User** for a "child" privilege and forget to select **User** for the "parent" privilege(s) for that "child," the system will automatically choose **User** for the "parent" privilege(s) when you save the privileges.

How to Create a User Account (cont.)

Step 4: Select **User** for all privileges the user needs to perform his/her job responsibilities and click the **Save** button to create the new user account.



Application Privileges

User: The ability to use the functionality as defined by the privilege.

Next Gen New Member Application: Select All | Unselect All	☐ User
Read:	☐ User
Submit:	☐ User
CRD: Select All | Unselect All	☑ User
Organization:	☑ User
View Organization Information:	☑ User
Organization Non-Filing Information:	☑ User
Maintain Contact (BD Only):	☑ User
Maintain Firm Notification:	☑ User
Maintain NYSE Branch Code Number (BD Only):	☑ User
Firm Queues:	☑ User
Mass Transfers:	☑ User
Individual:	☑ User
View Individual Information:	☑ User
View CHRI Information (BD Only):	☑ User
Equifax Employment Screening Report (BD Only):	☑ User
Individual Non-Filing Information:	☑ User
IARD Transition Registrations:	☑ User

NOTES:
- To add all privileges for an application, click the **Select All** hyperlink.
- If you are an Account Administrator for other applications, the other applications and corresponding privileges will appear below the list of Web CRD privileges.

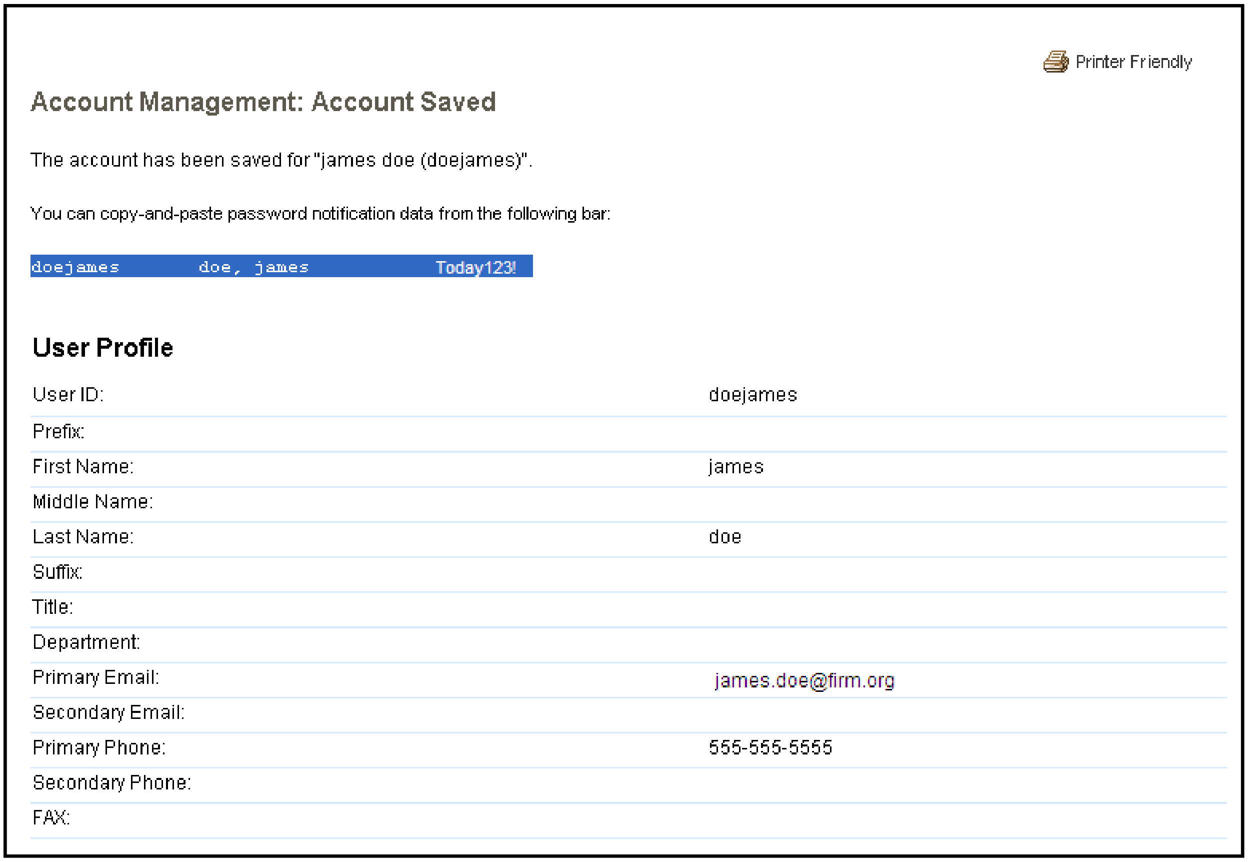
Result: The new user account is now ready.

How to Create a User Account (cont.)

Step 5: Take note of the new User ID and Password, or highlight the bar to copy the User ID and Password and paste it into a document, and provide that information to the user. He/she can now access Web CRD and/or IARD.

NOTES:

- Use the **Paste Special** command after copying the User ID and password so that the information will be visible. When the new user logs into Web CRD for the first time with the User ID and password you have provided, they will immediately be directed to change their password and select a **Security Challenge** question and enter a **Security Response**.
- The date and time the account was created displays in the **Account Created on** field, and the User ID of the person who created the account displays in the **Account Created by** field. If the account was created by an FINRA Administrator it will display “FINRA”



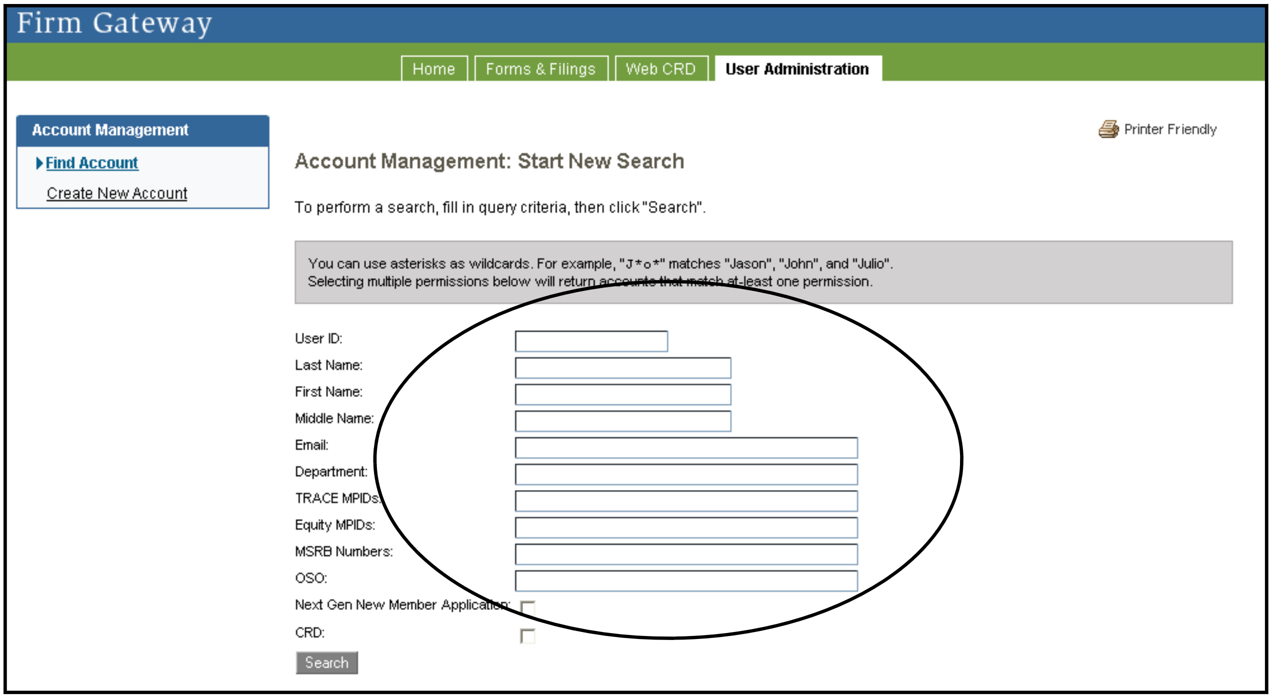
NOTE: When the new user logs into Web CRD for the first time with the initial User ID and Password you provided to him/her, he/she will immediately be directed to change his/her password and select a **Security Challenge** question and provide a **Security Response**.

How to Search for and View a User Account

As an Account Administrator, you are responsible for managing your users' accounts. You must first search for the account(s) you need to edit or delete.

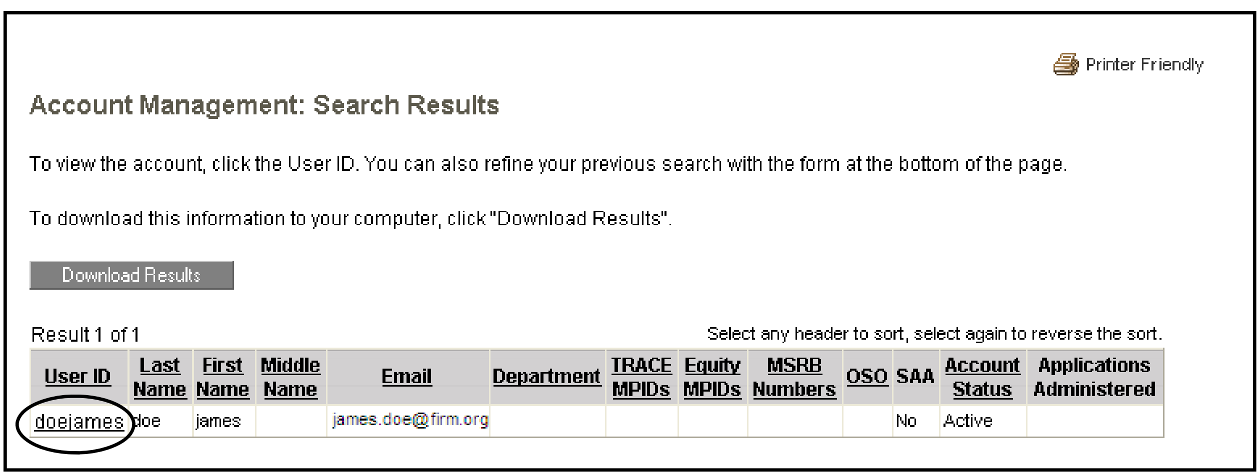
Step 1: Access the Account Management site *(see page 5).*

Result: The **Account Management: Start New Search** screen displays.



Step 2: Enter the appropriate information to search for the user.

Result: The **Search Results** screen displays.



Step 3: Click the hyperlink in the **User ID** column to view the user's account.

Tips for Performing a Search

- To view a list of Web CRD users in your organization, check the **CRD** box and click the **Search** button.
- To view a list of all users at your organization, leave all fields blanks and click the **Search** button. **NOTE:** if your organization has a large number of entitled users, the search may take time.
- You can use asterisks (*) as wildcards to assist your search. For example, if you want to search for all users at your organization whose first names start with A, type **A*** in the **First Name** field and click the **Search** button.
- If your search displays more than one result, you can sort your search results by clicking the column titles. For example, if you want to sort the list alphabetically by last name, you would click the **Last Name** hyperlink.
- You can view up to 30 users at a time. If there are more results, click the **Next** button to display the next set of 30.

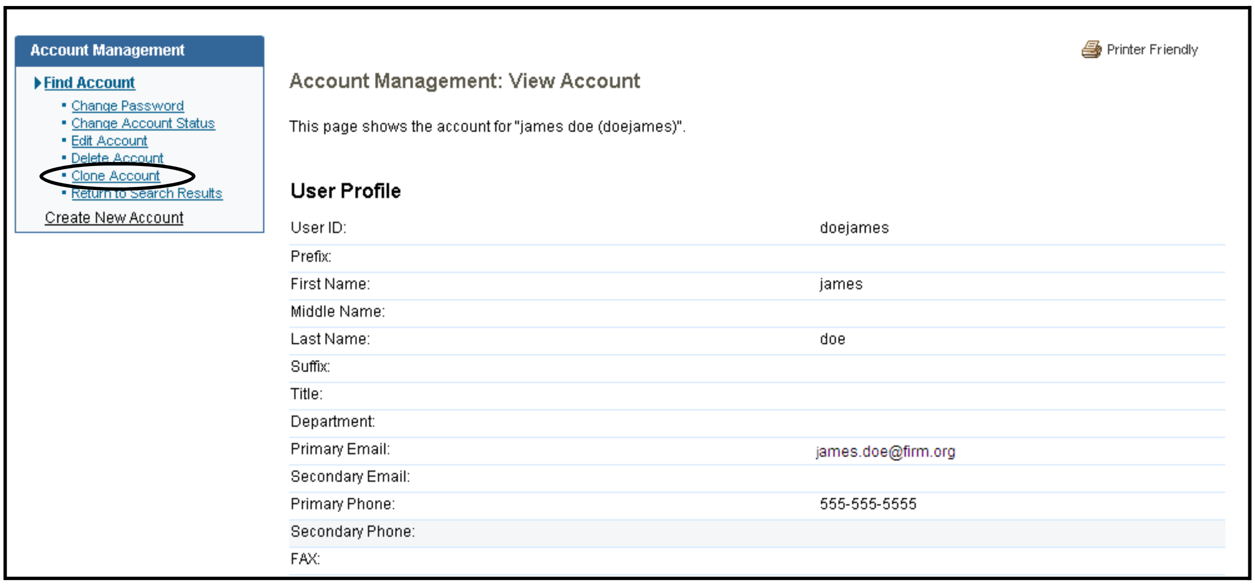
How to Clone a User Account

Cloning an account is the process of creating a new user account by duplicating an existing user's account. This enables the new user to be entitled to the same participating FINRA Entitlement applications and privileges as the existing user is entitled.

Cloning saves time when you have several users at your organization who use the same applications and privileges. You can access an existing user's account and clone that user (i.e., copy that user's privileges) for each individual who requires the same applications and privileges. You can also add or modify any applications or privileges to the new user's account during the cloning process.

Step 1: Search for and view the user's account you want to clone *(see page 10)*.

Example: This user, John Doe, has **User** for CRD, Organization, View Organization Information, and Firm Queues and **no privileges** for Organization Non-Filing Information, Maintain Contact (BD ONLY) and Maintain Firm Notifications.



Step 2: Click **Clone Account** from the navigation panel.

How to Clone a User Account (cont.)

Result: A new user account opens with the **User Profile**, **Account Profile** or **FINRA Information** fields blank, and the same privileges that “John Doe” had, i.e., **User** for CRD, Organization, View Organization Information and Firm Queues and **no privileges** for Organization Non-Filing Information, Maintain Contact (BD ONLY) and Maintain Firm Notifications.

Step 3: Enter the appropriate information into the **User Profile**, **Account Profile**, and **FINRA Information** fields. All fields marked with an asterisk (*) must be completed to create a new user account. To systematically generate a User ID, enter the user’s first and last names into the appropriate fields and click the **generate a new User ID** hyperlink.

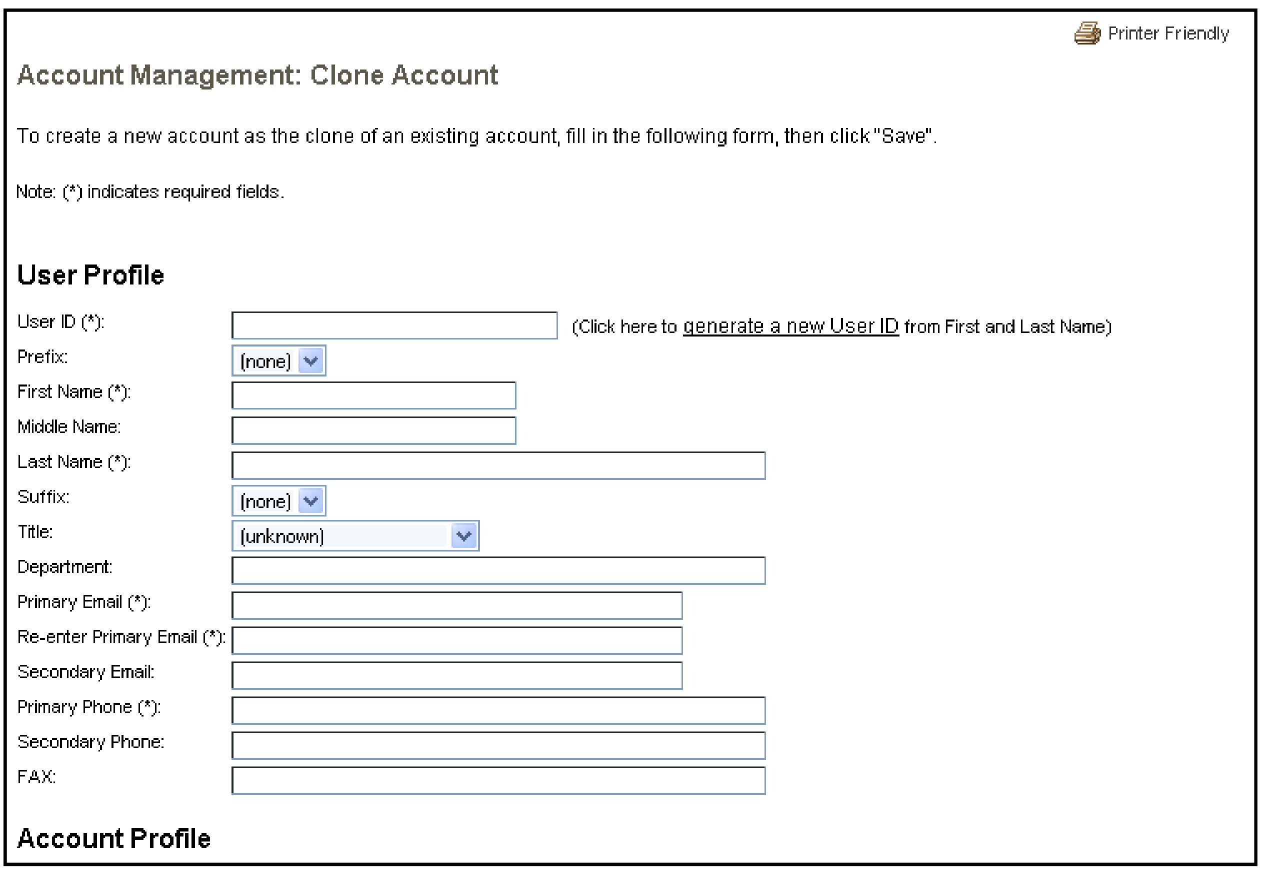
To systematically generate a password, click the **generate a password** hyperlink.

Step 4: To add an additional application(s) and/or privileges to a user’s account, click **User**.

OR

Step 4a: To remove a privilege that a user no longer needs click **‘User’**. This will uncheck the box next to the privilege that is not needed

Step 5: Click the **Save** button.


Printer Friendly

Account Management: Clone Account

To create a new account as the clone of an existing account, fill in the following form, then click "Save".

Note: (*) indicates required fields.

User Profile

User ID (*): (Click here to generate a new User ID from First and Last Name)
Prefix: (none)
First Name (*):
Middle Name:
Last Name (*):
Suffix: (none)
Title: (unknown)
Department:
Primary Email (*):
Re-enter Primary Email (*):
Secondary Email:
Primary Phone (*):
Secondary Phone:
FAX:

Account Profile

NOTE: “Firm” and “Other” Web CRD user classes do not have the ability to clone an FTP account.

How to Change a User's Password and Account Status

If a user has problems logging into his/her account, it may be because:

- He/she has forgotten the password or the password has expired.
- He/she has unsuccessfully entered his/her password more than five times and has been locked out.
- He/she has been disabled intentionally, either by a firm Account Administrator or by the FINRA Entitlement Group.

Step 1: Search for the user's account (See page 10)
Step 2: View and evaluate the user's **Account Status**

Step 3: Click the **User ID** hyperlink to access user's *Account Management: View Account* screen.

Printer Friendly

Account Management: Search Results

To view the account, click the User ID. You can also refine your previous search with the form at the bottom of the page.

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

Download Results

Result 1 of 1

Select any header to sort, select again to reverse the sort.

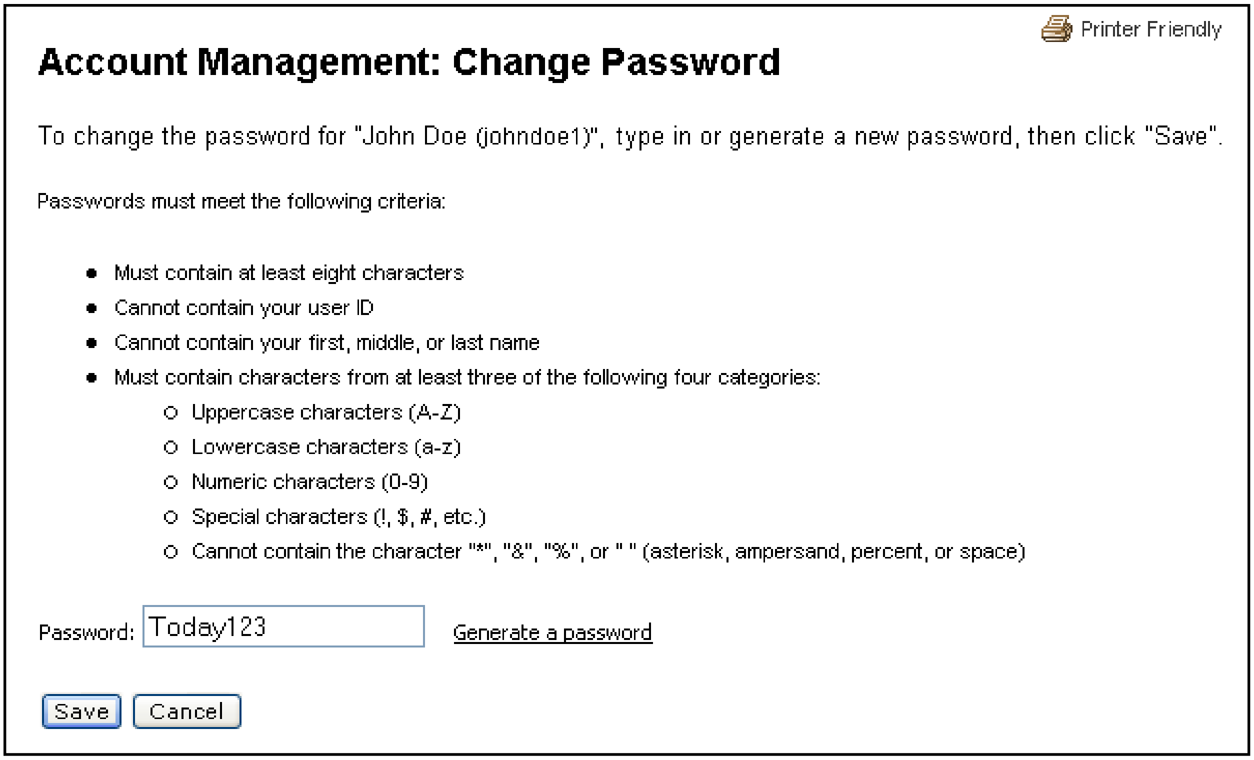
User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
doejames	doe	james		james.doe@firm.org						No	Active	

Account Status	Recommended Action:
Active	Advise the user to click the **Forgot Password?** hyperlink located on the login screen. You also have the option to reset the user's password *(see page 15)*.
Password Lockout	Advise the user to click the **Forgot Password?** hyperlink located on the log in screen. You also have the option to reset the user's password and reactivate the account (*see page 15)*. **Note**: Users who forget their password and/or are locked out from unsuccessfully attempting to enter a password or security challenge response more than five times can click on the **Forgot Password?** link to request a new password and/or automatically unlock the account. The user will be prompted to enter his/her User ID and security challenge response before a new password will be emailed.
Disabled by non-FINRA Account Administrator	Check with the Super Account Administrator or Account Administrators at your firm to confirm that you should reactivate this account. If allowed, reactivate the account *(see page 15)*. You may wish to change the user's password at this time as well.
Disabled by FINRA Administrator	Contact the FINRA Gateway Call Center at 301-896-6699 for more information on why this account has been disabled.

How to Change a User's Password and Account Status (cont.)

Step 4: Enter a new password for the user, or click **Generate a password** to systematically generate a new password for the user. Click the **Save** button.

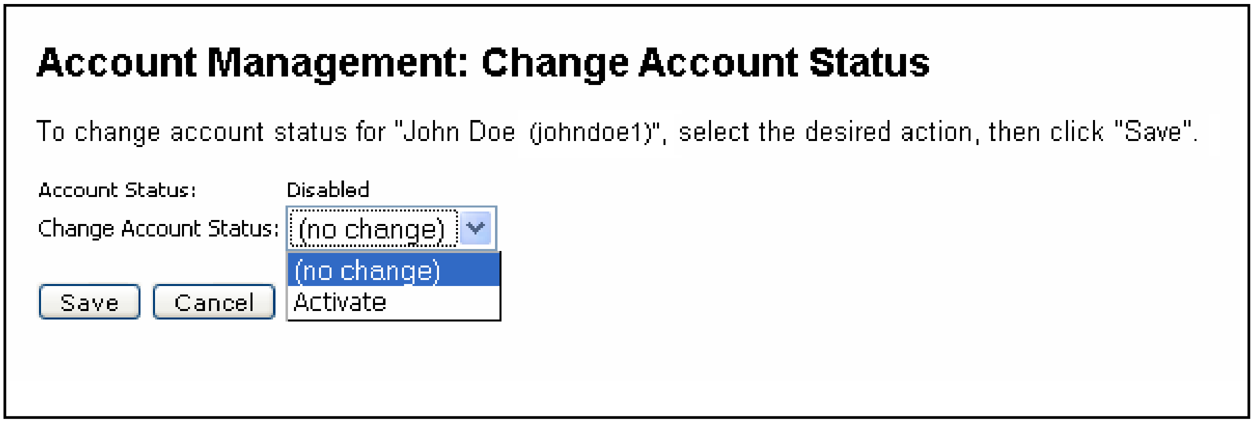
NOTE: The password generated is a temporary password; the user will have to change the password the next time they logs into the application. Changing a user's password does not automatically reactivate the account.



Step 5 Click **Change Account Status** from the navigation panel.

Step 6: Click the drop-down arrow in the **Change Account Status** field and select **Activate.** Click the **Save** button.

Result: The user's account has been reactivated. Provide the user with his/her new temporary password.



How to Edit a User Account

Step 1: Search for and view the user's account *(see page 10).*

Step 2: Click **Edit Account** from the navigation panel.

Step 3: Update any necessary information in the **User Profile** and/or **FINRA Information** fields.

OR

Step 3a: To disable or reactivate a user's account, click the drop-down arrow in the **Change Account Status** field and change the status to **Disable** or **Activate**, as appropriate.

OR

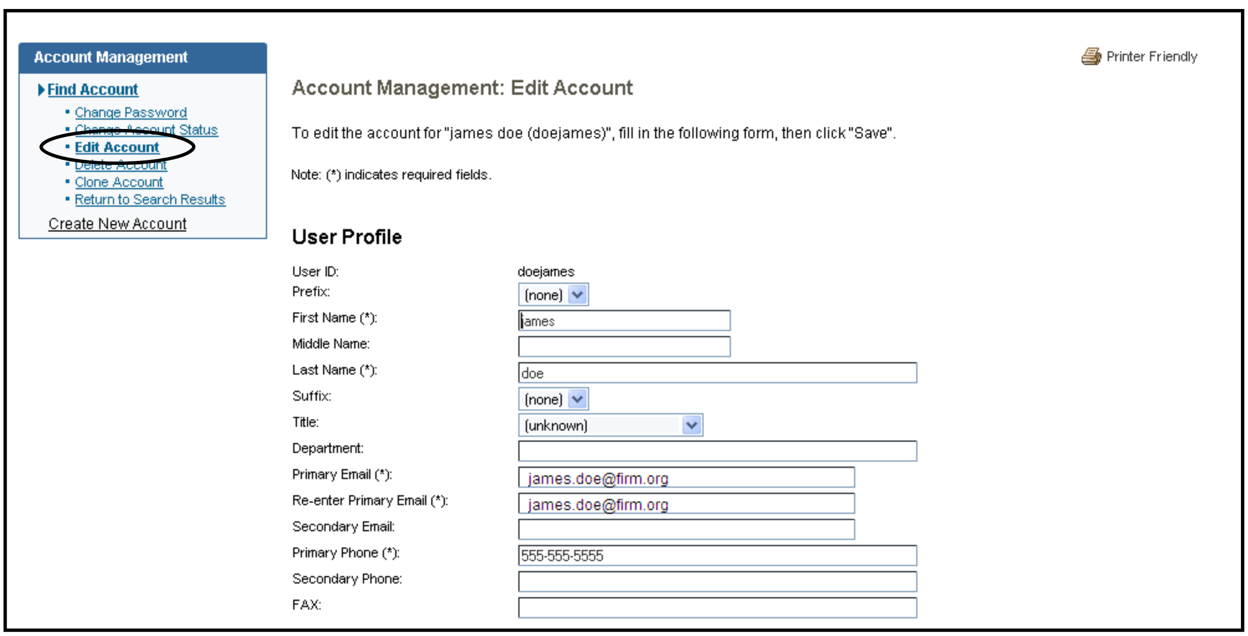
Step 3b: To add a privilege to a user's account click **User** next to the appropriate privilege.

OR

Step 3c: To remove a privilege that a user no longer needs click 'User'. This will uncheck the box next to the privilege that is no longer needed.

Step 4: Click **Save**.

NOTE: You cannot edit the **User ID** or **Legacy User ID** fields. You can only see and edit the applications and privileges for which you are an entitled Account Administrator. Also, you cannot edit any information for another Account Administrator's account.



How to Delete a User Account

If a user is no longer employed at your firm, or if a user no longer needs access to any participating FINRA Entitlement applications, the Account Administrator can delete the user's account. As an Account Administrator, it is your responsibility to perform regular housekeeping on your firm's users, by periodically reviewing accounts to determine which accounts should be deleted.

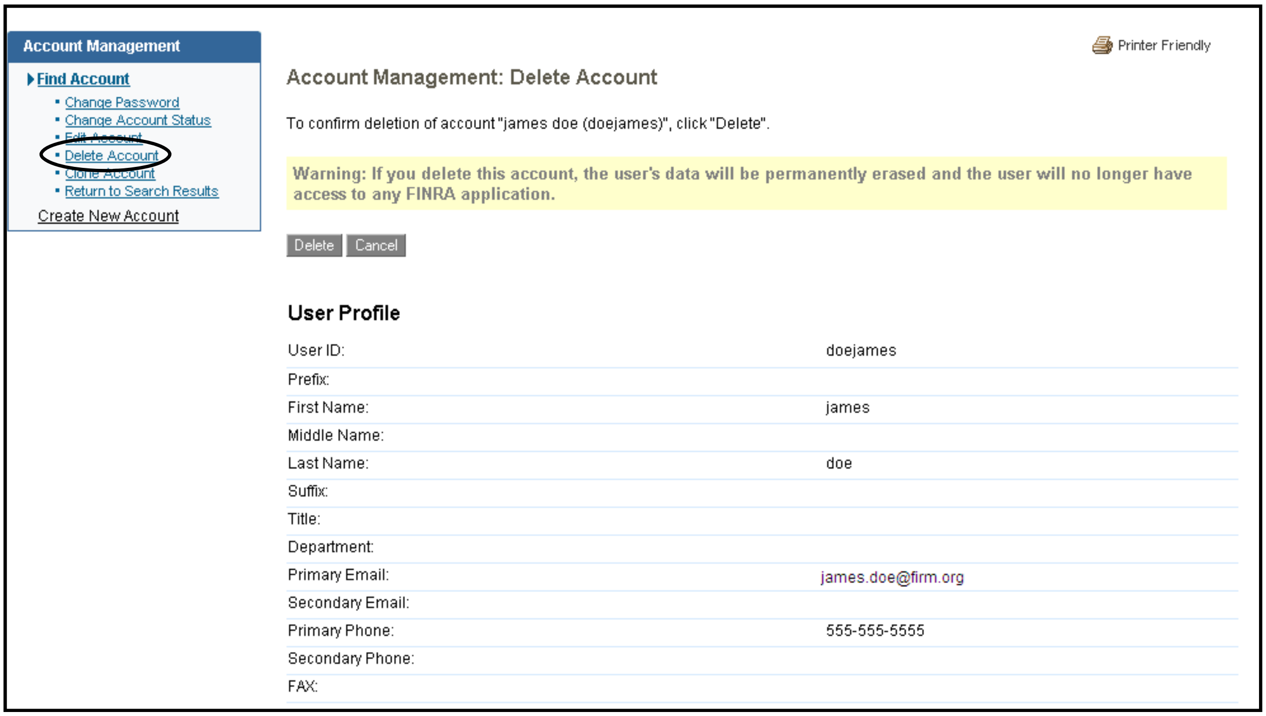
Step 1: Search for and view the user's account *(see page 10).*

Step 2: Click **Delete Account** from the navigation panel.

Result: A warning message displays reminding you that the individual's data will be permanently deleted and the user will not be able to access any participating FINRA applications.

Step 3: Click the **Delete** button.

Result: A confirmation message displays letting you know that the account has been deleted.



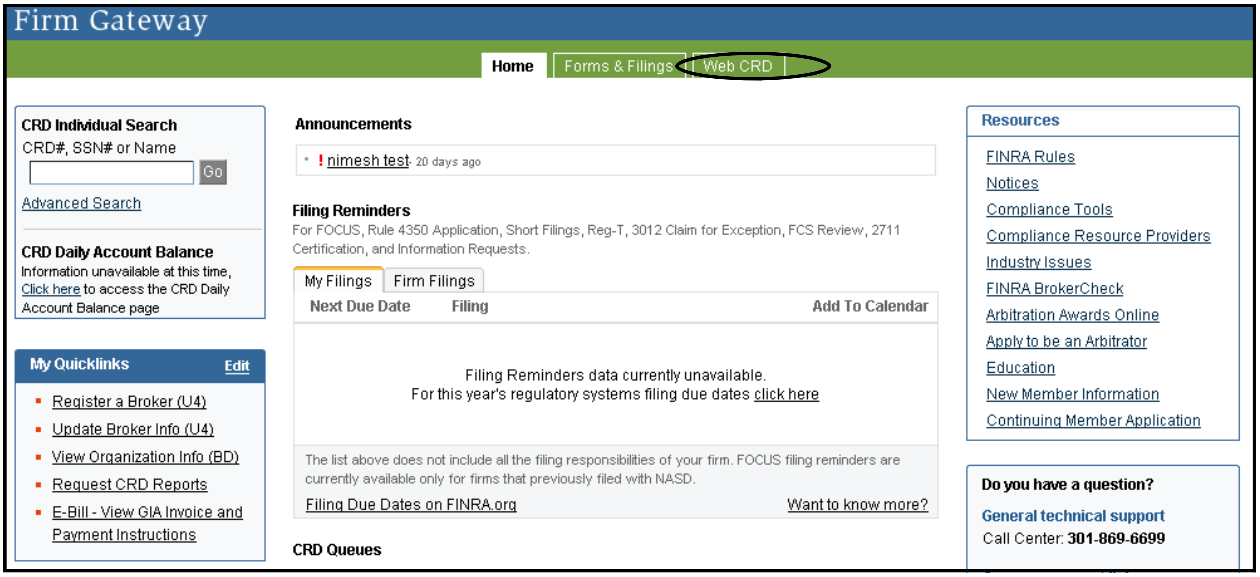
IMPORTANT TIPS WHEN DELETING USER ACCOUNTS

- It is important not to delete a user in error, because the user will lose access to all participating FINRA Entitlement applications.
- If you delete a user in error, create a new account for the user and entitle him/her to any applications and privileges he/she needs.
- If a user is entitled to more than one application (e.g., Web CRD, IARD, and FINRA Report Center) and he/she no longer needs access to one of those applications, DO NOT delete the user's account. Instead, remove all privileges for an application, by clicking the **Unselect All** hyperlink.

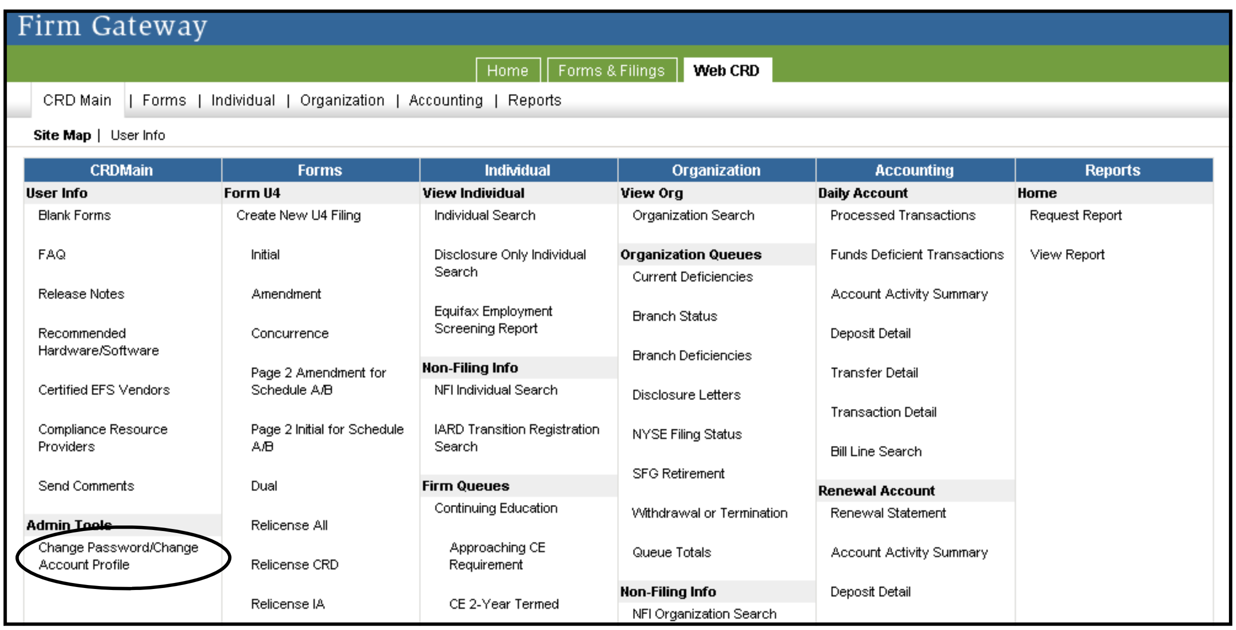
How to Find the Super Account Administrator or Account Administrator

All user's can view a list of their firm's Super Account Administrator, Account Administrators and the list of **all** FINRA applications available to your organization.

Step 1: Access the FINRA Firm Gateway site and click the **Appropriate Application** tab on the top **Menu** (i.e. **Web CRD**).



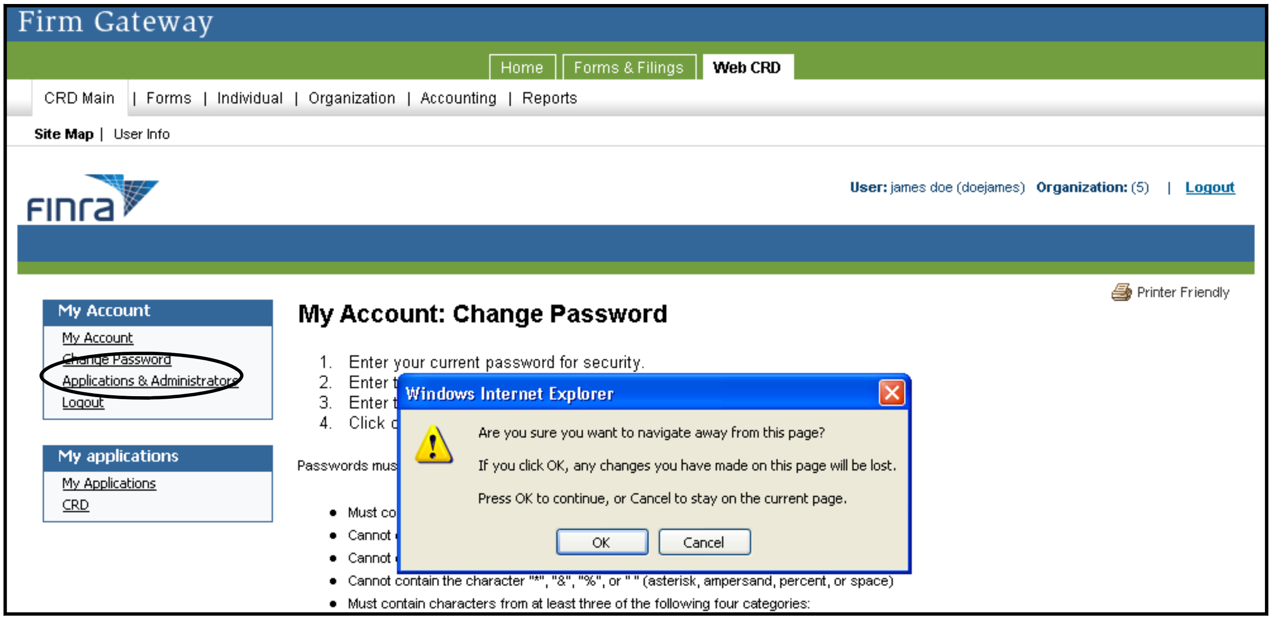
Result: The **CRD Site Map** displays.



Step 2: Click **Change Password/Change Account Profile** under the CRDMain column.

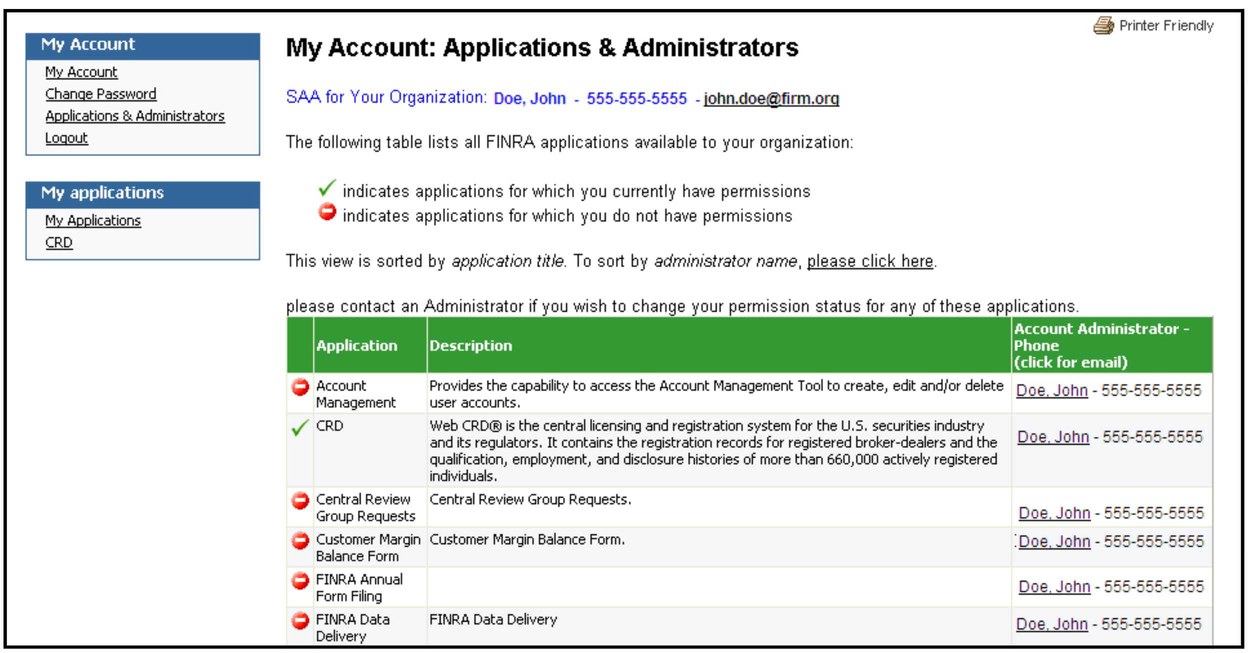
How to Find the Super Account Administrator or Account Administrator (cont.)

Result: The **Change Password** screen displays.



Step 3: Click **Applications & Administrators** from the navigation panel and click **OK**.

Result: The **Applications & Administrators** screen displays.



Green check marks indicate the applications for which you are entitled. The red circles indicate the applications for which you are not entitled.