

Multi-Factor Authentication (MFA) Guide for Super Account Administrators / Account Administrators

Multi-factor authentication (MFA) is an additional layer of security beyond the user ID and password that enhances security of your account, using another device to verify identity. It will be required for all Super Account Administrators (SAAs) and Account Administrators (AAs) who have access to FINRA applications. This additional security control is provided by the vendor Duo (Cisco), and users must enroll with a landline phone, smartphone or tablet to initiate the MFA process and to use this service going forward. Eventually, all users will have an opportunity to enroll in the Duo MFA service to access various FINRA applications.

The following enrollment steps only need to be completed once per user account.

FINRA websites protected by MFA can be accessed from Windows or Mac computers running on one of the latest versions of the operating system. [Duo Mobile app](#) works with iOS and Android. Please note that End of Life versions are not supported and all access will be blocked.

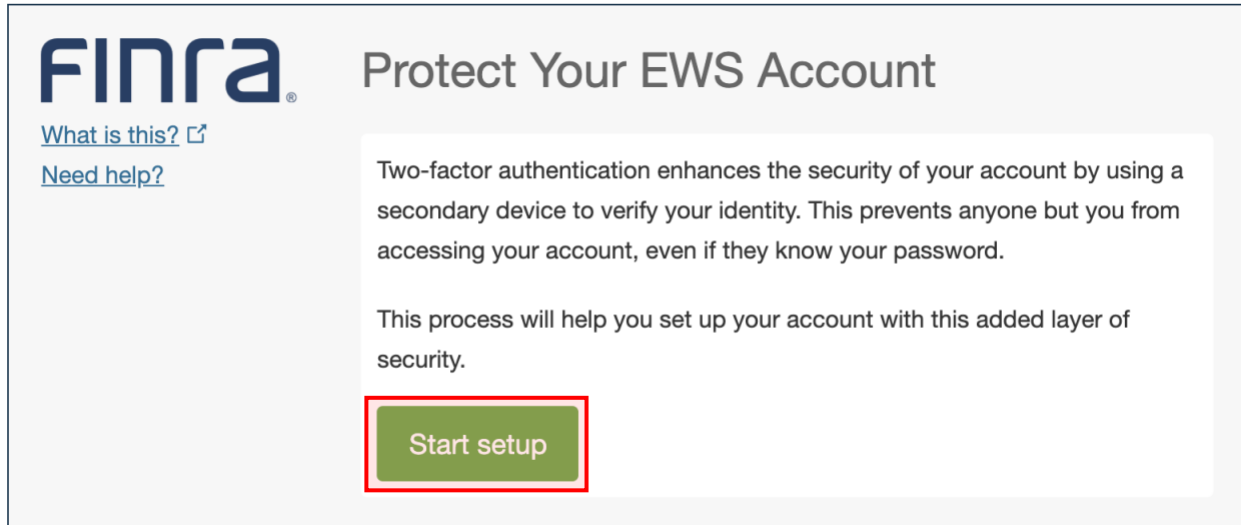
This job aid covers information specific to MFA. Go to the [FINRA Entitlement Program > Entitlement Help & Training > FINRA Entitlement Reference Guide](#) for general help for SAAs and AAs.

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Section 1: How to Enroll in FINRA Entitlement Program MFA

1. Open FINRA Firm Gateway: <https://firms.finra.org>
2. Enter your **User ID**, read the **Terms and Conditions** and click **Accept**.
3. Enter your **Security Answer** and click **Continue**.
4. Enter your **Password** and click **Log in**.
5. Click **Start setup**.



FINra Protect Your EWS Account

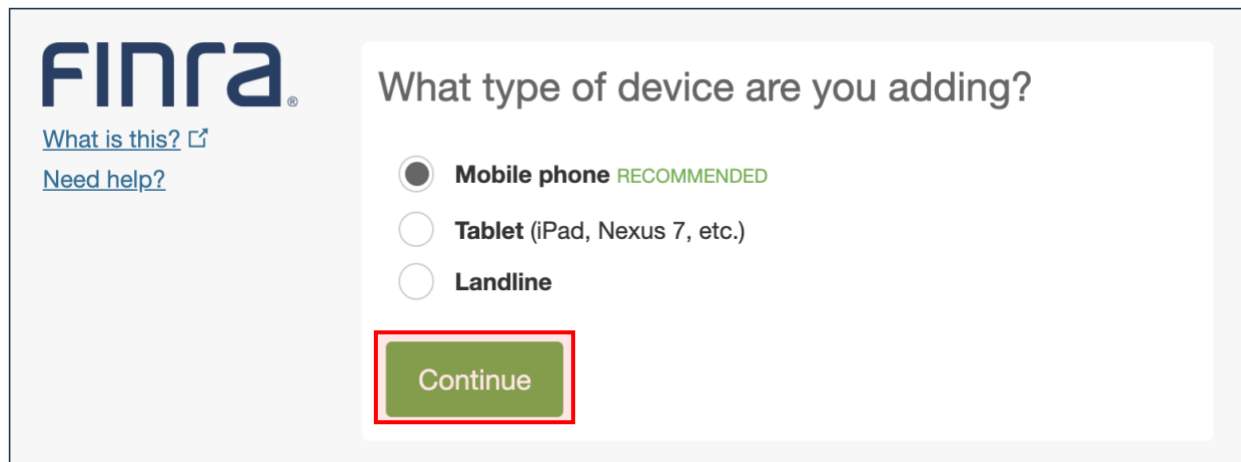
[What is this?](#) [Need help?](#)

Two-factor authentication enhances the security of your account by using a secondary device to verify your identity. This prevents anyone but you from accessing your account, even if they know your password.

This process will help you set up your account with this added layer of security.

Start setup

6. Select the **Type of Device** you will use for authentication and click **Continue**.



FINra What type of device are you adding?

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☒ **Mobile phone** RECOMMENDED

☐ **Tablet** (iPad, Nexus 7, etc.)

☐ **Landline**

Continue

Note: The device type selection (mobile phone, tablet or landline) affects the prompts displayed. Please follow the prompts appropriate to your selection.

7. Enter the **phone number** of the device; **confirm the phone number** by clicking the checkbox and click **Continue**.

Note: The user must have access to the device associated with the phone number.

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Enter your phone number

United States

+1 2405060000 ✓

Example: (201) 234-5678

☒ You entered (240) 506-0000. Is this the correct number?

Back Continue

Note: Users can change their country using the dropdown box on the top of the screen.

8. Select the **Phone Type** associated with the phone number provided and click **Continue**.

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What type of phone is 240-506-0000?

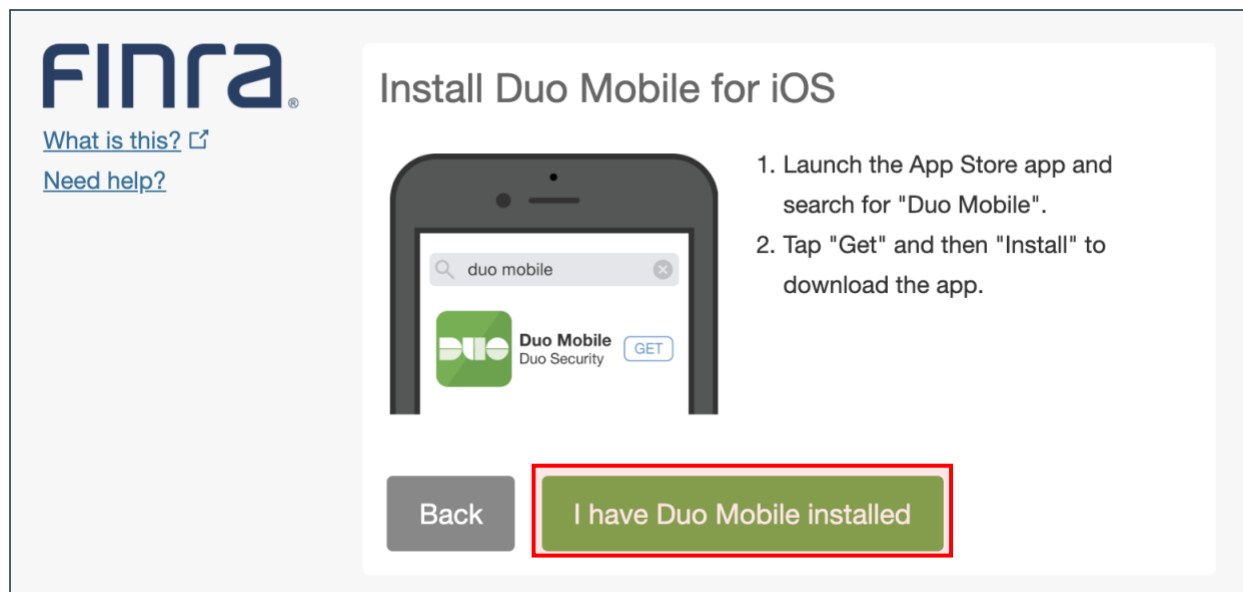
☒ iPhone
☐ Android
☐ Windows Phone
☐ Other (and cell phones)

Back Continue

Note: Users will be prompted to install [Duo Mobile app](#) if they select iPhone, Android or Windows Phone. Duo Mobile (Duo Push) is the easiest and quickest way of authenticating. You will get a login request sent directly to your smartphone. When the Duo Push notification shows up on your screen, tap where indicated to view the available actions: Approve or Deny. Using the Duo Mobile app (Duo Push) is considered to be the most secure option.

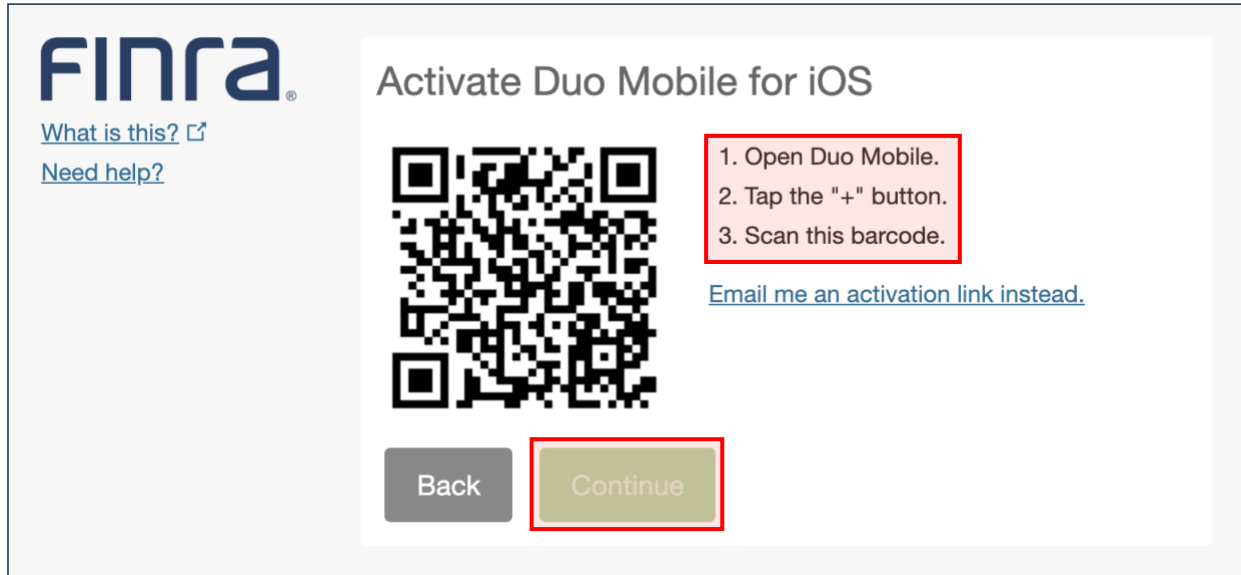
Individuals who select “Other” will perform MFA without installing or using the Duo Mobile app, provided that their device has cellular service when completing the login process.

9. Follow the prompts to **install Duo Mobile** app according to the type of device that you selected (iPhone, Android, Windows Phone, etc.) or click **I have Duo Mobile Installed**.



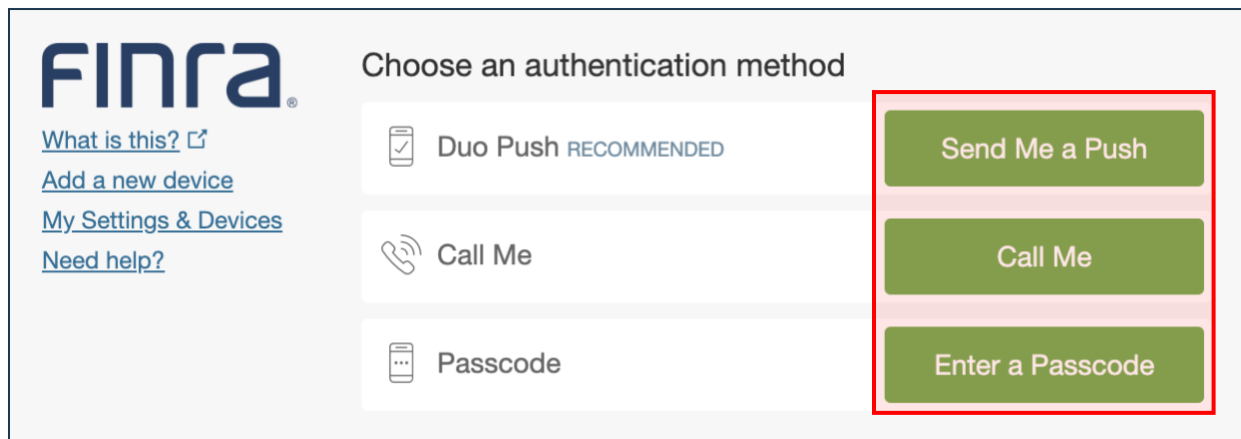
10. Follow the instructions on the screen to **activate Duo Mobile** app and click **Continue** to complete enrollment.

Note: You must authorize Duo Mobile to access your smart phone or tablet camera to complete this step. If you are unable to scan the barcode, click the option to have an activation link sent to you via email. Note that the activation link must be opened from your mobile device.



Section 2: How to Login to FINRA Applications Using MFA

1. Enter FINRA application URL in your browser.
2. Enter your **User ID**, read the **Terms and Conditions** and click **Accept**.
3. Enter your **Password** and click **Log in**.
4. Select the desired authentication method for this login.

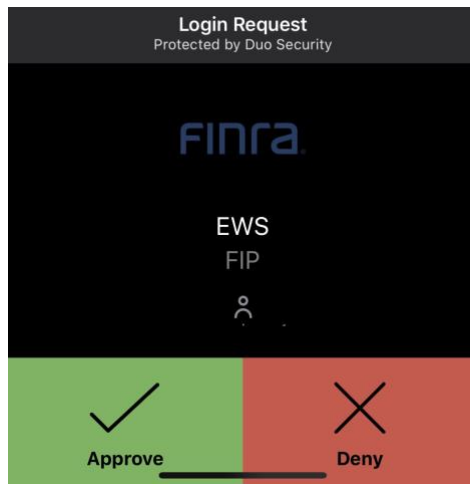


<p>Send Me a Push:</p> <p>Access the Duo Mobile app on the associated device and approve the request.</p>	<p>Call Me:</p> <p>The system will call the device phone number and automated instructions will be given.</p>	<p>Enter a Passcode:</p> <p>Request the one-time passcode via text message or use an auto-generated</p>
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		Duo Mobile passcode.
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a. Send Me a Push option:

Check your mobile phone / tablet and **click on green Approve** button.



b. Call Me option:

Answer your phone and press any button on it to continue.

c. Enter a Passcode option:

Use **passcode from Duo Mobile app** or request **new code via text message**, **enter it in the box**, and **click Log In** to continue.

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[What is this?](#) [Add a new device](#) [My Settings & Devices](#) [Need help?](#)

Choose an authentication method

☒ Duo Push RECOMMENDED Send Me a Push

☐ Call Me Call Me

Log In

Enter a passcode from Duo Mobile or a text. Text me new codes ×

Note: If the same computer and browser are used within a 24-hour timeframe to access FINRA systems, the user will not be required to re-enter identifying information to re-authenticate each time the user logs on.

Section 3: How to Add a New Device

1. Click on **Add a new device** link in the sidebar

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[What is this?](#) [Add a new device](#) [My Settings & Devices](#) [Need help?](#)

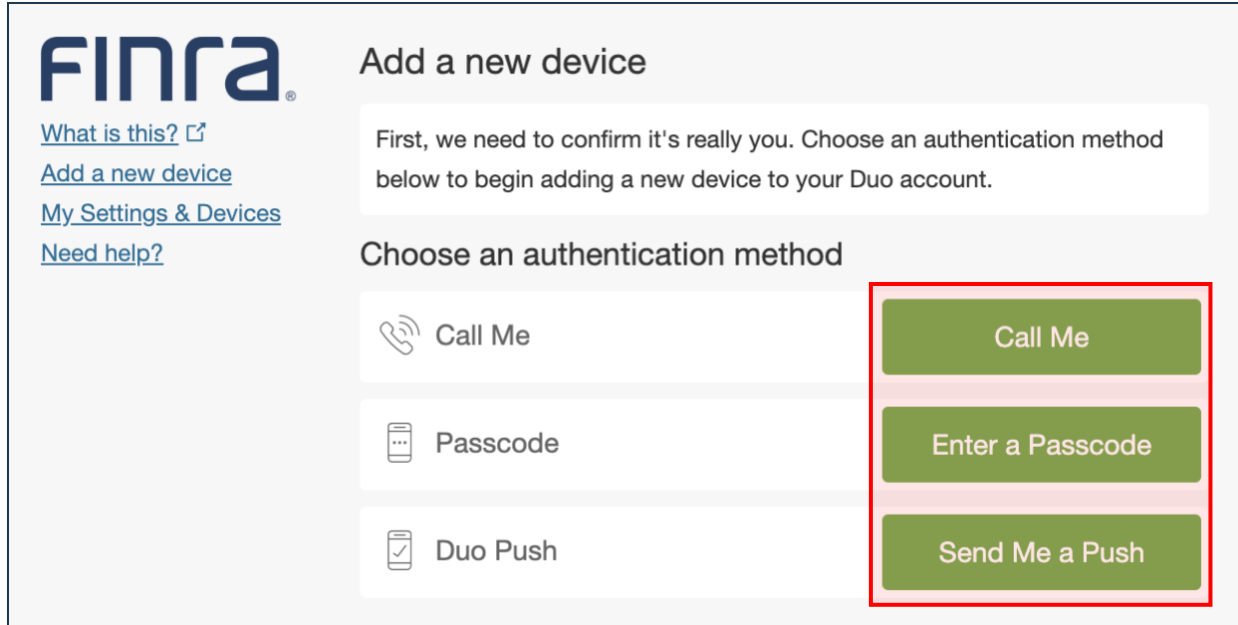
Choose an authentication method

☒ Duo Push RECOMMENDED Send Me a Push

☐ Call Me Call Me

☐ Passcode Enter a Passcode

2. **Verify** your identity by completing authentication steps described in [Section 2, Step 4](#)






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[What is this?](#) [Add a new device](#) [My Settings & Devices](#) [Need help?](#)

Add a new device

First, we need to confirm it's really you. Choose an authentication method below to begin adding a new device to your Duo account.

Choose an authentication method

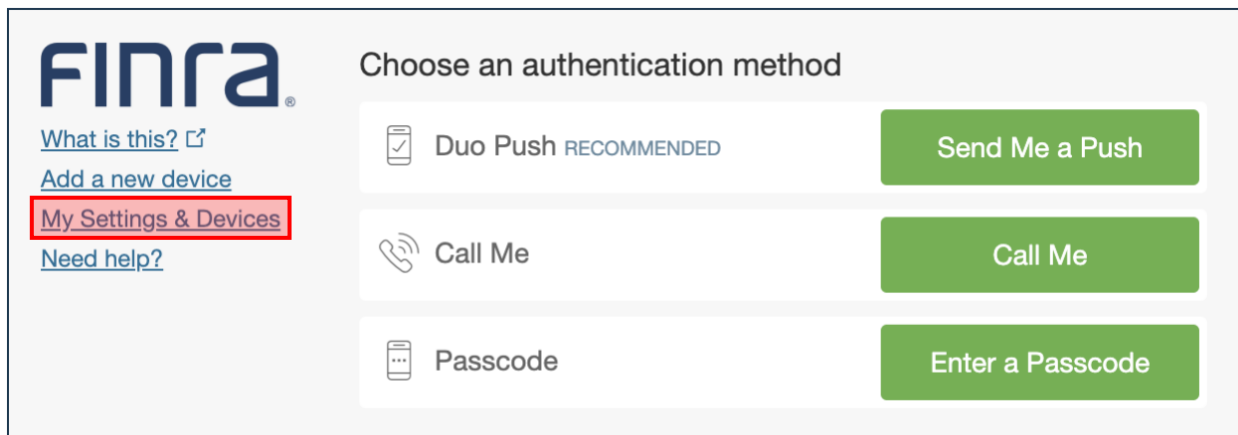
 Call Me	Call Me
 Passcode	Enter a Passcode
 Duo Push	Send Me a Push

- Follow the MFA enrollment process described in [Section 1, Steps 1 – 10](#) to add a new MFA device.

Section 4: How to Delete My Devices

Note: You must have at least two devices enrolled in order to delete one. If you are unable to delete a device, contact the Gateway Call Center at (301) 590 6500 for assistance.




- Click on **My Settings & Devices** link in the sidebar.



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[What is this?](#) [Add a new device](#) [My Settings & Devices](#) [Need help?](#)

Choose an authentication method

 Duo Push RECOMMENDED	Send Me a Push
 Call Me	Call Me
 Passcode	Enter a Passcode

- Verify** your identity by completing authentication steps described in [Section 2, Step 4](#).

3. Click the **blue Device Options button**.

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[What is this?](#) [Add a new device](#) [My Settings & Devices](#) [Need help?](#)

My Settings & Devices

iOS 240-506-0000	Device Options
Landline 240-500-0001	Device Options

+ [Add another device](#)

Default Device:

When I log in:

[Back to Login](#) [Saved](#)

- Click the **trash icon button** to delete your device.

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[What is this?](#) [Add a new device](#) [My Settings & Devices](#) [Need help?](#)

My Settings & Devices

iOS 240-506-0000

Device Options

Landline 240-500-0001

Change Device Name

+ [Add another device](#)

Default Device:

iOS 240-506-0000

When I log in:

Ask me to choose an authentication method

Back to Login

Saved

- Confirm or Cancel your action.

Are you sure you want to remove
this device?

This action cannot be undone.

Cancel

Remove

Section 5: Common Questions

Can usernames or passwords be shared among multiple users within a firm?

Sharing of account credentials to access FINRA systems is strictly prohibited. An account must be used only by the person for whom it is created.

Why is FINRA implementing MFA?

Multi-factor authentication or MFA is one of the most effective security controls currently available to protect an organization against remote security attacks. If the credentials of a user are compromised, during the login process, MFA can prevent a security breach through an additional verification process.

FINRA is committed to protecting its member firms' data and systems from being exposed to any security vulnerabilities. Therefore, FINRA has mandated the use of MFA as an additional verification step for firms logging into FINRA applications.

How does MFA benefit my firm?

Passwords are increasingly easy to compromise. They can often be stolen, guessed, or hacked and a user might not even know someone is accessing their account. MFA adds a second layer of security, helping the account stay secure even if the password is compromised. This second factor of authentication is separate and independent from a firm's username and password.

How will I know when my firm is scheduled to begin MFA?

MFA is being rolled out in phases beginning in April 2020 to firm Super Account Administrators (SAAs) and Account Administrators (AAs). FINRA will notify firms when they are scheduled for enrollment.

Is MFA mandatory?

FINRA plans to mandate MFA for all organizations' SAAs and AAs by December 2020. Other users are not included at this time; FINRA will communicate the rollout for all other users once the schedule is established.

What do I do if I lost my phone?

It is strongly recommended that you delete the lost device from your MFA settings; however, you must have at least two registered devices in order to delete the old one. Enroll your new device, then use My Settings & Devices to delete your lost or stolen phone as described in [Section 4](#).

If you are not able to log in to Duo Mobile at all, contact the FINRA Gateway Call Center at (301) 590 6500 to have your missing phone disabled and to get a one-time passcode so you can log on using that passcode.

How do I reactivate Duo Mobile?

If you get a new phone, you will need to re-activate Duo Mobile. You may enroll your new device by using My Settings & Devices as described in [Section 3](#). Otherwise, contact the FINRA Gateway Call Center at (301) 590 6500 to reactivate Duo Mobile.

How do I receive push notifications from Duo Mobile?

You may have trouble receiving push notifications if there are network issues between your phone and the Duo Mobile service. Many phones have trouble determining whether to use the WIFI or cellular data channel when checking for push notifications. To resolve this issue, if you have a reliable internet connection, turn the phone to airplane mode and then turn off airplane mode to return the phone to its normal operating mode. Similarly, the issue may be resolved by turning off the WiFi connection on your device and using the cellular data connection.

If the actions above do not resolve the issue, check the time and date on your phone and make sure they are correct. If the date and time on your phone are manually set, try changing your device's configuration to sync date and time automatically with the network.

If you cannot get Duo Push working on your own, log in with a passcode generated by the Duo Mobile application. Refer to [Section 2, Step 4](#) for details.

If you have tried the suggestions here but cannot get Duo Push working or reactivate your device yourself, contact the FINRA Gateway Call Center at (301) 590 6500.

Need Help?

If you need assistance using Multi-Factor Authentication, contact the FINRA Gateway Call Center at (301) 590 6500.