

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**.

Password Reset

1. Enter your current password for security.
2. Enter the new password you would like to use.
3. Enter the new password again to confirm.
4. Update your security challenge and response if desired.
5. Click continue.

Passwords must meet the following criteria:

- Must contain at least eight characters
- Cannot contain your user ID
- Cannot contain your first, middle, or last name
- Must contain characters from at least three of the following four categories:
 - Uppercase characters (A-Z)
 - Lowercase characters (a-z)
 - Numeric characters (0-9)
 - Special characters (!, \$, #, etc.)
 - Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)

Note: (*) indicates required fields.

Current password (*):

New password (*):

Re-type new password to confirm (*):

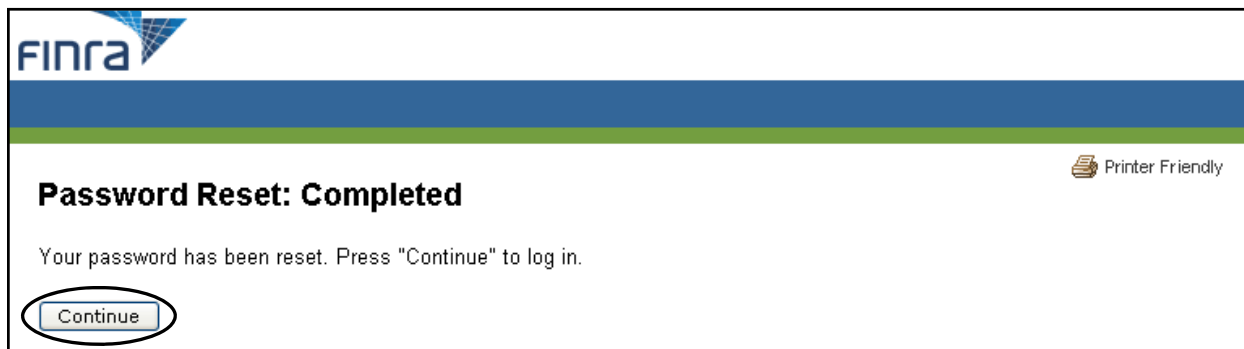
Security Challenge (*):

Security Response (*):

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**.

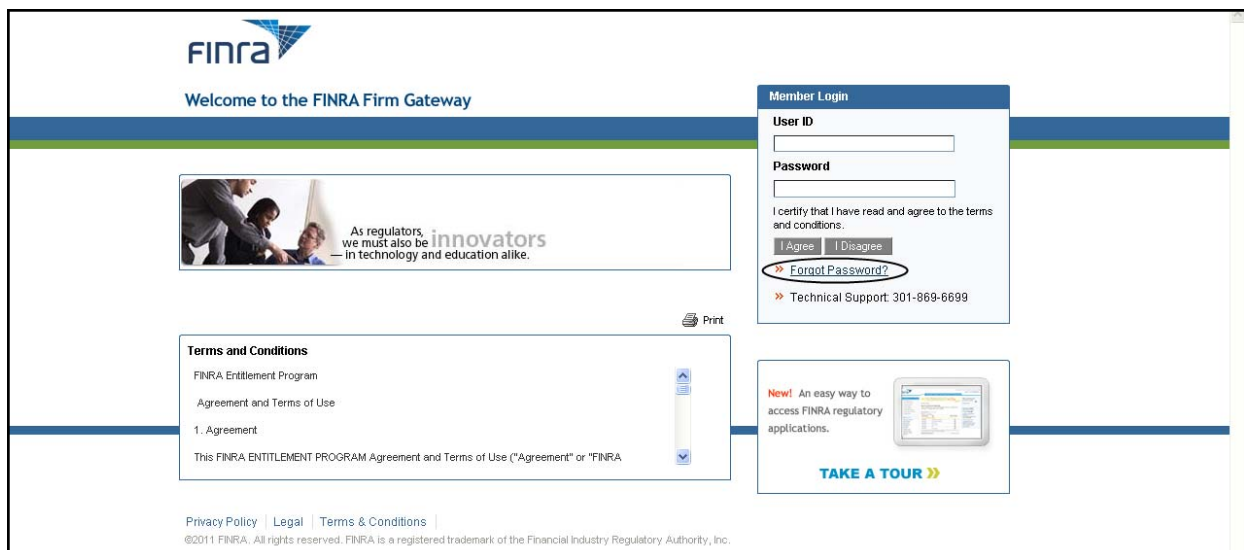


The screenshot shows the FINRA logo at the top left. Below it is a blue and green header bar. On the right side of the header bar, there is a printer icon and the text "Printer Friendly". The main content area has the heading "Password Reset: Completed" in bold. Below the heading, it says "Your password has been reset. Press 'Continue' to log in." At the bottom left, there is a button labeled "Continue" which is circled in red.

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.



The screenshot shows the FINRA logo at the top left. Below it is a blue and green header bar with the text "Welcome to the FINRA Firm Gateway". The main content area is divided into several sections. On the left, there is a banner with the text "As regulators, we must also be innovators in technology and education alike." Below this is a "Terms and Conditions" section with a scroll bar. On the right, there is a "Member Login" box with fields for "User ID" and "Password", a "I certify that I have read and agree to the terms and conditions." section with "I Agree" and "I Disagree" buttons, and a "Forgot Password?" link circled in red. Below the login box is a "New! An easy way to access FINRA regulatory applications." section with a "TAKE A TOUR" button. At the bottom, there is a footer with "Privacy Policy | Legal | Terms & Conditions" and "©2011 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc."

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**.

The screenshot shows the 'Firm Gateway' website interface. At the top, there is a navigation menu with tabs for 'Home', 'Forms & Filings', 'Web CRD', and 'User Administration'. The 'User Administration' tab is circled in red. Below the navigation menu, the page is divided into several sections:

- CRD Individual Search:** A search box for CRD#, SSN# or Name with a 'Go' button and an 'Advanced Search' link.
- CRD Daily Account Balance:** A section indicating that information is unavailable at this time and providing a link to access the CRD Daily Account Balance page.
- My Quicklinks:** A list of links including 'Register a Broker (U4)', 'Update Broker Info (U4)', 'View Organization Info (BD)', 'Request CRD Reports', and 'E-Bill - View GIA Invoice and Payment Instructions'.
- Filing Reminders:** A section for FOCUS, Disclosure Events, Customer Complaints, Short Filings, Reg-T, 3012 Claim for Exception, FCS Review, 2711 Certification, and Information Requests. It includes tabs for 'My Filings' and 'Firm Filings', a table for 'Next Due Date' and 'Filing', and an 'Add To Calendar' button. A message states: 'Filing Reminders data currently unavailable. For this year's regulatory systems filing due dates [click here](#)'. Below this, it notes that the list does not include all filing responsibilities and provides a link to 'Filing Due Dates on FINRA.org' and a 'Want to know more?' link.
- CRD Queues:** A section with a table for 'Individual CRD Queues' and 'Organization CRD Queues', each with an 'Edit' button and a 'Total' column. A message states: 'There are no queues in your list, click [here](#) to configure your queue list'.
- Resources:** A sidebar containing links to 'FINRA Rules', 'Notices', 'Compliance Tools', 'Compliance Resource Providers', 'Industry Issues', 'FINRA BrokerCheck', 'Arbitration Awards Online', 'Apply to be an Arbitrator', 'Education', 'New Member Information', 'Continuing Member Application', and 'E-Bill-View GIA Invoice and Payment Instructions'.
- Do you have a question?:** A section for 'General technical support' with a 'Call Center: 301-869-6699'.

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

The screenshot shows the 'Account Management: Start New Search' screen. At the top, the navigation menu includes 'Home', 'Forms & Filings', 'Web CRD', and 'User Administration'. The 'User Administration' tab is selected. On the left, there is a sidebar with 'Account Management' and links for 'Find Account' and 'Create New Account'. The main content area includes:

- A 'Printer Friendly' icon.
- A heading: 'Account Management: Start New Search'.
- Instructions: 'To perform a search, fill in query criteria, then click "Search".'
- A grey box with 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.'
- A form with the following fields: 'User ID:', 'Last Name:', 'First Name:', 'Middle Name:', 'Email:', 'Department:', 'TRACE MPIDs:', 'Equity MPIDs:', 'MSRB Numbers:', and 'OSO:'. Each field has a corresponding text input box.
- Two checkboxes: 'Next Gen New Member Application:' and 'CRD:'.
- A 'Search' button at the bottom.

*****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.

Firm Gateway

Home | Forms & Filings | Web CRD | **User Administration**

Account Management

Find Account

Create New Account

Printer Friendly

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:

Next Gen New Member Application:

CRD:

Search

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

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

Firm Gateway

Home | Forms & Filings | Web CRD | **User Administration**

Account Management

Find Account

Create New Account

Printer Friendly

Account Management: Create New Account

To create a new account, fill in the following form, then click "Save".

Note: (*) indicates required fields.

User Profile

User ID (*): (Generate a new User ID from First and Last Name)

Prefix:

First Name (*):

Middle Name:

Last Name (*):

Suffix:

Title:

Department:

Primary Email (*):

Re-enter Primary Email (*):

Secondary Email:

Primary Phone (*):

Secondary Phone:

FAX:

Account Profile

Initial Account Status:

Password (*): (Generate a password)

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:	<input type="checkbox"/> User
Select All Unselect All	
Read:	<input type="checkbox"/> User
Submit:	<input type="checkbox"/> User
CRD:	<input checked="" type="checkbox"/> User
Select All Unselect All	
Organization:	<input checked="" type="checkbox"/> User
View Organization Information:	<input checked="" type="checkbox"/> User
Organization Non-Filing Information:	<input checked="" type="checkbox"/> User
Maintain Contact (BD Only):	<input checked="" type="checkbox"/> User
Maintain Firm Notification:	<input checked="" type="checkbox"/> User
Maintain NYSE Branch Code Number (BD Only):	<input checked="" type="checkbox"/> User
Firm Queues:	<input checked="" type="checkbox"/> User
Mass Transfers:	<input checked="" type="checkbox"/> User
Individual:	<input checked="" type="checkbox"/> User
View Individual Information:	<input checked="" type="checkbox"/> User
View CHRI Information (BD Only):	<input checked="" type="checkbox"/> User
Equifax Employment Screening Report (BD Only):	<input checked="" type="checkbox"/> User
Individual Non-Filing Information:	<input checked="" type="checkbox"/> User
IARD Transition Registrations:	<input checked="" type="checkbox"/> 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 a FINRA Administrator it will display "FINRA"

 Printer Friendly

Account Management: Account Saved

The account has been saved for "james doe (doejames)".

You can copy-and-paste password notification data from the following bar:

doejames doe, james Today123!

User Profile

User ID:	doejames
Prefix:	
First Name:	james
Middle Name:	
Last Name:	doe
Suffix:	
Title:	
Department:	
Primary Email:	james.doe@firm.org
Secondary Email:	
Primary Phone:	555-555-5555
Secondary Phone:	
FAX:	

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.

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	

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.

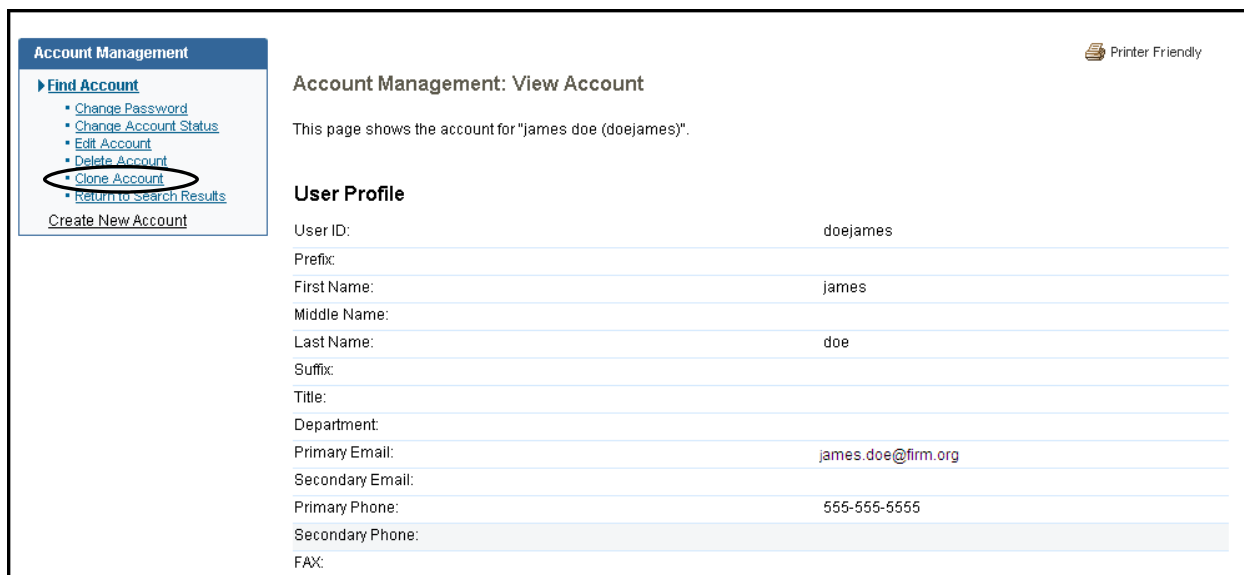
How to Clone a User Account

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.



The screenshot displays the 'Account Management: View Account' page for a user named 'james doe (doejames)'. On the left, a navigation panel titled 'Account Management' contains several options, with 'Clone Account' circled in red. The main content area shows the user's profile information, including their ID, name, email, and phone numbers.

Account Management: View Account	
This page shows the account for "james doe (doejames)".	
User Profile	
User ID:	doejames
Prefix:	
First Name:	james
Middle Name:	
Last Name:	doe
Suffix:	
Title:	
Department:	
Primary Email:	james.doe@firm.org
Secondary Email:	
Primary Phone:	555-555-5555
Secondary Phone:	
FAX:	

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 (*):	<input type="text"/>	(Click here to generate a new User ID from First and Last Name)
Prefix:	<input type="text" value="none"/>	
First Name (*):	<input type="text"/>	
Middle Name:	<input type="text"/>	
Last Name (*):	<input type="text"/>	
Suffix:	<input type="text" value="none"/>	
Title:	<input type="text" value="unknown"/>	
Department:	<input type="text"/>	
Primary Email (*):	<input type="text"/>	
Re-enter Primary Email (*):	<input type="text"/>	
Secondary Email:	<input type="text"/>	
Primary Phone (*):	<input type="text"/>	
Secondary Phone:	<input type="text"/>	
FAX:	<input type="text"/>	

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 (<i>see page 15</i>).
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 (<i>see page 15</i>). 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 (<i>see page 15</i>). 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.

 Printer Friendly

Account Management: Change Password

To change the password for "John Doe (johndoe1)", type in or generate a new password, then click "Save".

Passwords must meet the following criteria:

- Must contain at least eight characters
- Cannot contain your user ID
- Cannot contain your first, middle, or last name
- Must contain characters from at least three of the following four categories:
 - Uppercase characters (A-Z)
 - Lowercase characters (a-z)
 - Numeric characters (0-9)
 - Special characters (!, \$, #, etc.)
 - Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)

Password: [Generate a password](#)

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.

Account Management: Change Account Status

To change account status for "John Doe (johndoe1)", select the desired action, then click "Save".

Account Status: Disabled

Change Account Status: ▼

(no change)

(no change)

Activate

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.

Account Management

- ▶ [Find Account](#)
 - [Change Password](#)
 - [Change Account Status](#)
 - [Edit Account](#)
 - [Delete Account](#)
 - [Clone Account](#)
 - [Return to Search Results](#)
- [Create New Account](#)



Account Management: Edit Account

To edit the account for "james doe (doejames)", fill in the following form, then click "Save".

Note: (*) indicates required fields.

User Profile

User ID:	doejames
Prefix:	<input type="text" value="(none)"/>
First Name (*):	<input type="text" value="james"/>
Middle Name:	<input type="text"/>
Last Name (*):	<input type="text" value="doe"/>
Suffix:	<input type="text" value="(none)"/>
Title:	<input type="text" value="(unknown)"/>
Department:	<input type="text"/>
Primary Email (*):	<input type="text" value="james.doe@firm.org"/>
Re-enter Primary Email (*):	<input type="text" value="james.doe@firm.org"/>
Secondary Email:	<input type="text"/>
Primary Phone (*):	<input type="text" value="555-555-5555"/>
Secondary Phone:	<input type="text"/>
FAX:	<input type="text"/>

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.

Account Management

Printer Friendly

▶ Find Account

- [Change Password](#)
- [Change Account Status](#)
- [Edit Account](#)
- [Delete Account](#)
- [Clone Account](#)
- [Return to Search Results](#)

Account Management: Delete Account

To confirm deletion of account "james doe (doejames)", click "Delete".

Warning: If you delete this account, the user's data will be permanently erased and the user will no longer have access to any FINRA application.

User Profile

User ID:	doejames
Prefix:	
First Name:	james
Middle Name:	
Last Name:	doe
Suffix:	
Title:	
Department:	
Primary Email:	james.doe@firm.org
Secondary Email:	
Primary Phone:	555-555-5555
Secondary Phone:	
FAX:	

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**).

The screenshot shows the 'Firm Gateway' website interface. At the top, there is a navigation bar with tabs for 'Home', 'Forms & Filings', and 'Web CRD'. The 'Web CRD' tab is highlighted with a red circle. Below the navigation bar, the page is divided into several sections: 'CRD Individual Search' with a search box and 'Go' button; 'Announcements' with a notification for 'nimesh test'; 'Filing Reminders' with a table for 'My Filings' and 'Firm Filings'; 'Resources' with a list of links including 'FINRA Rules', 'Notices', and 'Compliance Tools'; and 'My Quicklinks' with links like 'Register a Broker (U4)' and 'Update Broker Info (U4)'. A 'Do you have a question?' section is also present at the bottom right.

Result: The CRD Site Map displays.

The screenshot shows the 'Firm Gateway' website with the 'Web CRD' tab selected. Below the navigation bar, there is a 'Site Map' section with a table of links organized into columns: CRDMain, Forms, Individual, Organization, Accounting, and Reports. The 'Admin Tools' section under 'CRDMain' is circled in red, and the link 'Change Password/Change Account Profile' is also circled in red.

CRDMain	Forms	Individual	Organization	Accounting	Reports
User Info	Form U4	View Individual	View Org	Daily Account	Home
Blank Forms	Create New U4 Filing	Individual Search	Organization Search	Processed Transactions	Request Report
FAQ	Initial	Disclosure Only Individual Search	Organization Queues	Funds Deficient Transactions	View Report
Release Notes	Amendment	Equifax Employment Screening Report	Current Deficiencies	Account Activity Summary	
Recommended Hardware/Software	Concurrence	Non-Filing Info	Branch Status	Deposit Detail	
Certified EFS Vendors	Page 2 Amendment for Schedule A/B	NFI Individual Search	Branch Deficiencies	Transfer Detail	
Compliance Resource Providers	Page 2 Initial for Schedule A/B	IARD Transition Registration Search	Disclosure Letters	Transaction Detail	
Send Comments	Dual	Firm Queues	NYSE Filing Status	Bill Line Search	
Admin Tools	Relicense All	Continuing Education	SFG Retirement	Renewal Account	
Change Password/Change Account Profile	Relicense CRD	Approaching CE Requirement	Withdrawal or Termination	Renewal Statement	
	Relicense IA	CE 2-Year Termed	Queue Totals	Account Activity Summary	
			Non-Filing Info	Deposit Detail	
			NFI Organization Search		

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.

The screenshot shows the 'Firm Gateway' interface. The user is logged in as 'james doe (doejames)'. The 'My Account: Change Password' screen is active. A navigation menu on the left has 'Applications & Administrators' circled. A Windows Internet Explorer dialog box is open, warning that clicking OK will lose changes. The dialog box text reads: 'Are you sure you want to navigate away from this page? If you click OK, any changes you have made on this page will be lost. Press OK to continue, or Cancel to stay on the current page.' The background page shows instructions for changing a password and a list of password requirements.

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

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

The screenshot shows the 'My Account: Applications & Administrators' screen. It displays the SAA for the organization: 'Doe, John - 555-555-5555 - john.doe@firm.org'. Below this, it states that the following table lists all FINRA applications available to the organization. A legend indicates that green checkmarks represent applications with permissions and red circles represent those without. The table is sorted by application title. A note asks the user to contact an administrator to change permission status. The table below contains the following data:

Application	Description	Account Administrator - Phone (click for email)
Account Management	Provides the capability to access the Account Management Tool to create, edit and/or delete user accounts.	Doe, John - 555-555-5555
CRD	Web CRD@ is the central licensing and registration system for the U.S. securities industry and its regulators. It contains the registration records for registered broker-dealers and the qualification, employment, and disclosure histories of more than 660,000 actively registered individuals.	Doe, John - 555-555-5555
Central Review Group Requests	Central Review Group Requests.	Doe, John - 555-555-5555
Customer Margin Balance Form	Customer Margin Balance Form.	Doe, John - 555-555-5555
FINRA Annual Form Filing		Doe, John - 555-555-5555
FINRA Data Delivery	FINRA Data Delivery	Doe, John - 555-555-5555

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