To: Super Account Administrator (SAA) FINRA Entitlement Program

From: FINRA Entitlement Group

Re: SAA Confirmation Packet

Welcome to the FINRA Entitlement Program.

The FINRA Entitlement Program permits authorized users to access participating web-based applications with a single user account.

This Super Account Administrator (SAA) Confirmation Packet contains seven (7) attachments with detailed information to assist you and your organization as a FINRA Entitlement Program participant.

I. **Minimum Browser Requirements for each Application** - This attachment lists the minimum browser requirements necessary to access and operate any current participating web-based applications.

II. **Account Management Tool General Overview -** This attachment provides information on features of login screens for SAAs and Users.

III. **Super Account Administrator's Roles & Responsibilities** - This attachment provides the roles and responsibilities of an SAA using the Account Management Tool and provides Entitlement Tips.

IV. **Password Change Instructions -** This attachment provides the steps for changing your password and accessing the participating applications.

V. **Password Change Instructions for Users (Account Administrators & Users)** - This attachment provides the users with the steps necessary to access the participating applications. The attachment also includes important reminders regarding password security. You may distribute this attachment to your users as a reference aid.

VI. **Entitlement** – **Firm Download Report** – This attachment provides the benefits and instructions for using the Firm Download Report which enables an SAA and other account administrators to review their users and to validate what access they have.

VII. **FINRA Entitlement Program Support Information** – This attachment provides a reference of support information available for the FINRA Entitlement Program.

Minimum Browser Requirements for each Application

Attachment I

Application	IE[1]	Firefox[1]
IARD™	7.0 or greater	2.0 or greater
FINRA Contact System	6.0 or greater	1.5 or greater
Report Center	6.0 or greater	2.0 or greater
Order Audit Trail System (OATS)	6.0	2.5 or greater
Regulation Filing Applications	6.0 or greater	1.5 or greater
Web CRD®	7.0 or greater	2.0 or greater
Web Information Request (IR)	6.0	1.5 or greater

[1] (Javascript enabled)

Once you access the FINRA Entitlement Program, updates on "Recommended Hardware/Software" information can be found within each application.

For questions about FINRA Entitlement or participating applications, call the FINRA Gateway Call Center at 301.869.6699 (Broker/Dealers) or 240.386.4848 (Investment Advisers). For Order Audit Trail System (OATS) specific questions, call 1.800.321.6273.

Account Management Tool
General Overview

Attachment II

The Account Management Tool is the application that enables Super Account Administrators to access and manage accounts for their organization's Administrators and Users.

The following are features of the FINRA Entitlement screens that apply to <u>ALL</u> entitled users (Account Administrators and Users):

1. A uniform FINRA Login Page with Terms and Conditions that all users will access when logging into an application.

2. Password features:
   - One password to access all participating applications.
   - A password that will be set to expire on first login after an Account Administrator has created or reset the password.
   - A password will be valid for 120 days for all participating applications.
   - To comply with FINRA's Corporate Security Policy, the FINRA Entitlement Program requires that users access at least one application during a consecutive 13-month period from the last password reset or the account will be deleted as it will be considered a "dormant" account. If this should occur, the account will need to be recreated by an Administrator.

3. Users are able to view a list that identifies who their Super Account Administrator is along with all Account Administrators for their Organization. Applications for which the persons are entitled are also listed.

4. Each user must select a Security Challenge question and provide a response that can be used to validate identity before an Account Administrator will reset/unlock a password.

5. 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
   - Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)
   - Must contain characters from at least three of the following four categories:
     - English uppercase characters (A-Z)
     - English lowercase characters (a-z)
     - Numeric characters (0…9)
     - Special characters ! $ # @ / ? | < > ~ = { } ; : ' ( ) + [ ] \ - _ ` . ^ ,

Super Account Administrator's Role & Responsibilities

Attachment III

The Account Management Tool offers the Super Account Administrator (SAA) the ability to manage accounts for the users in their organization. All Administrators have access to the Account Management Tool. The tool allows one to:

Create New Accounts (Account Administrators and users)
Search for users (Account Administrators and users)
Change Passwords
Change Account Status
Set privileges for application(s)
Edit Accounts
Delete Accounts
Disable Accounts
Clone Accounts
Review accounts to determine if access/privileges are required

Super Account Administrator's Responsibilities

1. As a new SAA, you will need to entitle yourself to any "User" privileges for applications you need to perform your job functions. Keep in mind that you will not be able to access any application unless you have marked "User" for that application to your SAA account.
2. Ensure PCs meet minimum browser requirements.
3. Create accounts (Account Administrators and/or users). As the SAA, you may choose to delegate user account set ups to your Account Administrators.
4. Update any existing accounts when appropriate.
5. Provide User ID, initial Password and URL for specific application to each person whose account you created.
6. Explain that each new account will require the initial Password to be reset during the first login. The FINRA Password Policy will be displayed as users create their new passwords.
7. Your users need to know to contact you (or other Account Administrators) for any account administration issues that need to be addressed. Inform your users who their Account Administrators are for each application in your organization. With the FINRA Entitlement Program, users can click on the "Applications & Administrator" link under "My Account" to see who is designated as their SAA, as well as, a list of all their Account Administrators. For Adminstrators, the SAA designation can also be seen in the Account Management Search Results Screen.
8. Disable or delete a user's account when necessary. Disable or delete a user's account immediately when an individual is no longer with your organization.
9. Periodically monitor users to see if their current jobs/responsibilities require them to have continued access to the applications and/or require them to have the entitlement privileges they have. Use the Entitlement Download Report to review users and their information more easily. See Attachment VI. In the future, SAAs will complete an online certification for their users.
10. Call the FINRA Gateway Call Center for any changes or entitlement activity (e.g., locked accounts, forgotten passwords).
11. Use the Super Account Administrator (SAA) Entitlement Form to update name changes and/or email address updates. Other SAA personal information may be updated using the Account Management Tool.
12. Challenge Question/Response – To confirm the identity of a user when a user is locked out or needs his/her password reset, ask the Security Challenge question and ensure the response matches what the user provides.

13. To comply with FINRA's Corporate Security Policy, the FINRA Entitlement Program requires that users access at least one application during a consecutive 13-month period from the last password reset or the account will be deleted as it will be considered a "dormant" account. If this should occur, the account will need to be recreated by an Administrator. An SAA will need to recreate an Account Administrator's account. As an SAA, if your account is deleted, a new SAA Entitlement Form will need to be submitted to FINRA to recreate your SAA account.

Important Entitlement Tips

Review the Super Account Administrator Quick Reference Guide found on the FINRA SAA Entitlement Web Site at http://www.finra.org/entitlement/saa.

1. Ensure that your organization has created Account Administrators for each application to which your firm requires access.

2. The SAA is the main contact for any FINRA Entitlement correspondence, emails or phone calls.

3. The SAA should contact the FINRA Gateway Call Center with Entitlement questions or when they need to have their account unlocked.

4. Users can change their passwords as often as they wish.

5. Anyone who forgets their password and/or are locked out from attempting to enter a password more than five times, can click on the **Forgot Password?** link to request a new password be sent to them via email.

6. You will be prompted to enter your user ID and security challenge response before a new password will be emailed. You will be required to change this new temporary password when you log into the system.

7. The FINRA Entitlement Program functionality allows the SAA to create and maintain all Account Administrator's accounts, but it is the FINRA Entitlement Group's responsibility to create and maintain **all Super Account Administrators'** accounts, including resetting passwords, unlocking SAA accounts, and updating name and email address.

8. Super Account Administrators, Account Administrators and users have many other resources available. For further information on the FINRA Entitlement Program and the tools and applications, refer to the FINRA SAA Entitlement Web Page http://www.finra.org/entitlement/saa.

FINRA SAA Entitlement Form and Information
FINRA SAA Web Tutorial
Frequently Asked Questions (FAQs)

While you are working in the Account Management Tool, FINRA Entitlement Help is designed to offer assistance on the functionality available. If FINRA Entitlement Help does not address your questions, please contact the FINRA Gateway Call Center at 301.869.6699 (Broker/Dealer Firms), or at 240.386.4848 (Investment Adviser Firms).

Password Change Instructions

Attachment IV

The FINRA Entitlement Program passwords are as sensitive as the PIN number to your bankcard. It is critically important that each user safeguard his/her User ID and Password as carefully as you would your bankcard PIN number.

- A new user to the FINRA Entitlement Program will be required to change the initial password upon first login. Change your password the FIRST time you login, anytime your password expires or if you feel your password has been compromised.
- If you are an existing FINRA Entitlement Program user and have requested access to another FINRA web-based application, you will continue to use your existing User ID and Password.
- Passwords expire every 120 days and are case sensitive.

FINRA Password Policy

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
- Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)
- Must contain characters from at least three of the following four categories:
  - English uppercase characters (A-Z)
  - English lowercase characters (a-z)
  - Numeric characters (0…9)
  - Special characters ! $ # @ / ? | < > ~ = { } ; : ' ( ) + [ ] \ - _ ` . ^ ,

URLs to the FINRA Entitlement Program Participating Applications

Application Name	Production Application URL Entry point
FINRA Applicant Interface (New Applicants)	https://firms.finra.org
FINRA Firm Gateway	https://firms.finra.org
Account Management Tool	https://accountmgmt.finra.org/ewsadmin2/index.jsp
Web CRD ®	https://crd.finra.org
IARD SM	https://crd.finra.org/iad
Report Center	https://reportcenter.finra.org
OATS Certification Testing	https://firmstest.finra.org/
OATS Production	https://firms.finra.org
Reg – 17a-11 Financial Notification	https://firms.finra.org/forms
Reg – 3012 Claim for Exception	https://firms.finra.org/forms
Reg – Disclosure Events and Complaints	https://firms.finra.org/forms
Reg – Advertising Regulation	https://firms.finra.org/forms
Reg – Blue Sheets	https://firms.finra.org/forms
Reg – INSITE Firm Data Filing	https://firms.finra.org/forms
Reg – Market Volatility	https://firms.finra.org/forms
Reg – FINRA Contact System	https://regfiling.finra.org/contacts/ncs_contacts.aspx
REX – Reg T and 15C3-3 Ext	https://firms.finra.org/forms
Reg – Short Position Reporting	https://firms.finra.org/forms
Web Information Request (On Site Exams)	https://firms.finra.org/forms
TRACE Forms	https://firms.finra.org/forms
e FOCUS	https://firms.finra.org/forms

For questions about FINRA Entitlement or participating applications, call the FINRA Gateway Call Center at 301.869.6699 (Broker/Dealers) or 240.386.4848 (Investment Advisers). For Order Audit Trail System (OATS) specific questions, call 1.800.321.6273.

Password Change Instructions for Users

Attachment V

You have been provided your User ID and initial Password information for the FINRA Entitlement Program to access the participating applications.

- A new user to the FINRA Entitlement Program will be required to change the initial password upon first login. Change your password the FIRST time you login, anytime your password expires or if you feel your password has been compromised.
- If you are an existing FINRA Entitlement Program user and have requested access to another FINRA web-based application, you will continue to use your existing User ID and Password.
- Passwords expire every 120 days and are case sensitive.

1. Login with the User ID and Password provided.
2. If you are a first time user, you will be taken to the Password Reset screen.
3. On the Password Reset screen, you will need to enter the following information:

   Current password: (Initial Password provided via a phone call from the FINRA Entitlement Group). The password field is case sensitive.
   New password: (refer to the FINRA Password Policy below when creating a new password)
   Re-type **new password** to confirm: Enter the new password again to confirm.

   ### FINRA Password Policy
   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
   - Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)
   - Must contain characters from at least three of the following four categories:
     - English uppercase characters (A-Z)
     - English lowercase characters (a-z)
     - Numeric characters (0…9)
     - Special characters ! $ # @ / ? | < > ~ = { } ; : ' ( ) + [ ] \ - _ ` . ^ " ,

4. Select your Security Challenge and enter Security Response.
5. Click **Continue**
6. After successfully changing the password, you will be taken to a page that displays the following text:
   Password Reset: Completed
   Your password has been reset. Click "Continue" to log in.

   You will then need to log into the application with your user name and the password you created.
7. Review the FINRA Entitlement Web pages for more information.

URLs to the FINRA Entitlement Program Participating Applications

Application Name	Production Application URL Entry point
FINRA Firm Gateway	https://firms.finra.org
Web CRD ®	https://crd.finra.org
IARD SM	https://crd.finra.org/iad
Report Center	https://reportcenter.finra.org
OATS Certification Testing	https://firmstest.finra.org/
OATS Production	https://firms.finra.org
Reg – 17a-11 Financial Notification	https://firms.finra.org/forms
Reg – 3012 Claim for Exception	https://firms.finra.org/forms
Reg – Disclosure Events and Complaints	https://firms.finra.org/forms
Reg – Advertising Regulation	https://firms.finra.org/forms
Reg – Blue Sheets	https://firms.finra.org/forms
Reg – INSITE Firm Data Filing	https://firms.finra.org/forms
Reg – Market Volatility	https://firms.finra.org/forms
Reg – FINRA Contact System	https://regfiling.finra.org/contacts/ncs_contacts.aspx
REX – Reg T and 15C3-3 Ext	https://firms.finra.org/forms
Reg – Short Position Reporting	https://firms.finra.org/forms
Web Information Request (On Site Exams)	https://firms.finra.org/forms
TRACE Forms	https://firms.finra.org/forms
e FOCUS	https://firms.finra.org/forms

User Responsibilities:

1. Change password with first login.
2. Change password every 120 days.
3. Ensure password meets FINRA Security criteria.
4. Know who your Super Account Administrator and Account Administrators are for your organization. You will contact these individuals for any account administration issues (e.g., setting privileges, unlocking accounts, resetting passwords, etc.). With the FINRA Entitlement Program, you can click on the “Applications & Administrator” link under “My Account” to see who is designated as your SAA, as well as, a list of all your Account Administrators.

If you have forgotten your password and/or are locked out from attempting to enter a password more than five times, you can click on the **Forgot Password?** link to request a new password be emailed to you.

You will be prompted to enter your user ID and security response before a new password will be emailed. You will be required to change this new temporary password when you log into the system.

For questions about the FINRA Entitlement Program or Entitlement, contact your Super Account Administrator or Account Administrator.

Entitlement – Firm Download Report

Attachment VI

The Entitlement – Firm Download Report is a tool available to Administrators (SAA & AAs) that enables them to view their users and their assigned privileges in an easy-to-use download.

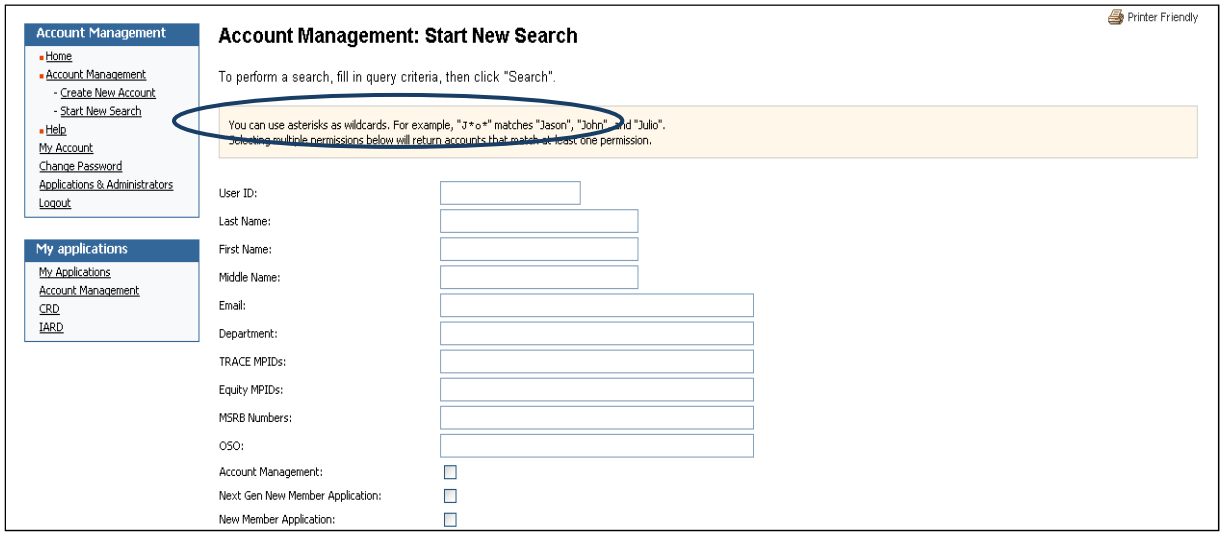
Firm Download Report Benefits:

- Provides the capability to monitor your users and permissions on a periodic basis.
- Provides the capability to display determined attributes:
    - User IDs (default)
    - Names
    - Contact Information
    - Account Creation Date
    - Account Creator
    - Applications
    - Permissions (default)
- Provides the capability to save the download to Excel or Access.
- Provides the capability to easily format/sort the data to meet your needs (e.g., sort by privilege).

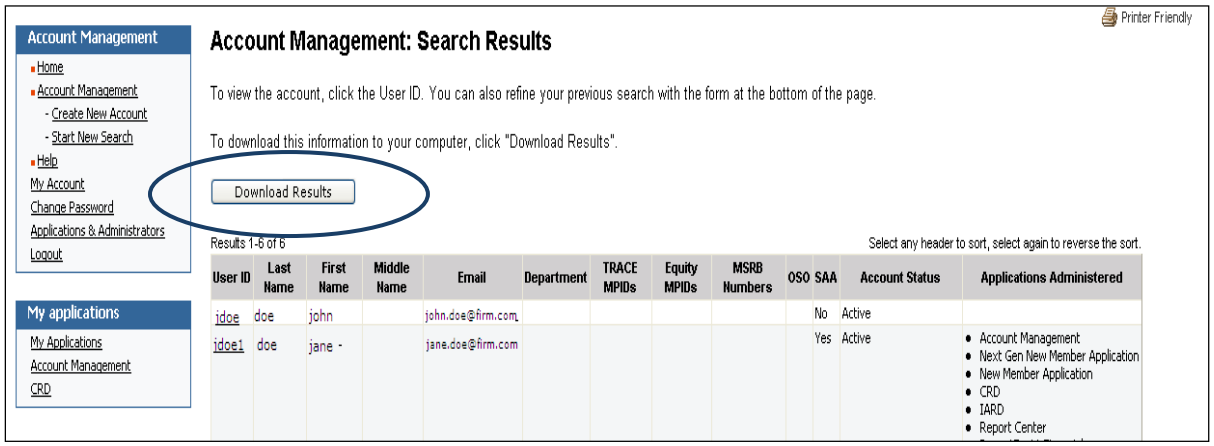
For instructions on how to Download the Search Results information to your computer, refer to the following screens.

The Firm Download Report is based on the Super Account Administrators or Account Administrator's entitlement and search criteria:

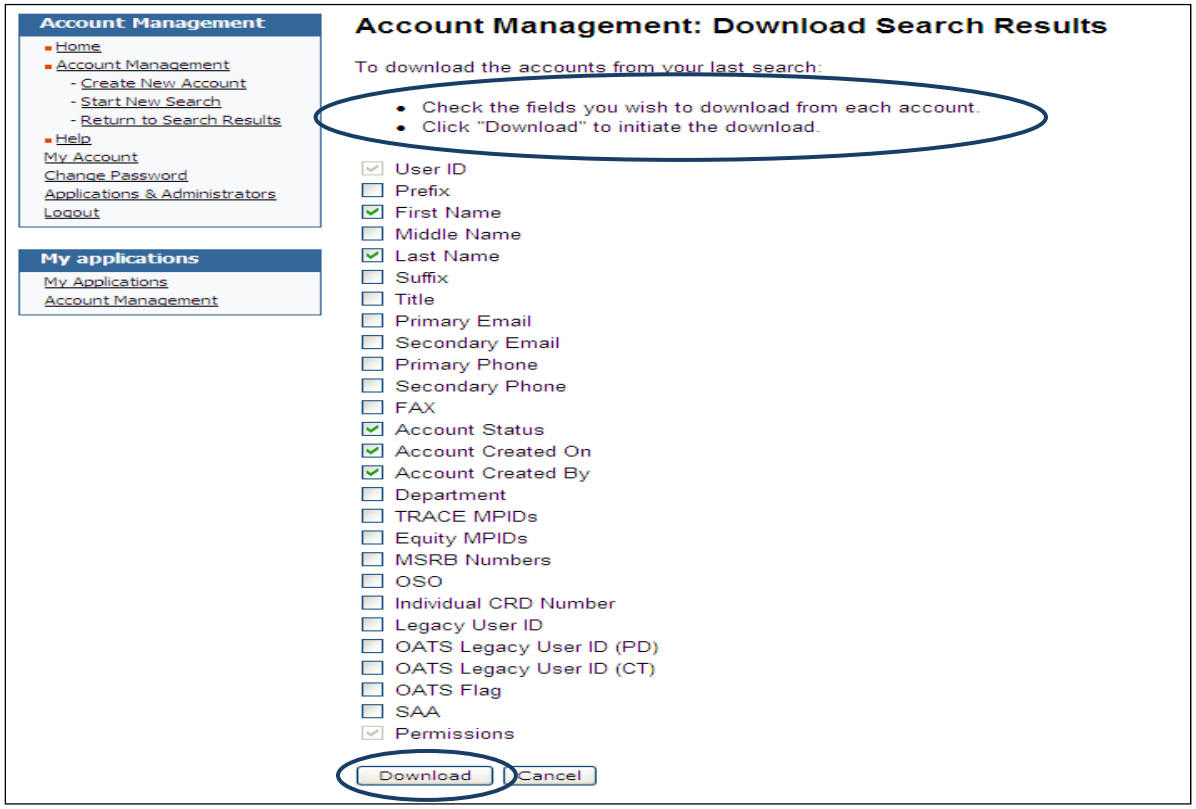
- If the query is limited to only accounts with WebCRD access, that will narrow who appears in the Search Results and download.
- If the query has no specific search criteria, the Search Results will display a list of all accounts within the firm to which the Administrator has access.



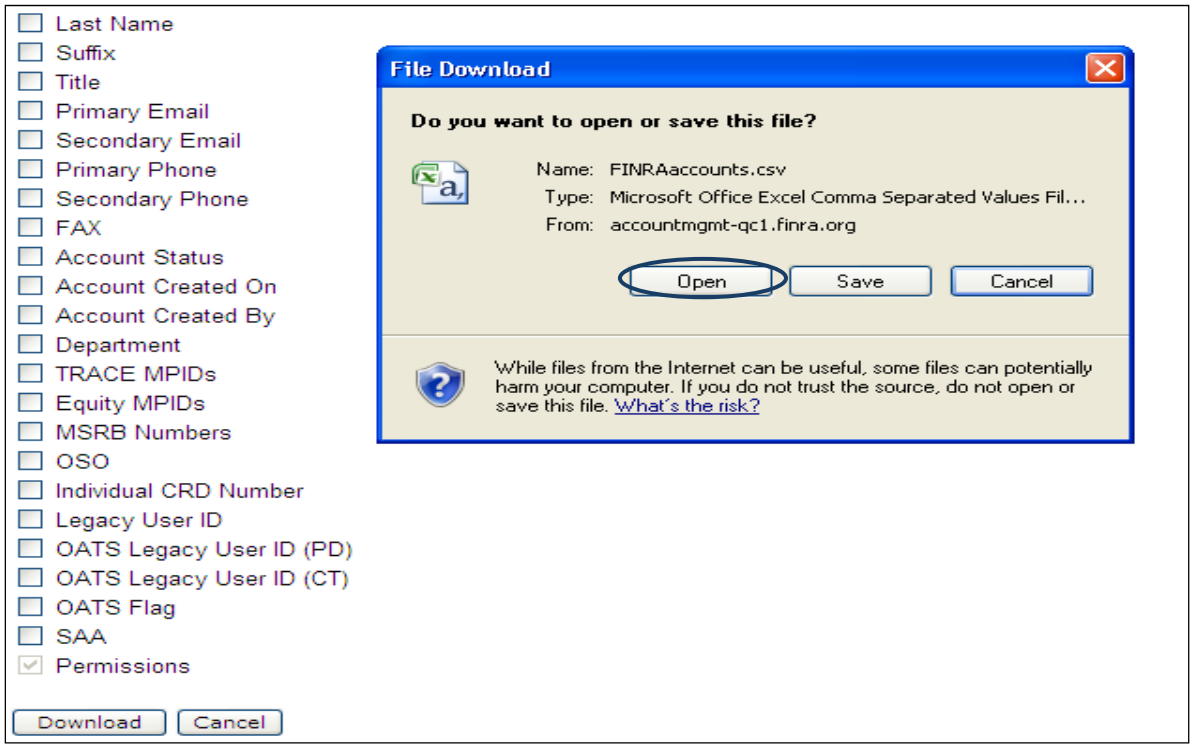
Step 1. Enter your search criteria and click the "Search" button. To see all users at your firm with access to applications to which you have entitlement, simply click the "Search" button without entering any search criteria.



Step 2. After receiving the Search Results, follow the instructions above.



Step 3. Select the attributes you wish to download from each user account and click the "Download" button.



Step 4. To open the file in CSV format, click the "Open" button. To open the file and "Save" as Excel or Access, click the "Save" button.

FINRA SAA Entitlement Program Support Information

Attachment VII

Visit the FINRA Super Account Administrator Entitlement Web Page at http://www.finra.org/entitlement/saa **for additional information.**

Designate or Update Your SAA
- SAA Entitlement Form & Instructions
- SAA Confirmation Packet

Help & Training Resources
- SAA Quick Reference Guide
- Frequently Asked Questions (FAQs)
- Webinar

Additional Information
- Entitlement Information for FTP/IFT Users
- FINRA Information Notice
- Systems/Applications Information

Important Phone Numbers
- 301.869.6699 for Broker/Dealer Firms
- 240.386.4848 for IA Firms
- 800.321.6273 for Order Audit Trail System (OATS) specific questions

Application Information

Additional information on each FINRA SAA Entitlement supported web-based application is available at:

Web CRD: www.finra.org/crd

IARD: www.iard.com

Report Center: www.finra.org/reportcenter

The Order Audit Trail System (OATS): www.finra.org/oats

Web Information Request (Web IR):
http://www.finra.org/Industry/Compliance/ComplianceExams/WebIR/index.htm

Regulation Filing Applications: http://www.finra.org/Industry/Compliance/RegulatoryFilings/index.htm

FINRA Contact System: www.finra.org/fcs

FINRA Firm Gateway: www.finra.org/firmgateway