Financial Industry Regulatory Authority

FINRA Entitlement Program: Account Management for Account Administrators (AAs)

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This user guide is designed to assist Account Administrators (AAs) in navigating through the Account Management System of the FINRA Entitlement Program.

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

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Super Account Administrator & Account Administrator's Roles & Responsibilities

A Super Account Administrator is responsible for the following *:

- Self entitle for their own "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.

***Not applicable to certain organizations as designated by FINRA**

An Account Administrator is responsible for the following:

- 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 is no longer 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 who needs assistance and is with an organization that has an SAA should contact their SAA. An AA who needs assistance and is with an organization that does not have an SAA should contact the FINRA Entitlement Group.

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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 a FINRA regulatory system, a message will inform the user when the password has expired.
- If the 120 days has elapsed, a user cannot log into Account Management 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.

How to Access the Account Management Functionality:

The Account Management functionality can be accessed several ways:

- FINRA-registered firms can access Account Management via the FINRA Firm Gateway at http://www.finra.org/FirmGateway/login
  (go to page 6 for instructions)

- SAAs and AAs can access Account Management directly using URL
  https://accountmgmt.finra.org/ewsadmin2/index.jsp
  (go to page 9 for instructions)

- Users can access Account Management via the Account Administration link located within certain applications (i.e. Web CRD and IARD).

NOTE: This guide will step you through accessing the Account Management functionality via Firm Gateway (used by member firms) and directly accessing it via the Account Management URL.

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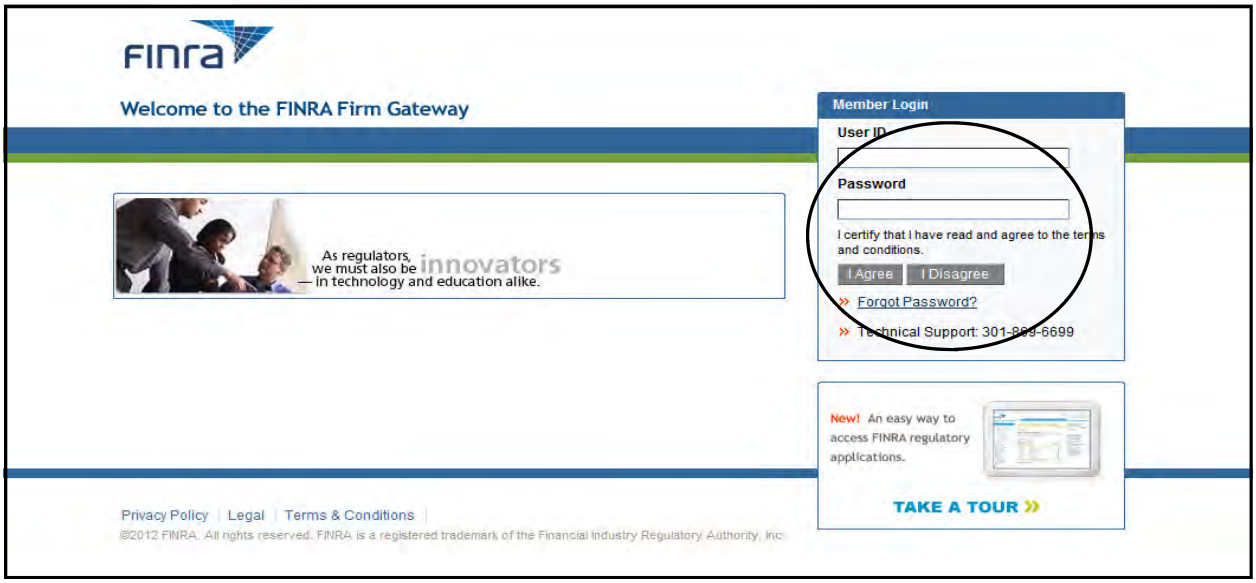
Accessing Your AA Account using FINRA Firm Gateway (used by member firms)

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

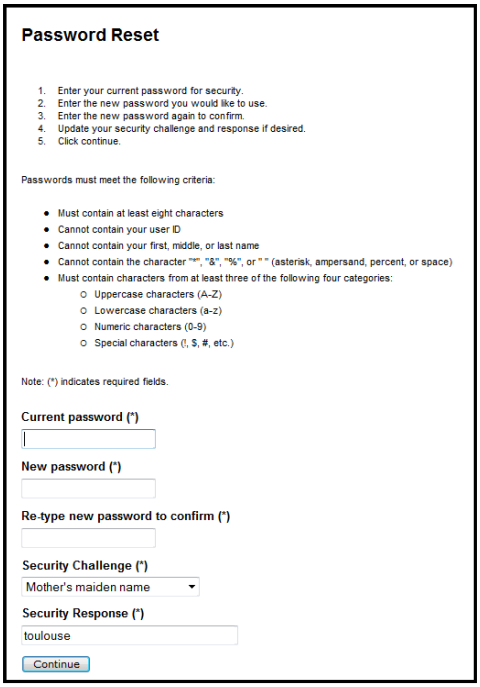
Enter the User ID and password provided to you by the SAA in the **User ID** and **Password** fields, read the FINRA Terms and Conditions and click **I Agree**.

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



Result: The *Password Reset* screen displays.

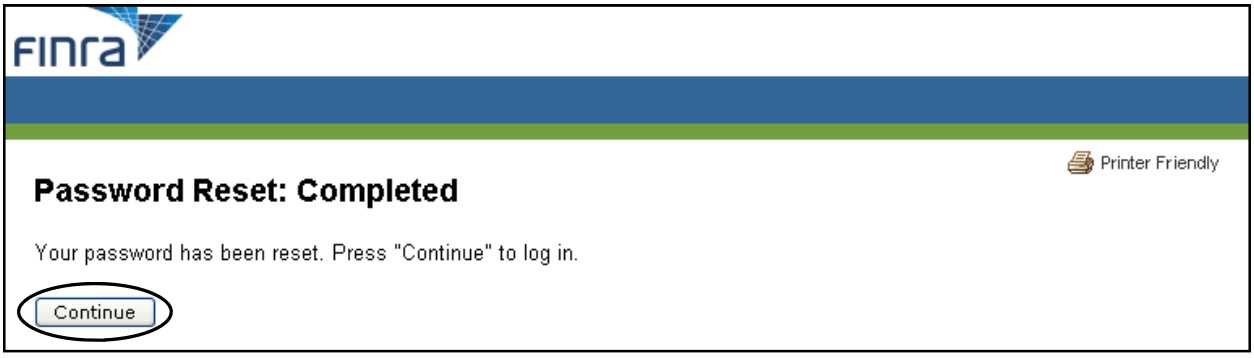
Step 2: Enter the password provided by the SAA in the **Current password** field. Enter a new password in the **New password** field. Re-enter the new password in the **Re-type new password to confirm** field. Select a **Security Challenge** question from the drop-down list, enter the **Security Response**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

Accessing Your AA Account using FINRA Firm Gateway (cont.)

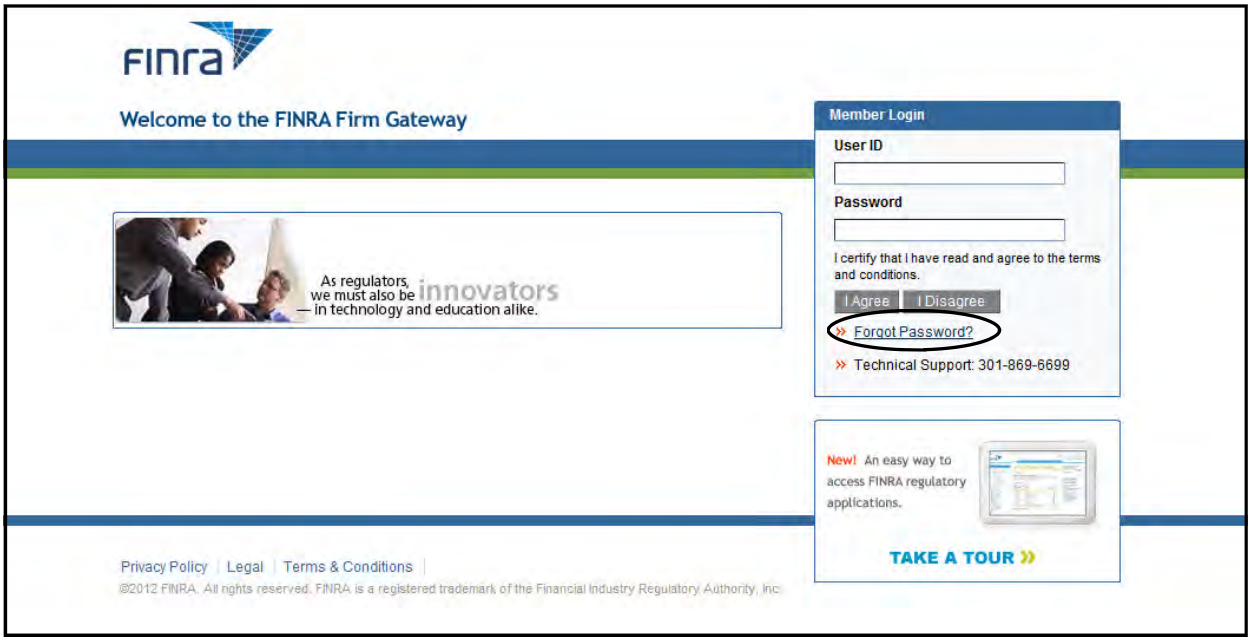
Step 3: A confirmation that your password has been reset displays. Click **Continue**.



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.

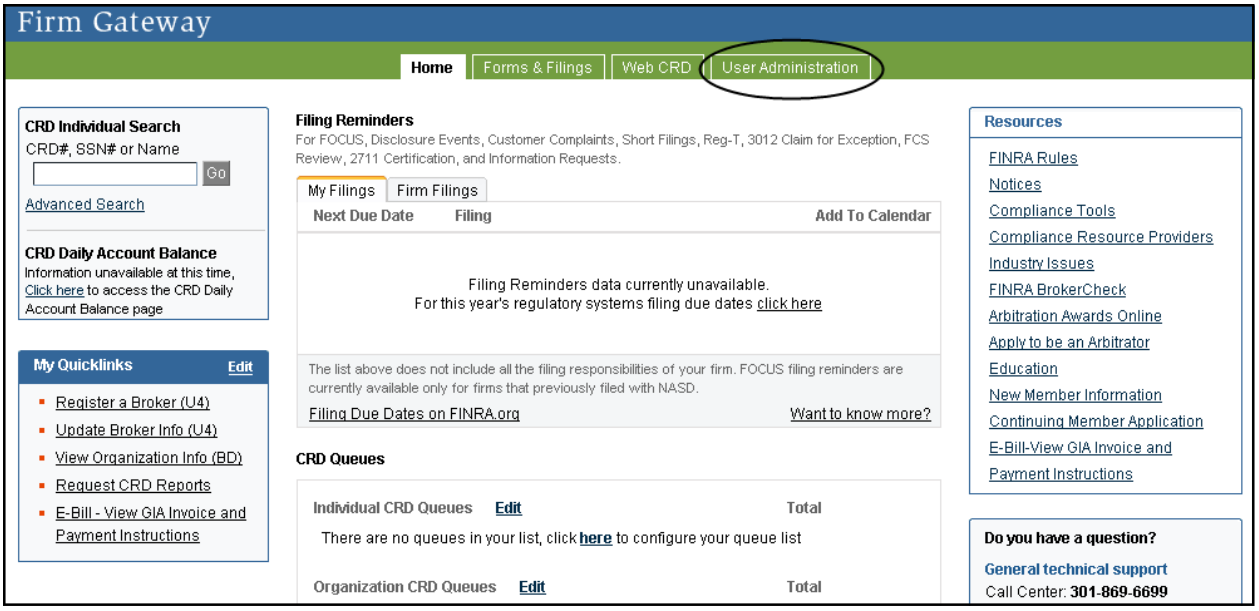
Users are prompted to enter their User ID and security challenge response before a new password is emailed. You are required to change the new, temporary password when you log into the system.



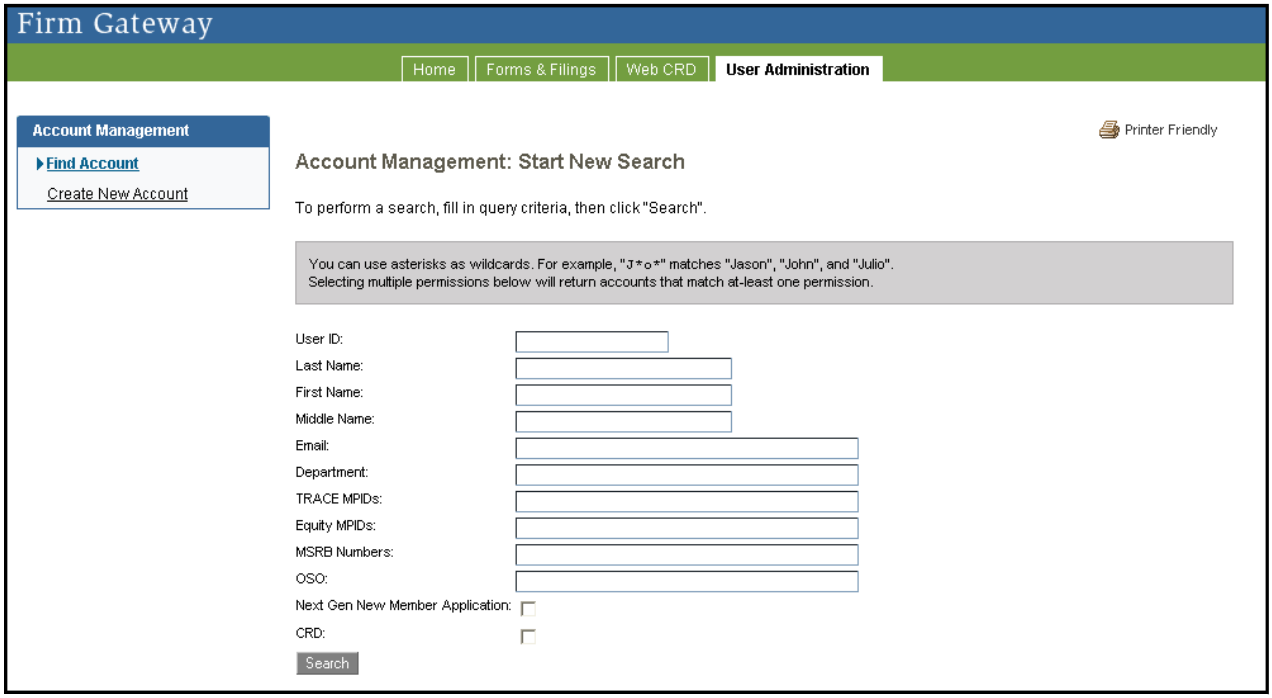
How to Access the Account Management Site using FINRA Firm Gateway (used by member firms)

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.**

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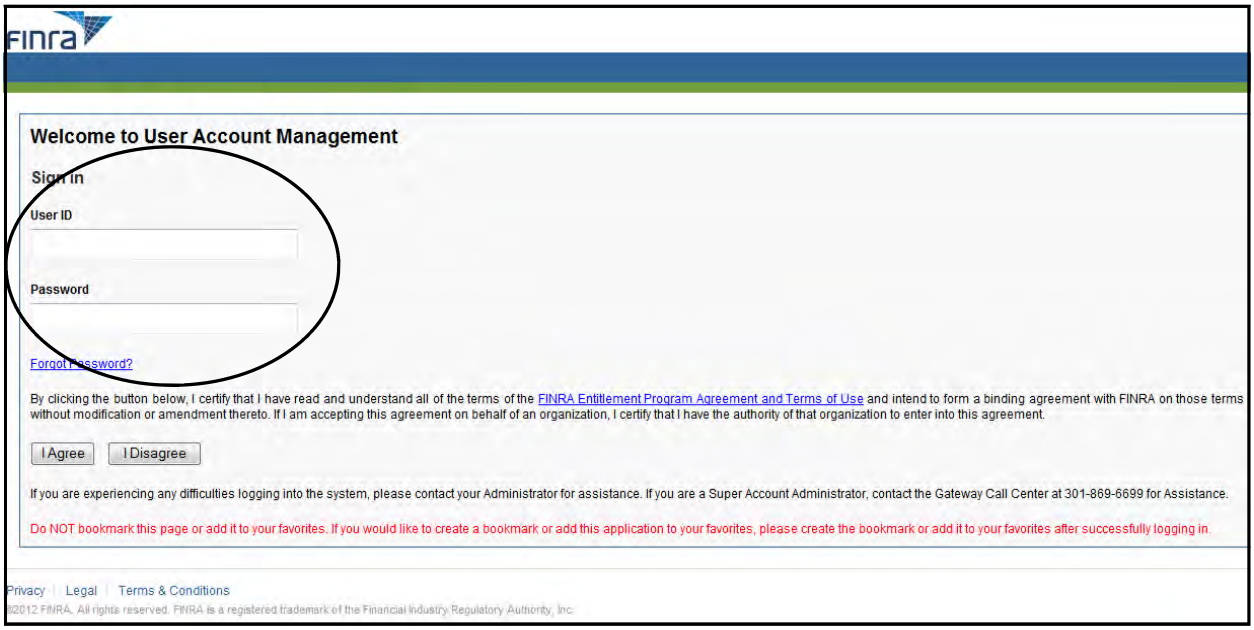
Accessing Your AA Account using the Account Management URL Address

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

Step 1: Access Account Management at:
https://accountmgmt.finra.org/ewsadmin2/index.jsp

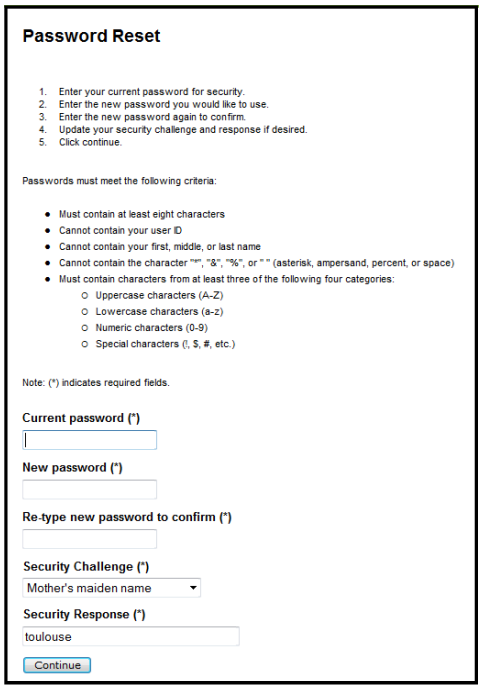
Enter your User ID and password in the **User ID** and **Password** fields, read the Terms and Conditions and click **I Agree**.

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.

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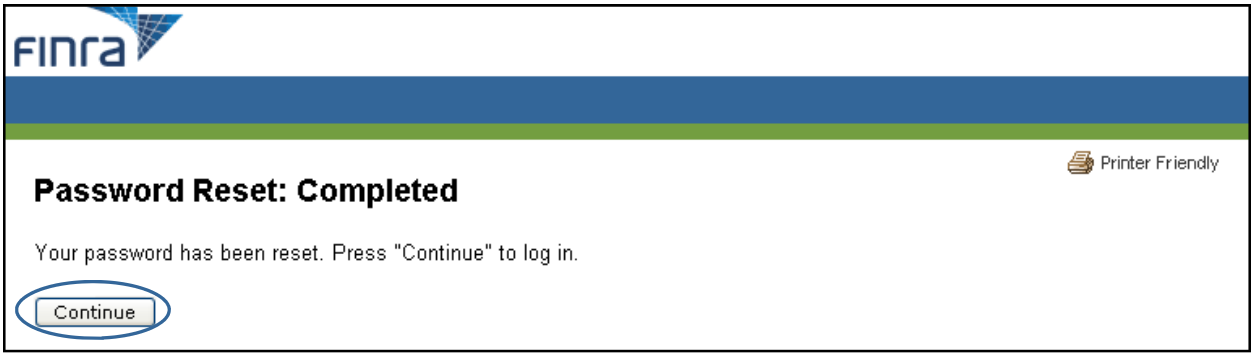
Accessing Your AA Account using the Account Management URL Address (cont.)

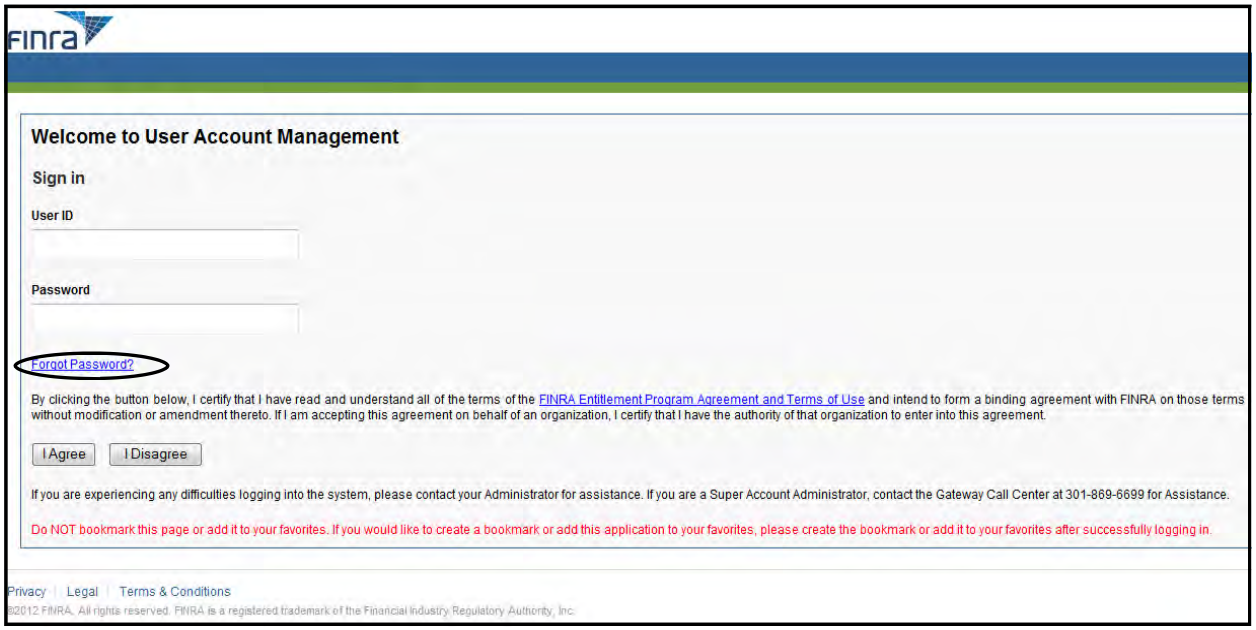
Step 3: A confirmation that your password has been reset displays. Click **Continue**.



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.



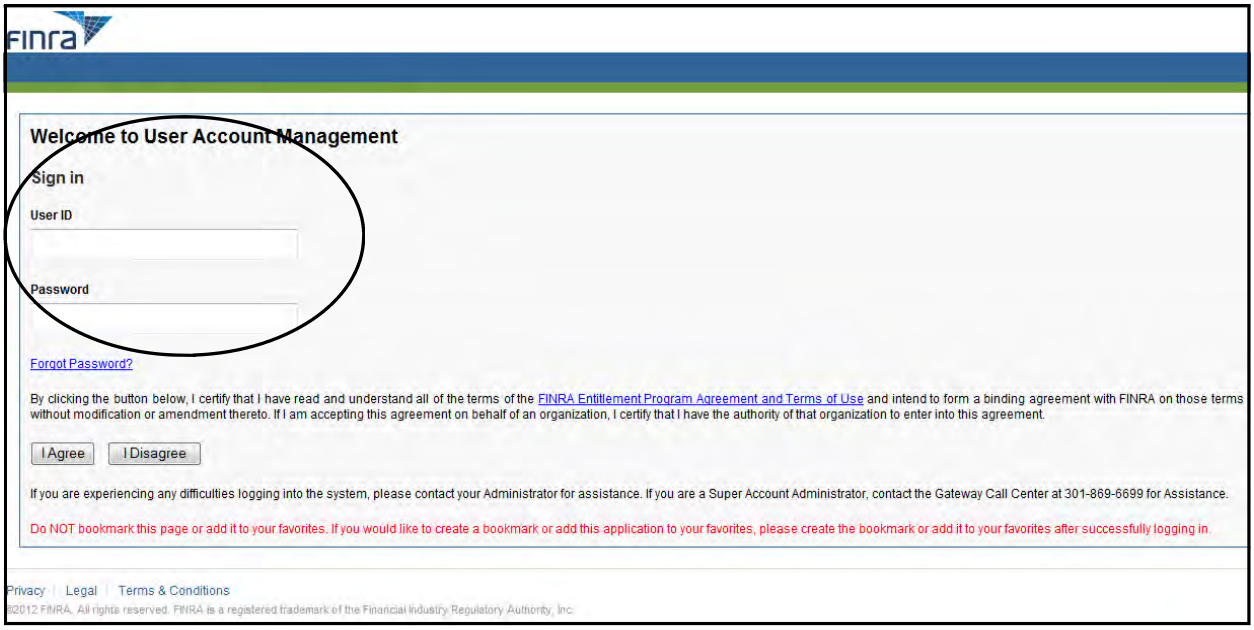
How to Access the Account Management Site using the Account Management URL Address

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 Account Management at:
https://accountmgmt.finra.org/ewsadmin2/index.jsp

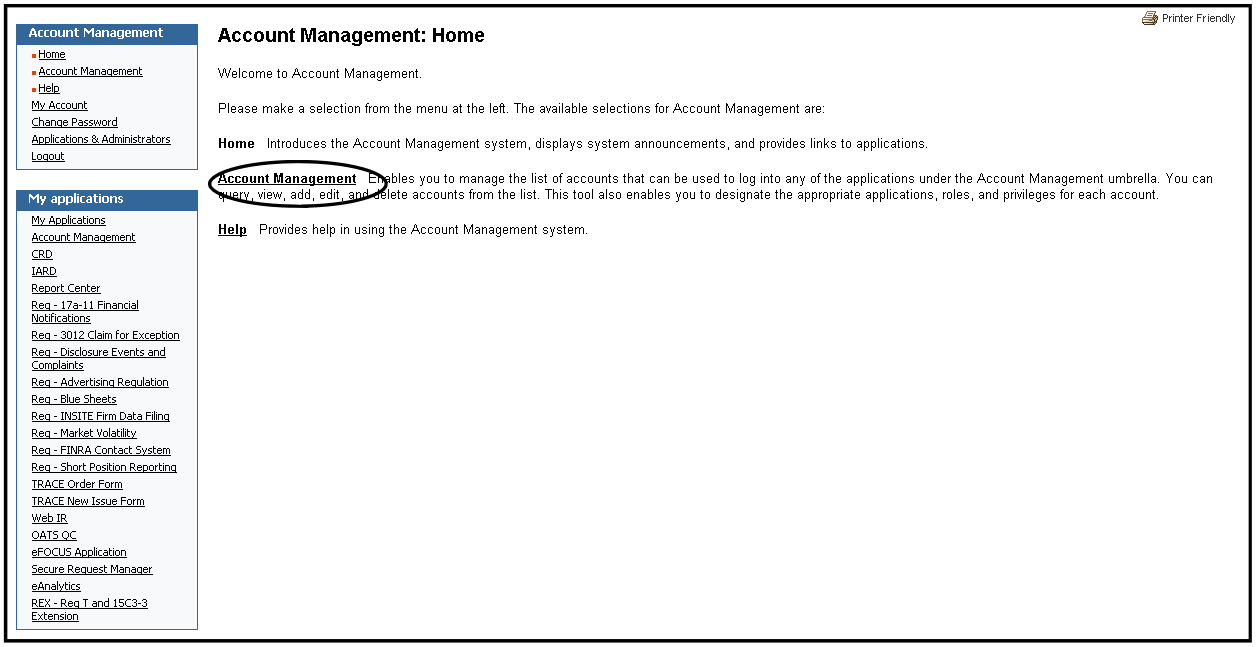
Step 2: Enter your User ID and password in the **User ID** and **Password** fields, read the Terms and Conditions and click **I Agree**.

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



How to Access the Account Management Site Account Management URL Address (cont.)

Result: The *Account Management: Home* screen opens.



Step 3: Click **Account Management** from the screen or navigation panel to search for an existing account or to create a new account.

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.

NOTE: The remaining steps are the same as accessing Account Management via FINRA Firm Gateway. Use the steps on the following pages to complete other functions within the system.

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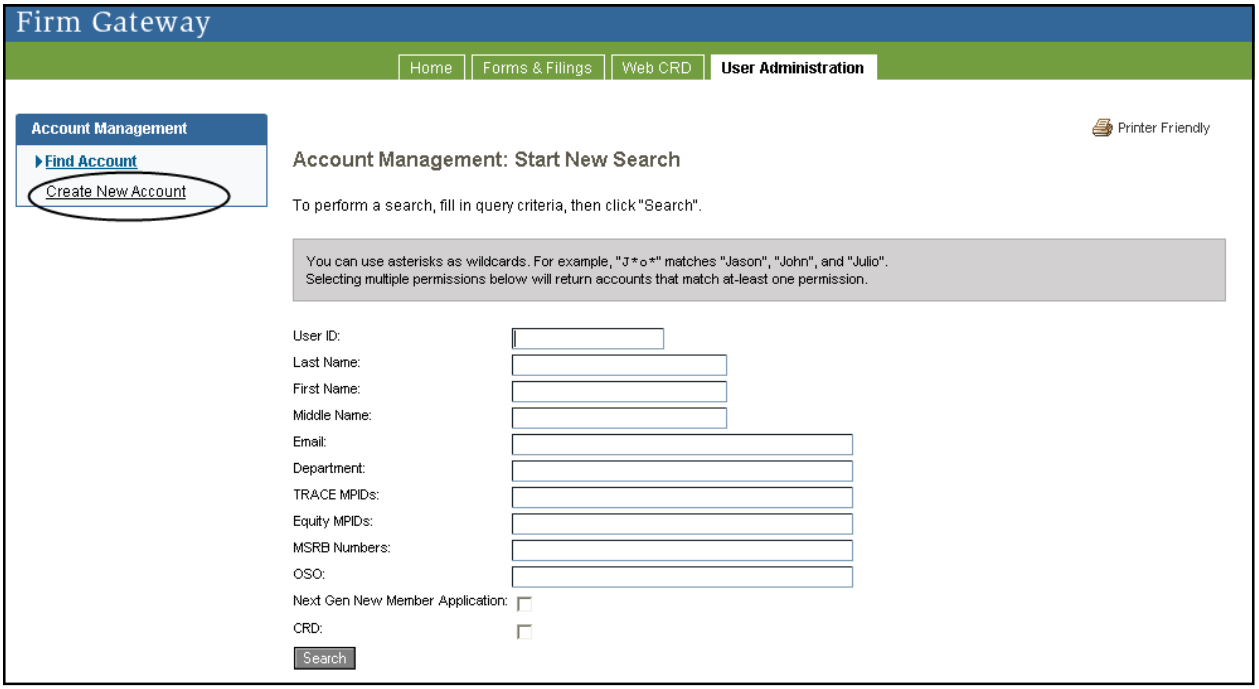
How to Create a User Account

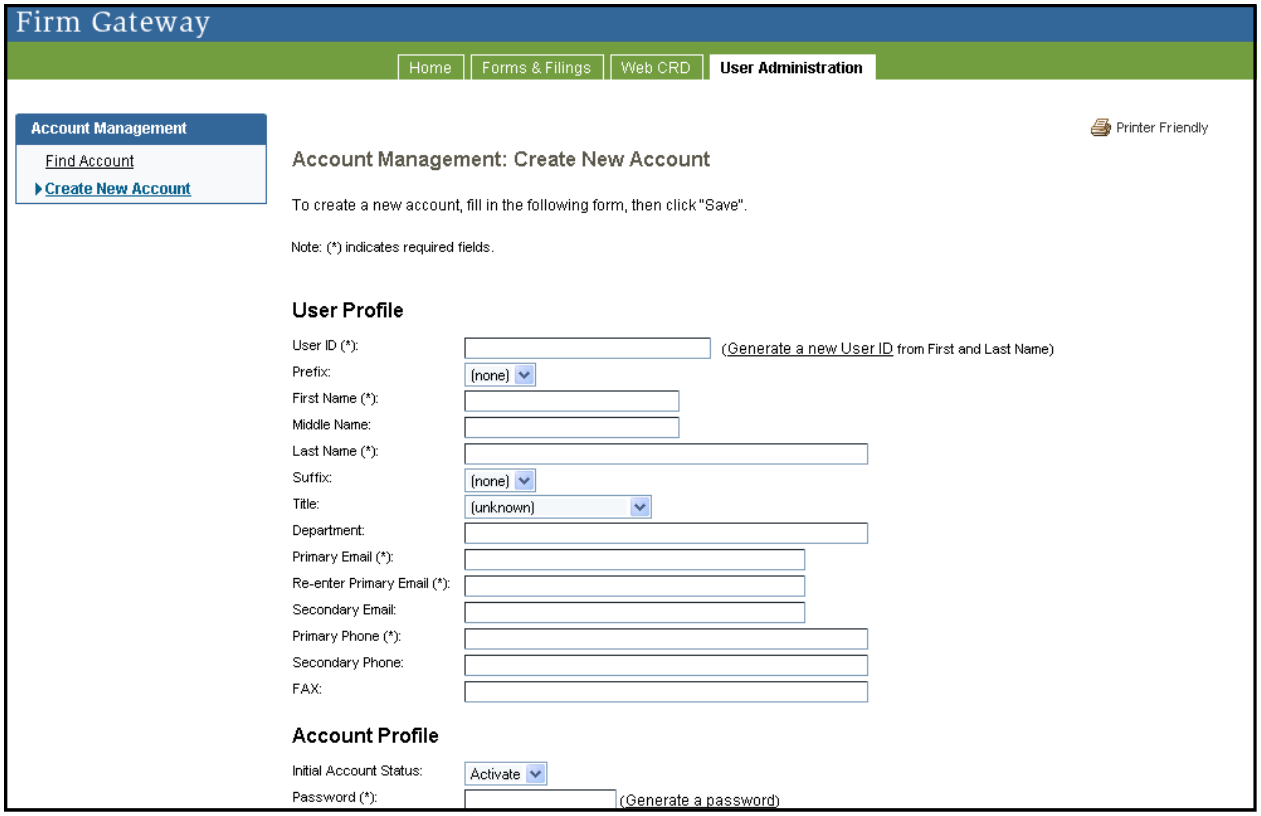
Step 1: Access the Account Management site *(see pg. 6 or 9).*

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.



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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 the appropriate application as soon as they are provided with the User ID and Password. If the status is changed to **Disable**, the user cannot access the application 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 the applicable application 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 should 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.

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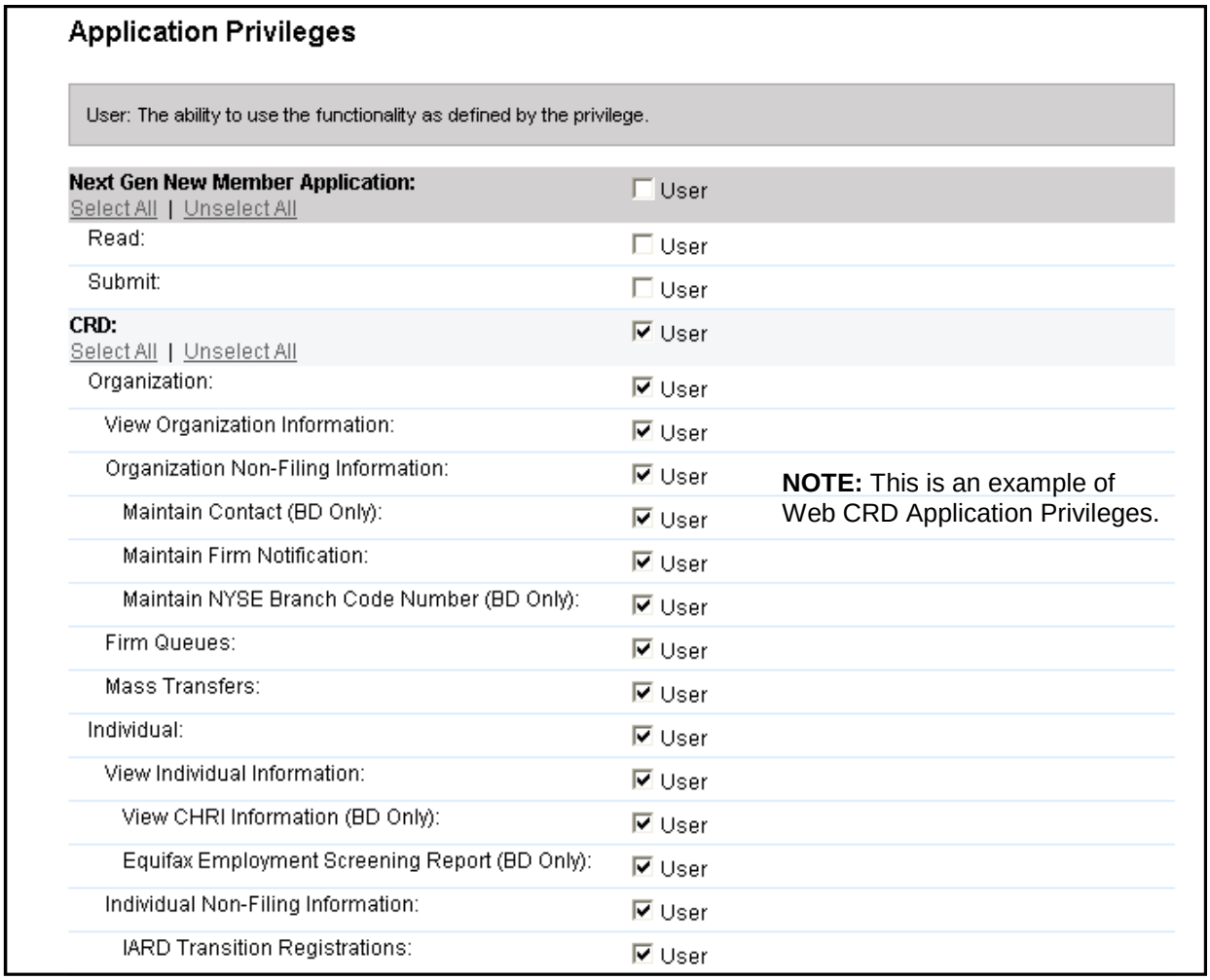
How to Create a User Account (cont.)

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.



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 on this page. Each application has its own section within this page.

Result: The new user account is now ready.

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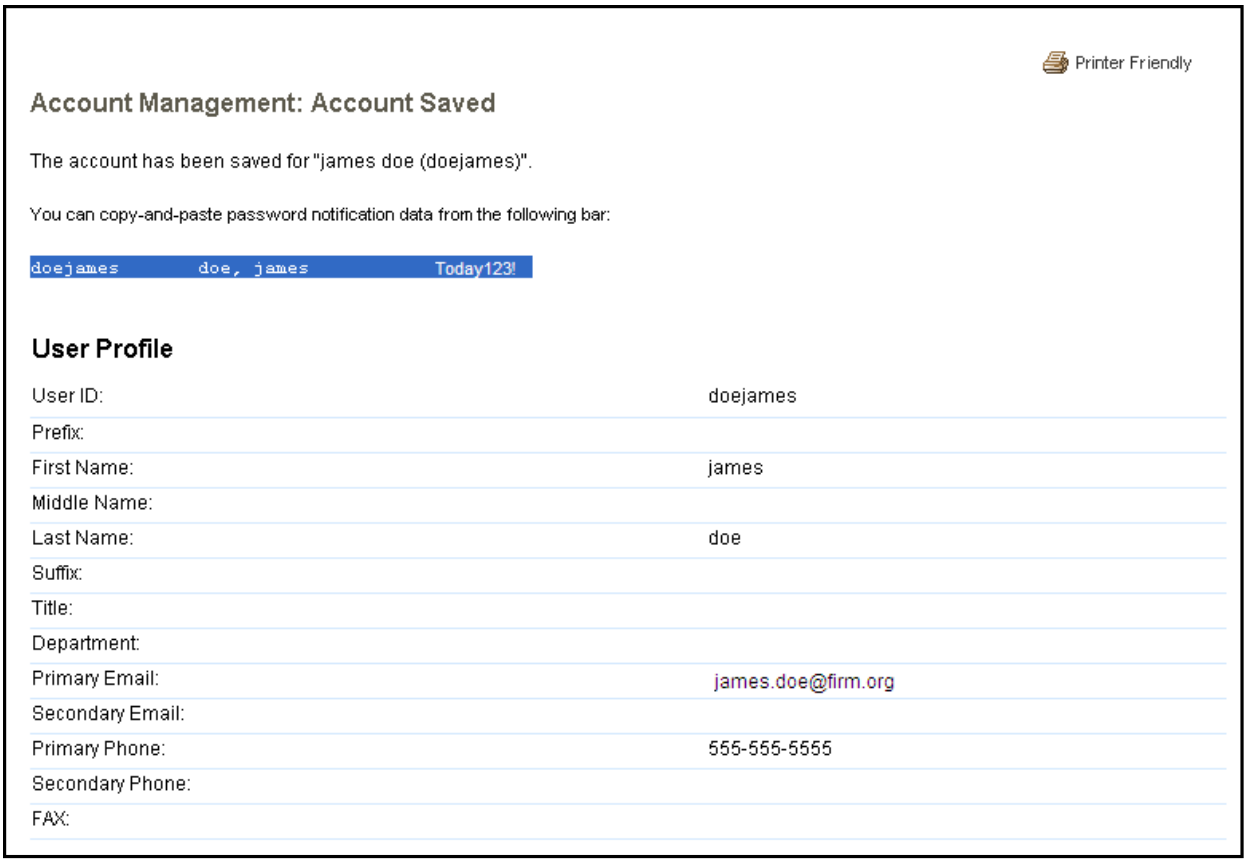
How to Create a User Account (cont.)

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 the entitled system(s).

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 the entitled system 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".



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:	

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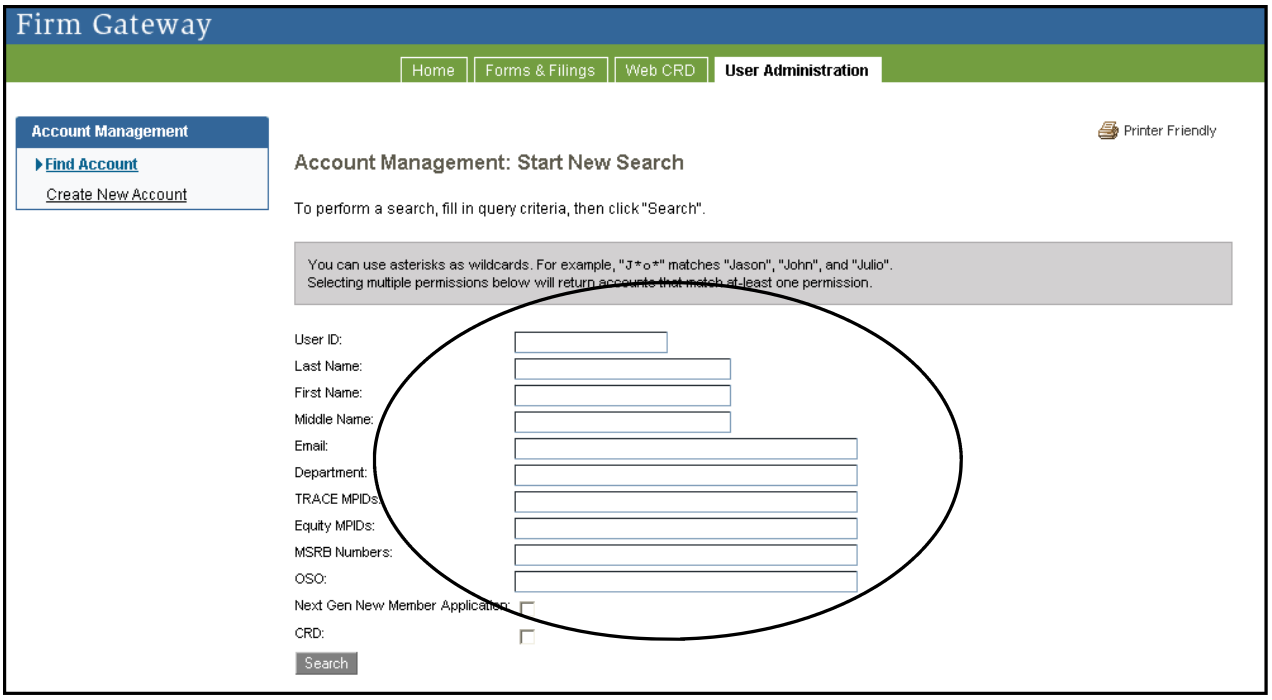
How to Search for and View a User Account

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

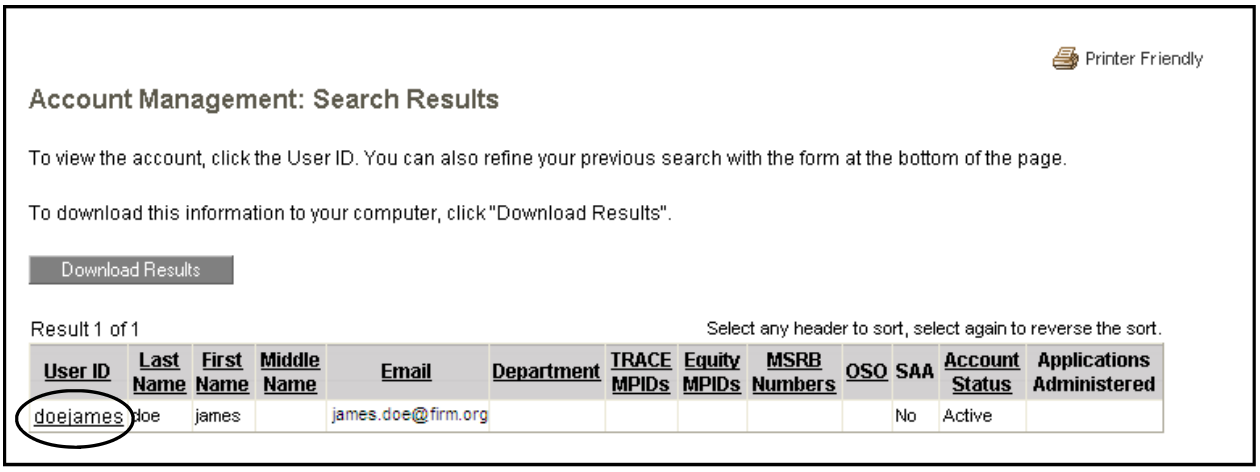
Step 1: Access the Account Management site *(see pg. 6 or 9).*

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.

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Tips for Performing a Search

- To view a list of users in your organization for a specific application, check the box next to the appropriate application 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 10 users at a time. If there are more results, click the **Next** button to display the next set of 10.

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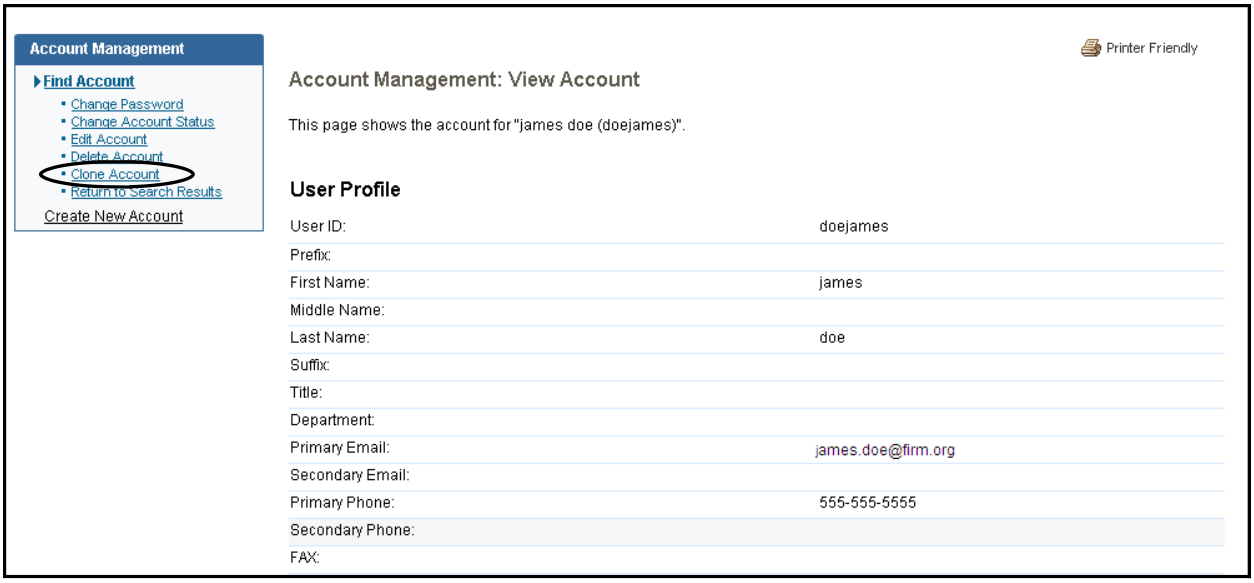
How to Clone a User Account

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 pg.15)*.

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.

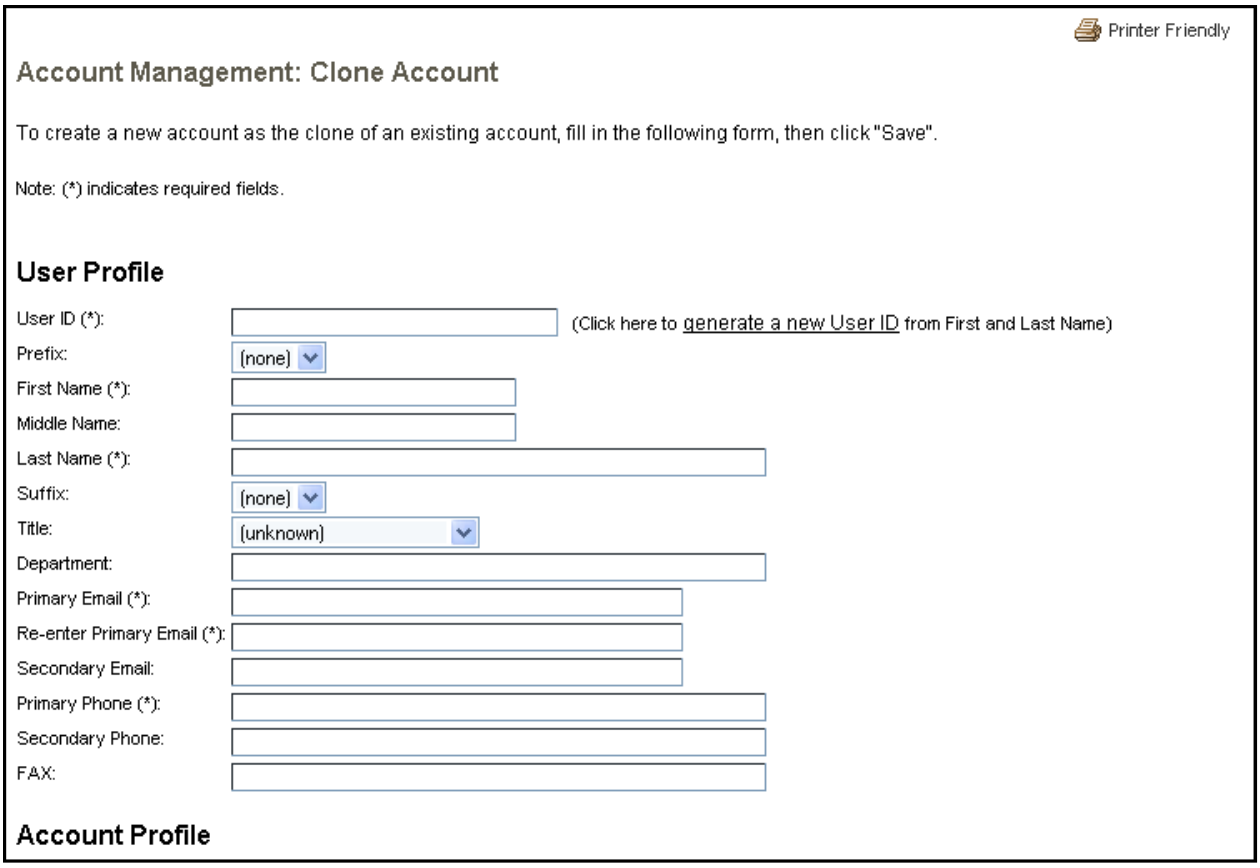
To systematically generate a password, click the **generate a password** hyperlink.

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.



NOTE: "Firm" and "Other" Web CRD user classes do not have the ability to clone a File Transfer Protocol/Internet File Transfer (FTP/IFT) account. The FINRA Entitlement Group are the only users that can create FTP/IFT accounts.

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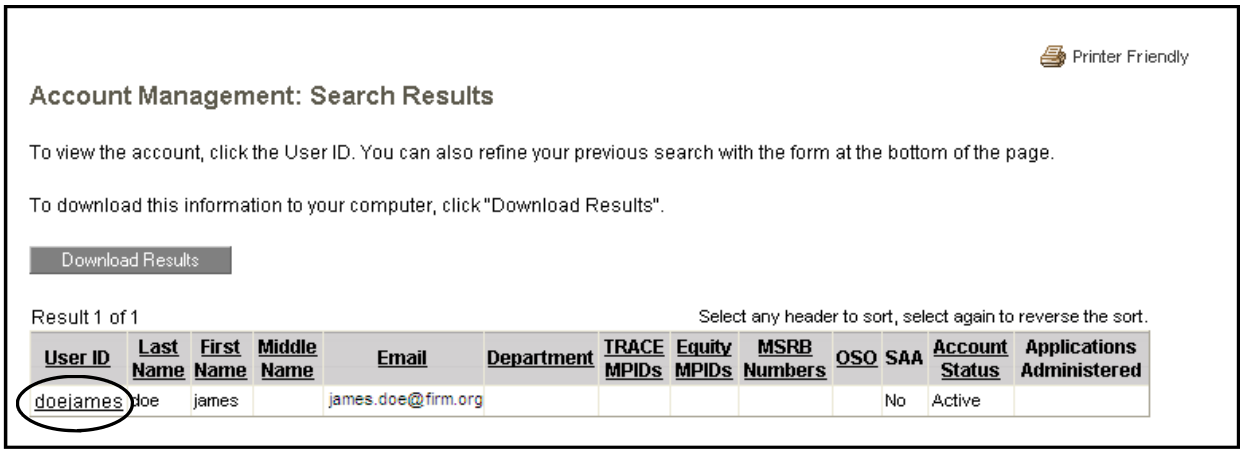
How to Change a User's Password and Account Status

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 pg.15)
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.



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 pg 19)*.
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 19)*. **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 pg. 19)*. 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.

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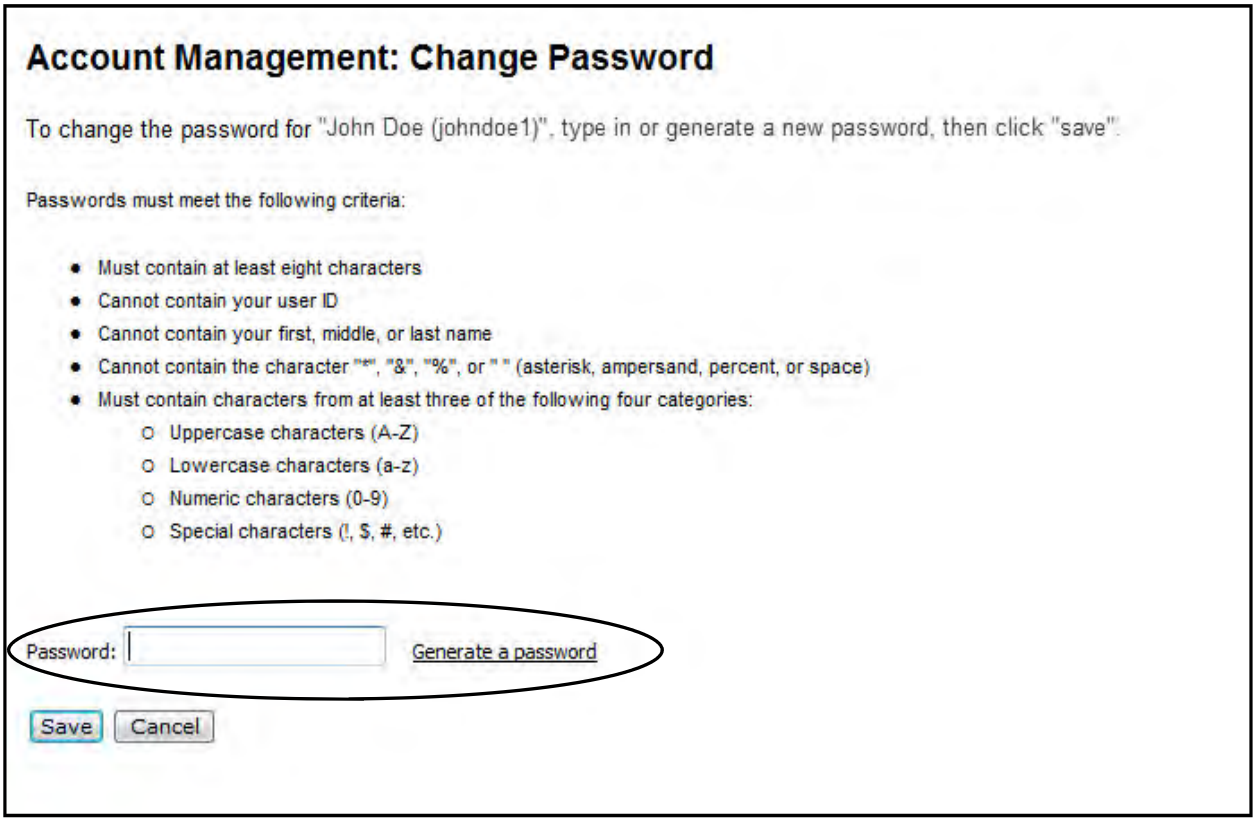
How to Change a User's Password and Account Status (cont.)

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.

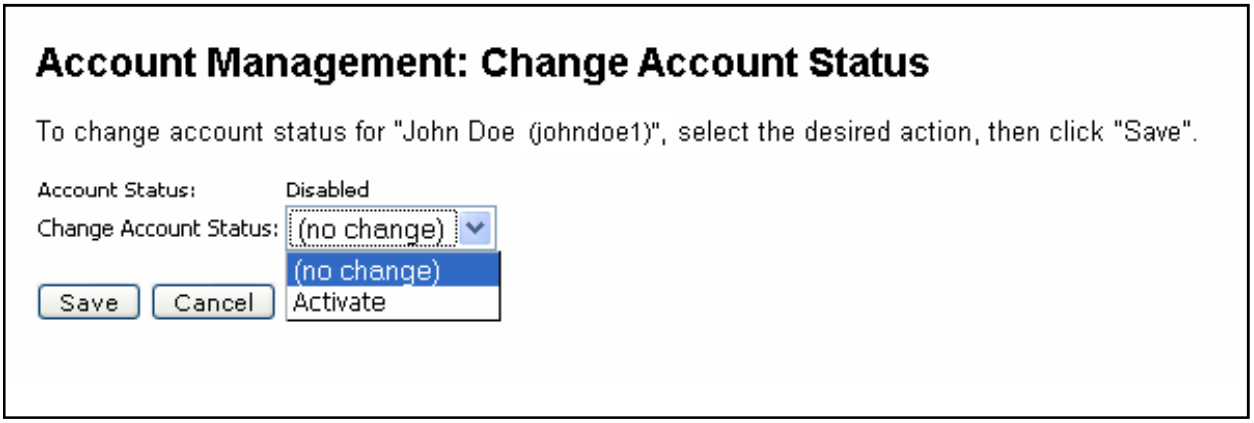
NOTE: The password generated is a temporary password; the user will have to change the password the next time they logs into the application. Changing a user's password does not automatically reactivate the account.



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



How to Edit a User Account

Step 1: Search for and view the user's account *(see pg. 15).*

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

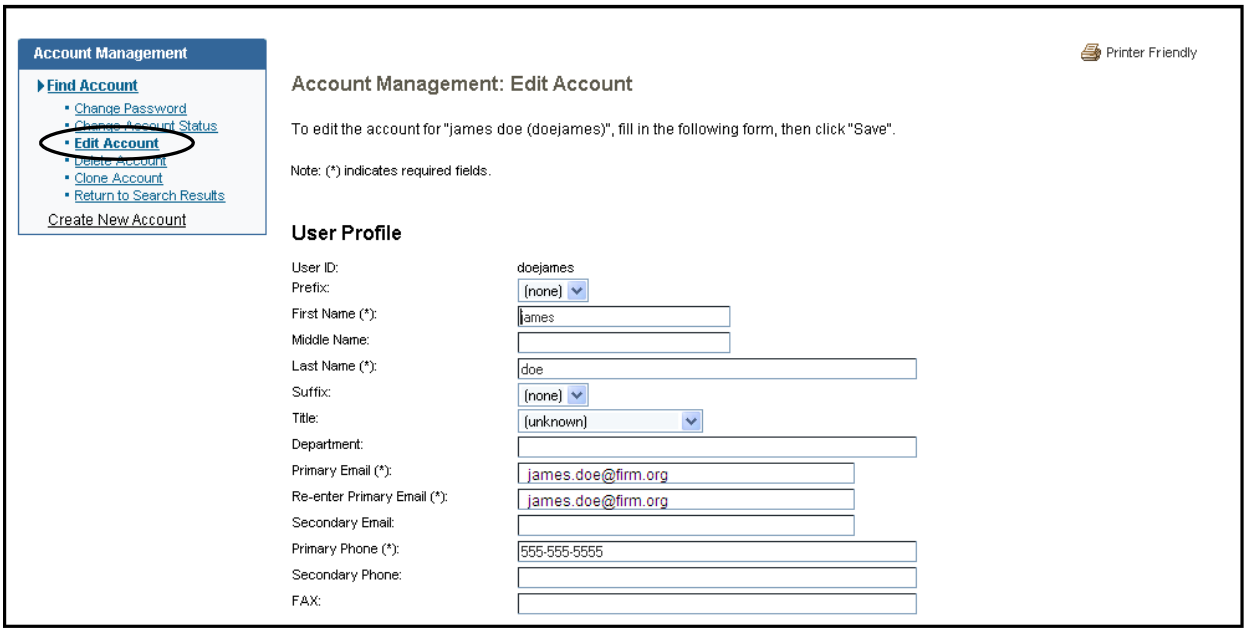
Step 3b: To add a privilege to a user's account click **User** next to the appropriate privilege.

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.



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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.

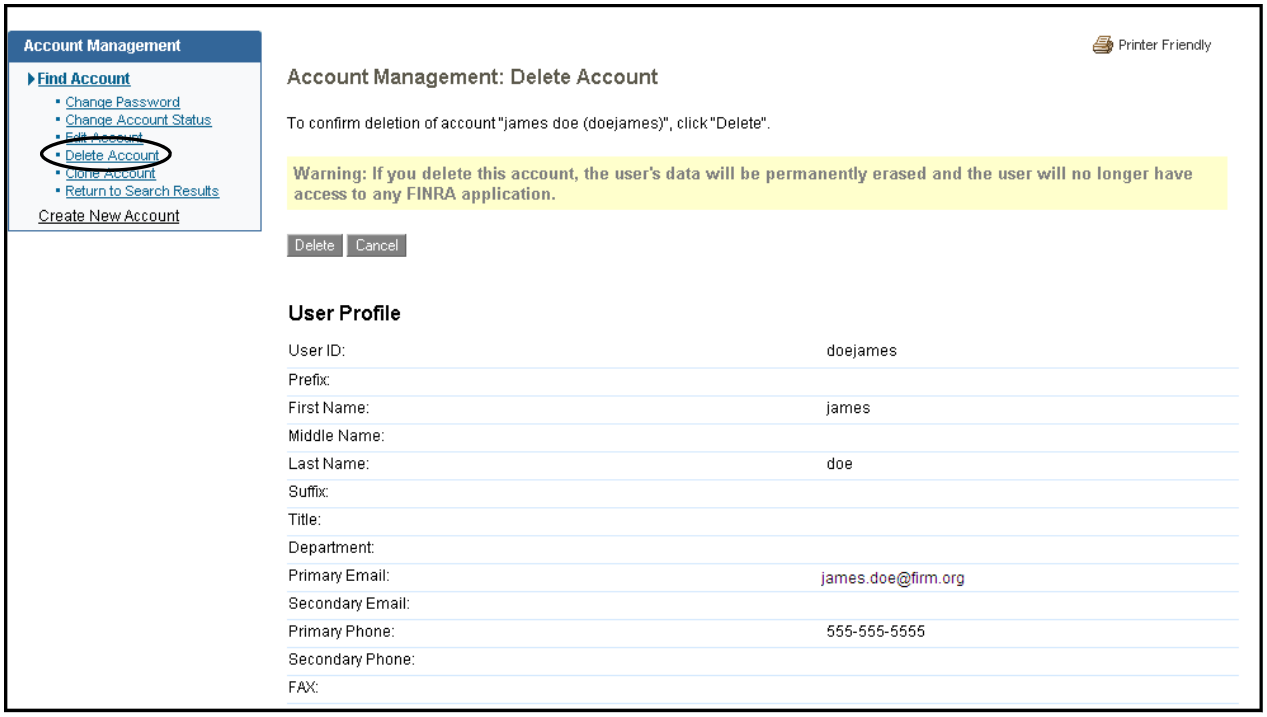
Step 1: Search for and view the user's account *(see pg 15).*

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.

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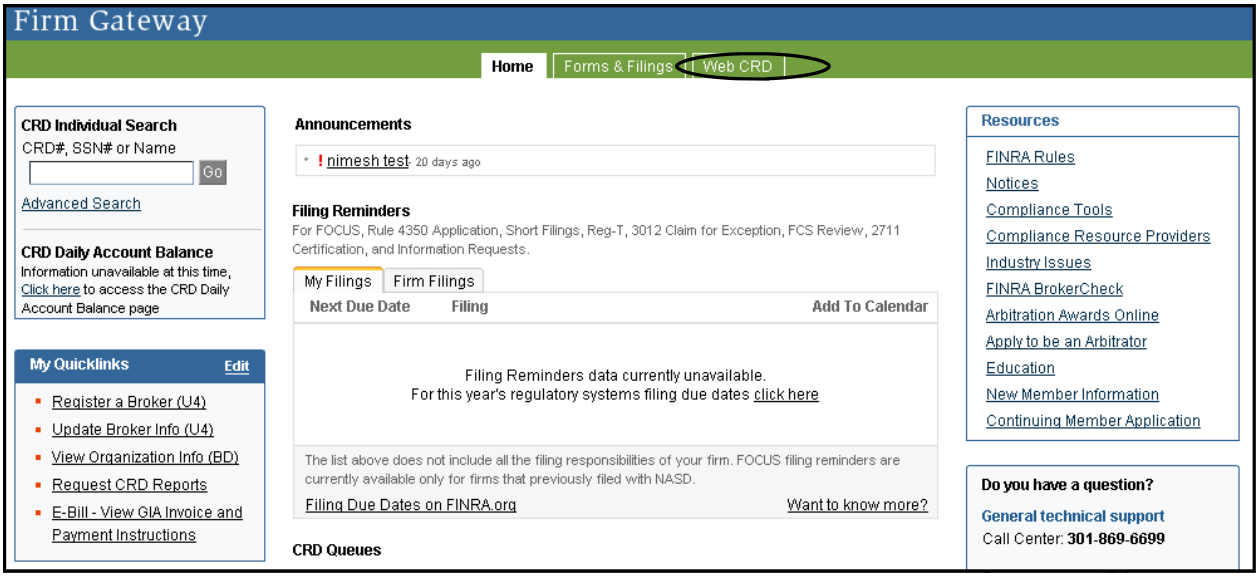
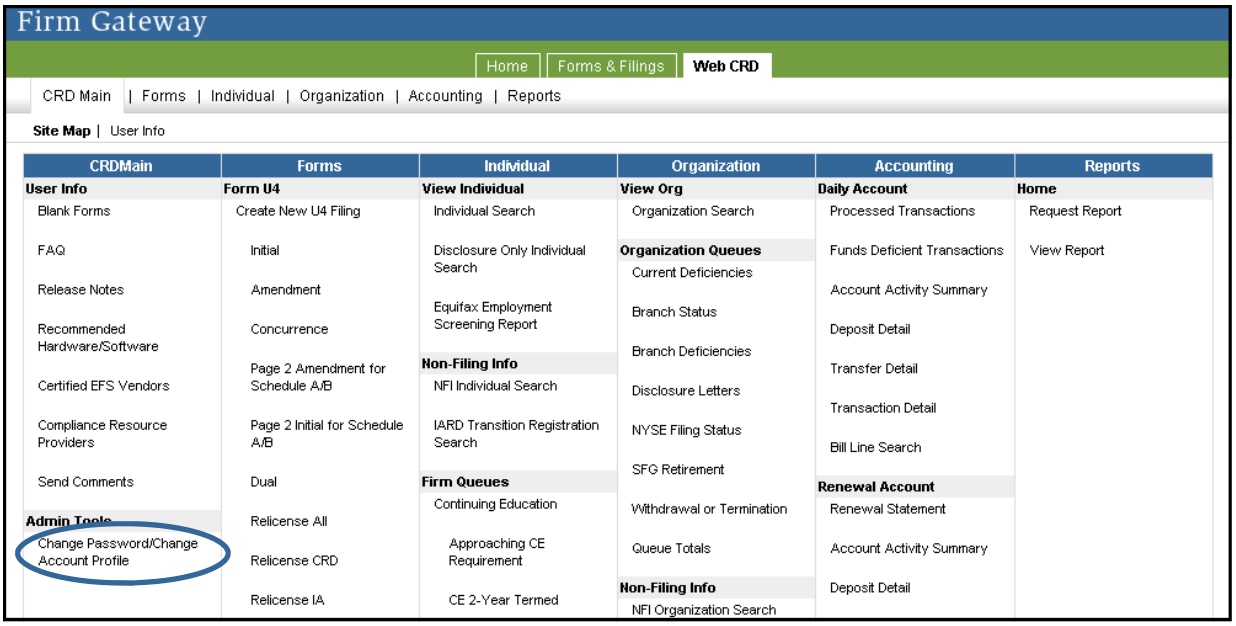
How to Find the Super Account Administrator or Account Administrator (used by member organizations)

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**).



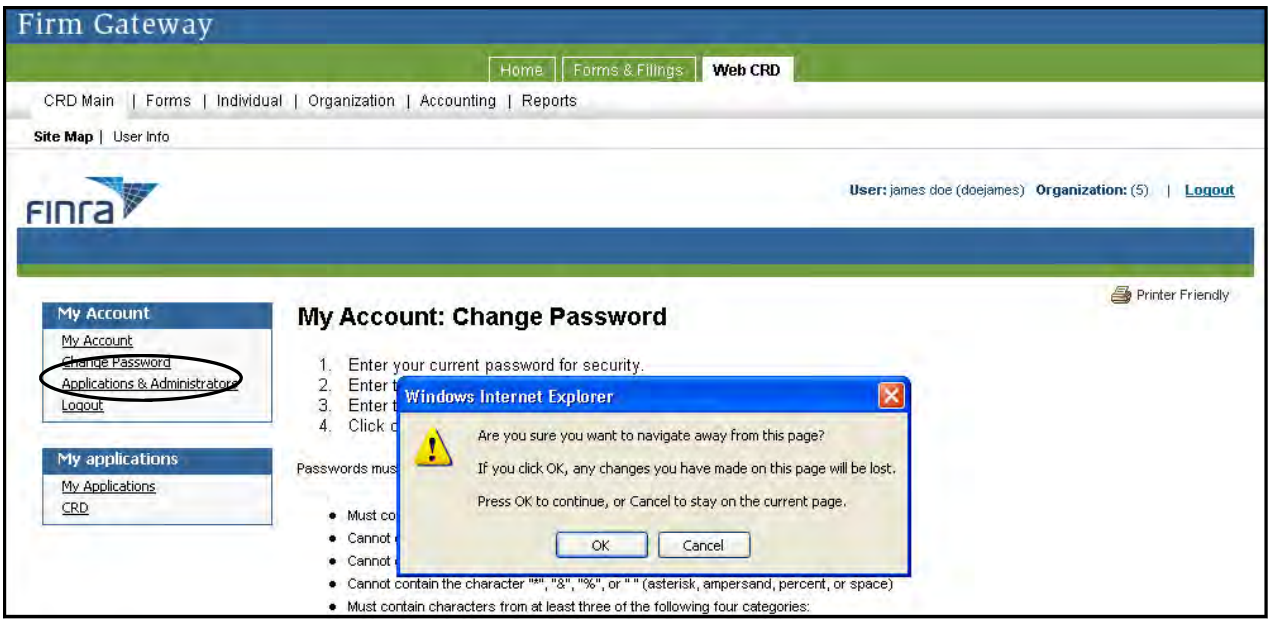
Result: The **CRD Site Map** displays.



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

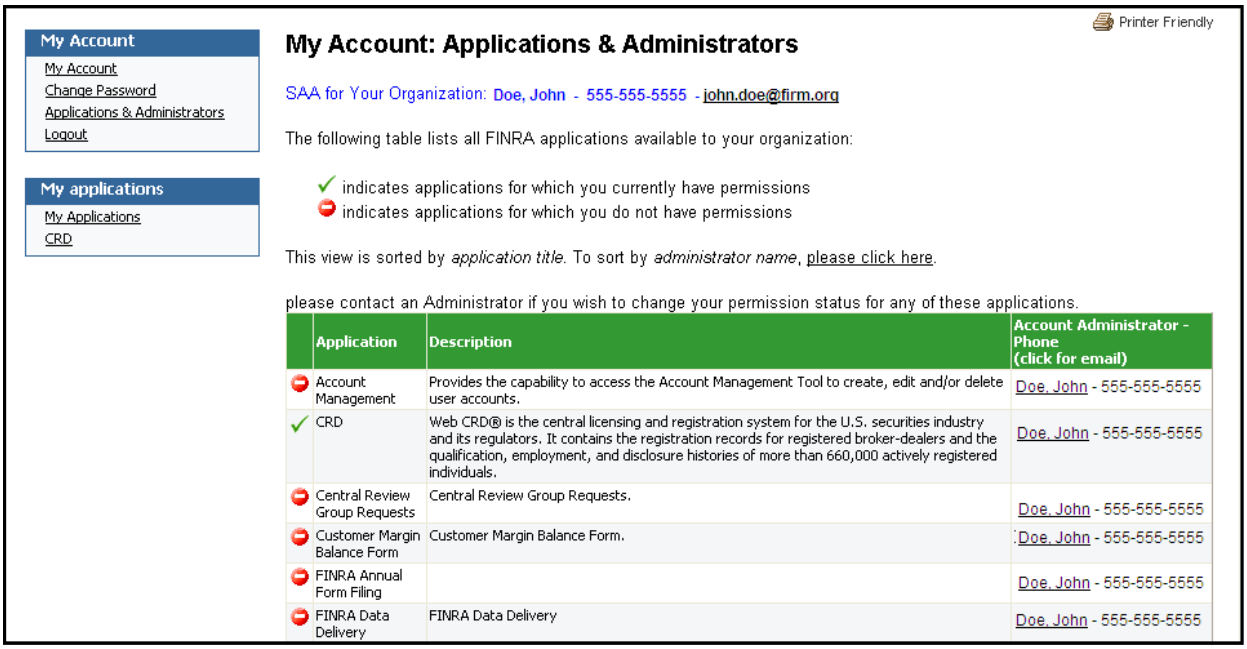
How to Find the Super Account Administrator or Account Administrator (cont.)

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



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

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



- The SAA 's information appears at the top of the screen beneath **My Account: Applications & Administrators**.
- The AA's information appears in the last column of the table.
- Green check marks indicate the applications for which you are entitled. The red circles indicate the applications for which you are not entitled.