



FINRA Entitlement Program: Super Account Administrator Reference Guide

Each organization must designate **one (1)** Super Account Administrator (SAA) per Organization. The SAA is the main point of contact for Account Administrator entitlement at the organization. SAAs have "Administrator" access to all applicable FINRA applications and privileges. SAAs need to set their own entitlement (self-entitle) in order to access the applications and privileges needed to perform their job responsibilities for their organization. SAAs create Account Administrators (AA) who manage entitlement for other users within the organization. Both SAAs and AAs can create, delete and maintain user accounts. SAAs are responsible for verifying all user accounts for their organization and must comply with the annual FINRA Entitlement User Account Certification Process.

NOTE:

This job aid covers information specific to SAAs. Please refer to the [Entitlement Reference Guide](#) for general help for Account Administrators (AAs) & Super Account Administrators (SAAs).

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Questions about the FINRA Entitlement Program?
Call the FINRA Gateway Call Center at **301-590-6500**
8 AM through 8 PM, ET, Monday-Friday.

Considerations for Designating an SAA:

- Each firm must designate one (1) SAA.
- For firms with affiliates, the same SAA or a different SAA may be designated; however, each affiliate (with its Organization ID#) must provide a signed SAA Entitlement Form.
- SAA must be formally delegated the authority by the organization/agency and as authorized in the New Organization SAA Form (or Update/Replace SAA Form) to perform the SAA responsibilities on its behalf. In order for FINRA to create an SAA account for a new organization, the designation must be executed on the current version of FINRA's New Organization SAA Form (or Update/Replace SAA Form), as instructed, and be executed by an Authorized Signatory, as defined by FINRA.
 - An SAA may serve in this role for multiple organizations (affiliated or non-affiliated). NOTE: a separate user name and password is required for each organization.
 - The individual does not need to have an existing FINRA Entitlement Account.

SAA Concept:

- The FINRA Entitlement Program has two Super Account Administrator Forms. The New Organization SAA Form is used to designate an SAA when your organization is new and needs access to the FINRA Entitlement Platform. The Update/Replace SAA Form is used when your firm needs to replace the SAA or update the name and/or email of your current SAA.
- FINRA creates one SAA for each Organization ID#.
- An SAA creates, updates and deletes AAs who in turn manage user accounts. An SAA is also able to create, modify and delete users accounts.
- An SAA certifies that their users are properly entitled to the applications on the FINRA Entitlement Platform and the sensitive data these applications may contain.

Authorized Signatory Instructions and Requirements:

The New Organization SAA Form is used to designate an SAA when your organization is new and requires access to the FINRA Entitlement Platform. This form has specific instructions and signature requirements noted in the form which must be met for processing.

This form can be submitted electronically via DocuSign or a downloadable PDF submitted via email, fax or mail.

Only person(s) authorized to execute this Agreement on behalf of the Organization must sign this form. The SAA and the Authorized Signatory may be the same person only if there is no one at the Organization authorized to act as the Authorized Signatory (e.g., a sole proprietor). You must provide an explanation if you are authorized to execute this agreement on behalf of the Organization but do not meet the Authorized Signatory requirements below.

- Broker-Dealer (BD) and CAB Firms: An Authorized Signatory is the Chief Compliance Officer (CCO) or authorized officer (or other authorized person) listed on Schedule A of the Organization's Initial Form BD and the signer and the designated SAA are not the same person.
- Investment Adviser Firms: An Authorized Signatory is either the Chief Compliance Officer (CCO) or Additional Regulatory Contact (ARC) who will be listed on the Organization's Initial Form ADV and the signer and the designated SAA are not the same person.
- Regulators: An Authorized Signatory is the Securities Commissioner, Chief Regulatory Officer or other Authorized Signatory and the signer and the designated SAA are not the same person.

Steps for Designating an Individual to be an SAA:

1. Complete the New Organization SAA Form following the directions on the form and send to FINRA. The form can be found at www.finra.org/entitlement
2. FINRA Entitlement will set the SAA designation and give “Administrator” access for all applications and privileges required. No “User” privileges will be set.
3. Once approved, the SAA will receive two (2) emails. One email will contain the user name and the other email will contain the temporary user password. NOTE: The Authorized Signatory who signed the form will also receive an email indicating that the SAA has been designated.
4. Upon receipt of the emails, the SAA should log into the application using the user name and temporary password provided by the FINRA Entitlement Group.
5. System/Application Information link is located at www.finra.org/entitlement.
6. Firms can access the FINRA Firm Gateway at: <https://firms.finra.org>
7. Select a new password, select three Security Questions, and enter three Security Responses.
8. Log into the application again, using the user ID and new password.
9. An SAA can self-entitle by marking “User” for any required application/privilege that he/she needs to perform their job.
10. An SAA can create, update and/or delete accounts for Account Administrators and users.

Steps for Updating or Replacing an Existing SAA:

Complete the Update/Replace SAA Form to replace an SAA or update the name or email address of the current SAA. This form must be requested by an Authorized Signatory of your organization. An Authorized Signatory contacts the Gateway Call Center to request the Update/Replace SAA Form. The FINRA Entitlement Group confirms the identity of the requester and pre-populates the form with a unique identifier specific to the request. FINRA sends the form only to an authorized signatory at the firm, using the individual’s contact information on file.

- For Broker-Dealers, the Authorized Signatory is the Chief Compliance Officer (CCO) or authorized officer (or other authorized person) listed on Schedule A of the firm’s initial or current Form BD.
- For Investment Advisers, the Authorized Signatory is the Chief Compliance Officer (CCO) or Additional Regulatory Contact (ARC) listed on the firm’s initial or current Form ADV.
 - Note that IA firms that have access to the FINRA Entitlement Program and need to replace their SAA but have not yet filed their initial Form ADV must use the New Organization SAA Form to replace or update their SAA.
- For Funding Portals: An Authorized signatory is the Chief Compliance Officer (CCO), Chief Executive Officer (CEO), Chief Financial Officer (CFO), Chief Legal Officer (CLO), Chief Operations Officer (COO) or a Director or any other individuals with similar status or functions and the signer and the designated SAA are not the same person.

When the completed form is returned to FINRA, the pre-populated information on the form must match the unique identifier that FINRA provided. FINRA assigns a unique identifier to each update/replace request and therefore, a firm must request another Update/Replace SAA Form for a subsequent request.

Requests are made by contacting the Gateway Call Center :

- Broker-Dealers: (301) 869-6699
- Investment Adviser: (240) 386-4848
- Funding Portals: (301) 590-6500

How to Self-Entitle “User” Privileges as an SAA:

As a new SAA, you will need to entitle yourself to any “User” privileges you need to perform your job.

The Account Management functionality can be accessed several ways:

- Firms can access Account Management via the FINRA Firm Gateway at: <https://firms.finra.org> or directly at: <https://accountmgmt.finra.org/ewsadmin2/index.jsp>
- SAAs and AAs can also access Account Management via the Account Administration link located within certain applications (i.e. Web CRD, IARD and FPRD).

NOTE: This guide will provide the steps for you to access Account Management via Firm Gateway and Account Management directly.

How to Access Account Management to Self-Entitle “User” Access as an SAA using FINRA Firm Gateway:

Step 1: Firms can access the FINRA Firm Gateway at: <https://firms.finra.org>

Step 2: Enter your **User ID** and **Password**, read the **Privacy Policy** and **Entitlement Program Terms of Use** and click **Accept and Continue**.

NOTES:

- Hold cursor down on **View Password** to see the actual characters entered.
- If you do not know your user ID or password, click the **Forgot User ID or Password?** hyperlink. Select the appropriate User ID or Password radio button, enter the required information and click **Submit**. An email with your User ID or a temporary password will be sent to you.
- To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.
- The Single Sign-On (SSO) option is for SEC and FINRA Internal Users Only.

FINRA

Log In Single Sign-On (SSO)

Welcome to CRD

User ID

Password

[View Password](#)

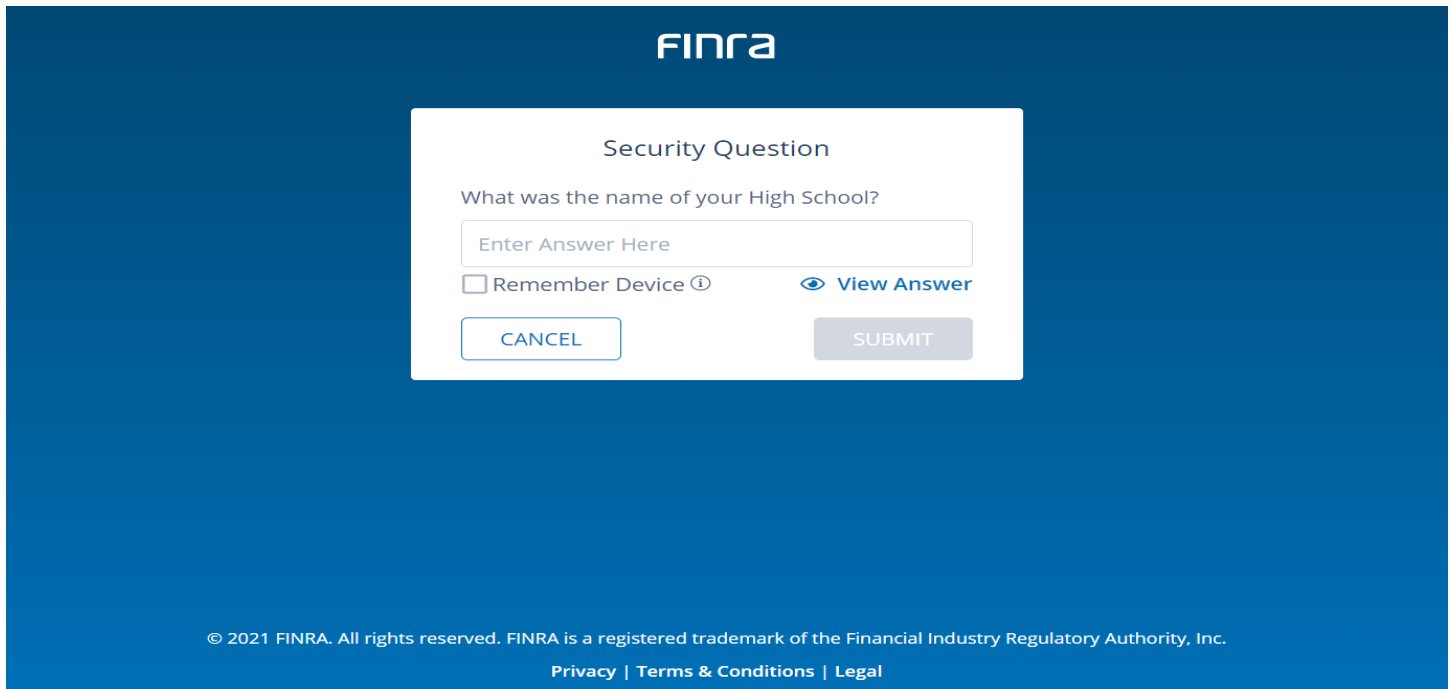
By clicking "Accept and continue" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the FINRA [Entitlement Program Terms of Use](#).

ACCEPT AND CONTINUE

[Forgot User ID or Password?](#)

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Support | finra.org

Result: The *Security Question* screen appears.




The image shows the FINRA Security Question screen. At the top, the FINRA logo is displayed. Below it, a white box contains the title "Security Question" and the prompt "What was the name of your High School?". There is a text input field with the placeholder "Enter Answer Here". Below the input field, there is a checkbox labeled "Remember Device" with an information icon, and a link "View Answer" with an eye icon. At the bottom of the box are two buttons: "CANCEL" and "SUBMIT".

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[Privacy](#) | [Terms & Conditions](#) | [Legal](#)

Step 3: Answer the **Security Question**. Click **Submit**.

Note: Select the option to "Remember Device" *only* if you are using your personal computer.

Result: The **Firm Gateway** home screen appears.



The image shows the FINRA Firm Gateway home screen. The top navigation bar includes links: Home, Forms & Filings, Web CRD, IARD, Report Center, Firm Profile, E-Bill, Information Requests, and User Administration (which is circled). The main content area is divided into three sections:

- CRD Individual Search:** Includes a search box for "CRD#, SSN#, or Name" with a "Go" button and a link to "Advanced Search".
- Filing Reminders:** Includes a section for "My Filings" and "Firm Filings" with a "Next Due Date" and "Filing" status. A note states: "Note: Changes may be reflected within one business day." Below this, it says "There are no current or overdue filings at this time." and "The list above does not include all the filing responsibilities of your firm."
- Education:** Includes a section for "Join Now" with a "Sign Up Now" button.

CRD Individual Search
 CRD#, SSN#, or Name
 Go
 Advanced Search
 Flex-Funding Account Balance
 Sufficient as of 01/13/2016 \$386.61

Filing Reminders
 For FOCUS, 4530 Disclosure and Complaints -- Rule 4530(a,b,d), Short Filings, Reg-T, FCS Review, and Information Requests.
 Note: Changes may be reflected within one business day.
 My Filings Firm Filings
 Next Due Date Filing
 There are no current or overdue filings at this time.
 The list above does not include all the filing responsibilities of your firm.

Education
 Add your custom quick links
 Join Now **NEW**
 Join the **User Feedback Community** and participate in system testing and feedback forums.
 Sign Up Now

OR

Result: The **Funding Portal Gateway** home screen appears.

Funding Portal Gateway

New Member Application Forms & Filings FPRD **User Administration**

New Applicants

In this section of Funding Portal Gateway, you will find resources and form filings to become a funding portal member of FINRA. Before applying to become a funding portal member, it is important that you fully understand all of FINRA's requirements for funding portals. We recommend that you read the information presented on [FINRA.org](https://finra.org) thoroughly, as well as the [FINRA Funding Portal Rules](#) and the SEC's Regulation Crowdfunding.

Below you will find how the funding portal membership process works and how to prepare your funding portal application.

Do You Have a Question?

General Inquiries **301-869-6699**

Regulatory liaison data not available.

For a listing of districts [click here](#)

Step 4: Click the **User Administration** tab to search for your account.

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

User Administration

- Account Management
 - Create New Account
 - Start New Search
- Help

Account Management: Start New Search

To perform a new search, fill in query criteria, then click "Search".

You can use asterisks as wildcards. For example, "J*o*" matches "Jason", "John", and "Julio".

User ID:

Last Name:

First Name:

Middle Name:

Email:

Department:

TRACE MPIDs:

CRD: ☐

IARD: ☐

Report Center: ☐

Reg - FINRA Contact System: ☐

Information Request Forms: ☐

Web IR: ☐

eFOCUS Application: ☐

FINRA Waiver Forms: ☐

E-Bill: ☐

Search

Printer Friendly

Step 5: Enter your User ID or Name information in the appropriate fields and click on *Search* located at the bottom of the screen.

Result: The *Search Results* screen displays.

User Administration

- Account Management
 - Create New Account
 - Start New Search
- Help

Account Management: Search Results

To view the account, click the User ID.

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	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
doej	doe	john	firm	john.doe@firm.org				No	Active	

Start New Search : Expand / Collapse +

Step 6: Click on your **User ID** hyperlink.

Result: The *View Account* screen displays.

User Administration

- Account Management
 - Create New Account
 - Start New Search
 - Change Password
 - Change Account Status
 - Edit Account
 - Delete Account
 - Clone Account
 - Return to Search Results
- Help

Account Management: View Account

This page shows the account for "john doe (doej)".

User Profile

User ID: doej

Prefix:

First Name: john

Middle Name:


Last Name: doe

Suffix:

Step 7: Click on **Edit Account** located on the navigation bar to the left side of the screen.

cont.

Result: The *Edit Account* screen displays.

 Printer Friendly

Account Management: Edit Account

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

Note: (*) indicates required fields.

User Profile

User ID: doej

Application Privileges

User: The ability to use the functionality as defined by the privilege.
 Administrator: The ability to assign the privilege to other users and view the privilege assigned to other users.

Account Management:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Select All Unselect All Select All Admin		
Edit Account Data:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Manage Accounts:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Change Password:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
<i>MSRB Numbers</i>		
View:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Update:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
<i>OSO</i>		
View:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Next Gen New Member Application:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Select All Unselect All Select All Admin		
Primary Account Admin:		
Read:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Submit:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
CRD:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Select All Unselect All Select All Admin		
Primary Account Admin:		
Organization:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View Organization Information:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Organization Non-Filing Information:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator

Step 8:

Select the appropriate privileges that you need for each application, mark “User” and click the **Save** button that is located at the bottom of the screen.

Important Note: As an SAA you must retain “Administrator” privileges to applications in order to create or manage AA and user accounts for your firm.

Options:

Select All - Use this option if “User” access is needed for all privileges for the application.

Unselect All - Use this option if access is no longer needed.

Roles:

User - The ability to use the application or function.

Administrator - The ability to see and assign a privilege to other users.

Privilege Viewer - Used only by FINRA Account Administrators.

Result: The *Account Changed* screen displays showing the changes that have been made.

 Printer Friendly

Account Management: Account Changed

The account has been changed for "John Doe (doej)".

User Profile

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

How to Create an Account Administrator:

As a Super Account Administrator, you have the ability to create and edit accounts for Account Administrators.

Step 1: Log into Account Management.

Result: The **Firm Gateway** home screen appears.

Firm Gateway

Home | Forms & Filings | Web CRD | IARD | Report Center | Firm Profile | E-Bill | Information Requests | **User Administration**

CRD Individual Search
CRD#, SSN#, or Name
 Go
[Advanced Search](#)

Flex-Funding Account Balance
Sufficient as of 01/13/2016 **\$386.61**

Filing Reminders
For FOCUS, 4530 Disclosure and Complaints -- Rule 4530(a,b,d), Short Filings, Reg-T, FCS Review, and Information Requests.
Note: Changes may be reflected within one business day.

My Filings | Firm Filings

Next Due Date	Filing
There are no current or overdue filings at this time.	

The list above does not include all the filing responsibilities of your firm.

Education
Add your custom quick links

Join Now NEW
Join the **User Feedback Community** and participate in system testing and feedback forums.
Sign Up Now

OR

Result: The **Funding Portal Gateway** home screen appears.

Funding Portal Gateway

New Member Application | Forms & Filings | FPRD | **User Administration**

New Applicants
In this section of Funding Portal Gateway, you will find resources and form filings to become a funding portal member of FINRA. Before applying to become a funding portal member, it is important that you fully understand all of FINRA's requirements for funding portals. We recommend that you read the information presented on [FINRA.org](https://finra.org) thoroughly, as well as the [FINRA Funding Portal Rules](#) and the SEC's Regulation Crowdfunding.
Below you will find how the funding portal membership process works and how to prepare your funding portal application.

Do You Have a Question?
General Inquiries **301-869-6699**
Regulatory liaison data not available.
For a listing of districts [click here](#)

Step 2: Click the **User Administration** tab to search for your account.

cont.

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 3: Enter the AAs **Last Name** and **First Name** then click on **Search** located at the bottom of the screen.

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

If the AA has a user record, the name will appear in the results.

Step 4: Click **Create New Account** from the navigation panel..

cont.

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

User Administration

- [Account Management](#)
 - [Create New Account](#)
 - [Start New Search](#)
- [Help](#)

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:

(none) ▼

First Name (*):

Middle Name:

Last Name (*):

Suffix:

(none) ▼

Title:

(unknown) ▼

Department:

Primary Email (*):

Re-enter Primary Email (*):

Secondary Email:

Primary Phone (*):

Secondary Phone:

FAX:

Printer Friendly

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 an 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.

Options:

Select All - Use this option if "User" access is needed for all privileges or the application.

Unselect All - Use this option if access is no longer needed.

Select All Admin - Use this option if "Administrator" access is needed for all privileges for the application.

Roles:

User - The ability to use the application or function.

Administrator - The ability to see and assign a privilege to other users.

Privilege Viewer - Used only by FINRA Account Administrators.

Application Privileges			
User: The ability to use the functionality as defined by the privilege. Administrator: The ability to assign the privilege to other users and view the privilege assigned to other users.			
Account Management:		<input checked="" type="checkbox"/> User	
Select All Unselect All			
Edit Account Data:	<input checked="" type="checkbox"/> User		
Manage Accounts:	<input checked="" type="checkbox"/> User		
Change Password:	<input checked="" type="checkbox"/> User		
<i>TRACE MPIDs</i>			
View:	<input checked="" type="checkbox"/> User		
Update:	<input checked="" type="checkbox"/> User		
<i>Equity MPIDs</i>			
View:	<input checked="" type="checkbox"/> User		
Update:	<input checked="" type="checkbox"/> User		
<i>MSRB Numbers</i>			
View:	<input checked="" type="checkbox"/> User		
Update:	<input checked="" type="checkbox"/> User		
<i>OSO</i>			
View:	<input checked="" type="checkbox"/> User		
Next Gen New Member Application:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator
Select All Unselect All Select All Admin		<input type="checkbox"/> Privilege Viewer	
Read:	<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Submit:	<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
New Member Application:		<input type="checkbox"/> User	<input type="checkbox"/> Administrator
Select All Unselect All Select All Admin			
Submit:	<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
CRD:		<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
Select All Unselect All Select All Admin		<input type="checkbox"/> Privilege Viewer	
Organization:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator	
View Organization Information:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator	
Organization Non-Filing Information:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator	
Maintain Contact (BD Only):	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator	
Maintain Firm Notification:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator	

Step 5: Enter the appropriate information into the fields in the **User Profile**, **Account Profile**, **FINRA Information**, and **Application Privileges** sections of the **Create New Account** screen and click the **Save** button located at the bottom of the screen.

cont.

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

Account Management: Account Saved

Printer Friendly

The account has been saved for "John Doe (johndoe)".

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

User Profile

User ID:	johndoe
Prefix:	
First Name:	John
Middle Name:	
Last Name:	Doe
Suffix:	
Title:	
Department:	
Primary Email:	john.doe@securities.com
Secondary Email:	
Primary Phone:	240-555-5555
Secondary Phone:	
FAX:	

Step 6: Take note of the User ID and temporary Password that you will need to provide to the user. If providing by email, it is recommended that the User ID and temporary password be sent in separate emails for information security purposes. He/she can now access the application(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 application for the first time with the User ID and password you have provided, they will immediately be directed to change his/her password and select three **Security Questions** and enter the **Security Responses**.
- 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".

Account Management: Account Saved

Printer Friendly

The account has been saved for "John Doe (johndoe)".

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

johndoe Doe, John Today123

User Profile

User ID:	johndoe
Prefix:	
First Name:	John
Middle Name:	
Last Name:	Doe
Suffix:	
Title:	
Department:	
Primary Email:	john.doe@securities.com
Secondary Email:	
Primary Phone:	240-555-5555
Secondary Phone:	
FAX:	

How to Set Unique IDs for Trace MPIDs, Equity MPIDs and/or MSRB Numbers

Setting Unique IDs for an Account Administrator:

Step 1: In the FINRA Information Section of Account Management, select the Unique ID(s) that an Account Administrator will need to assign to other users. Select the Unique ID by clicking on the MPID(s) and/or MSRB(s). The selected ID will highlight.

The screenshot shows the 'FINRA Information' section with three dropdown menus. The first menu, 'TRACE MPIDs:', has options: (none), 01234 (highlighted), 123, and TTRT. The second menu, 'Equity MPIDs:', has options: (none), 123, EQS (highlighted), and TTRT. The third menu, 'MSRB Numbers:', has options: (none), 123 (highlighted), A5521, and ERXZ.

Step 2: In the Application Privileges Section of Account Management, select “User” for both the ‘View’ and ‘Update’ privileges for TRACE, Equity, and/or MSRB so that an Account Administrator has the ability to assign that Unique ID(s) to other users.

Roles:

View - Provides the capability to view the list of accounts MPID(s) or MSRB(s).

Update - Provides the capability to add or delete from the list of accounts MPID(s) or MSRB(s).

The screenshot shows the 'Application Privileges' section. At the top, it defines 'User' as 'The ability to use the functionality as defined by the privilege.' and 'Administrator' as 'The ability to assign the privilege to other users and view the privilege assigned to other users.' Below this, a table lists privileges and the selected role for each.

Account Management:	
Select All Unselect All	<input checked="" type="checkbox"/> User
Edit Account Data:	<input checked="" type="checkbox"/> User
Manage Accounts:	<input checked="" type="checkbox"/> User
Change Password:	<input checked="" type="checkbox"/> User
<i>TRACE MPIDs</i>	
View:	<input checked="" type="checkbox"/> User
Update:	<input checked="" type="checkbox"/> User
<i>Equity MPIDs</i>	
View:	<input checked="" type="checkbox"/> User
Update:	<input checked="" type="checkbox"/> User
<i>MSRB Numbers</i>	
View:	<input checked="" type="checkbox"/> User
Update:	<input checked="" type="checkbox"/> User
<i>OSO</i>	
View:	<input checked="" type="checkbox"/> User

Step 3: In Account Management, under the Report Center Section, select the associated privilege for the selected Unique ID.

For example- If a TRACE MPID is selected, you must also select the associated privilege which is ‘Report Center – View TRACE Quality of Markets Report Card’ with “User & Administrator”. An error message will appear on the system if a Unique ID(s) is selected, but the associated privilege(s) is not.

cont.

Options:

Select All - Use this option if “User” access is needed for all privileges or the application.

Unselect All - Use this option if access is no longer needed.

Select All Admin - Use this option if “Administrator” access is needed for all privileges for the application.

Report Center:		
Select All Unselect All Select All Admin	<input type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
		<input type="checkbox"/> Privilege Viewer
<i>Report Center Roles</i>		
View Usage Log:	<input type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View Equity Report Card:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View TRACE Quality of Markets Report Card:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View TRACE Entitlement and Contact Report:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View MSRB Report Cards:	<input checked="" type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View Disclosure Reports:	<input type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View Online Learning Reports:	<input type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator
View Risk Monitoring Reports:	<input type="checkbox"/> User	<input checked="" type="checkbox"/> Administrator

Step 4: Click the **Save** button that is located at the bottom of the screen.

Scenarios for Setting Up an Account Administrator

FINRA Information Section	Account Management Application Privilege Section	Report Center Application associated Privileges (The privilege below must be marked)
Select Equity MPID(s) by clicking on the Equity MPID(s) to highlight	Equity MPID View Update	View Equity Report Card
Select TRACE MPID(s) by clicking on the TRACE MPID(s) to highlight	TRACE MPID View Update	View TRACE Quality of Markets Report Card
Select TRACE MPID(s) by clicking on the TRACE MPID(s) to highlight	TRACE MPID View Update	View TRACE Entitlement and Contact Report
Select TRACE MPID(s) by clicking on the TRACE MPID(s) to highlight	TRACE MPID View Update	TRACE Order Form Submit/Read All
Select TRACE MPID(s) by clicking on the TRACE MPID(s) to highlight	TRACE MPID View Update	TRACE New Issue Form Submit/Read All
Select TRACE MPID(s) by clicking on the TRACE MPID(s) to highlight	TRACE MPID View Update	FINRA Data Delivery TRACE Trade Journal
Select MSRB Number(s) by clicking on the number(s) to highlight	MSRB Number View Update	View MSRB Report Card

cont.

Setting Unique IDs for a User:

Step 1: In the FINRA Information Section of Account Management, select the Unique ID(s) that an Account Administrator will need to assign to other users. Select the Unique ID by clicking on the MPID(s) and/or MSRB(s). The selected ID will highlight.

FINRA Information

TRACE MPIDs: (none) 01234 123 TTRT

Equity MPIDs: (none) 123 EQS TTRT

MSRB Numbers: (none) 123 A5521 ERXZ

Step 2: In Account Management, under the Report Center Section, select the associated privilege for the selected Unique ID.

For example- If a TRACE MPID is selected, you must also select the associated privilege which is 'Report Center – View TRACE Quality of Markets Report Card' with "User". An error message will appear on the system if a Unique ID(s) is selected, but the associated privilege(s) is not.

Role:

User - The ability to use the application or function.

Report Center:
[Select All](#) | [Unselect All](#) | [Select All Admin](#)

☒ User ☐ Administrator ☐ Privilege Viewer

Report Center Roles

View Usage Log:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View Equity Report Card:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View TRACE Quality of Markets Report Card:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View TRACE Entitlement and Contact Report:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View MSRB Report Cards:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View Disclosure Reports:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View Online Learning Reports:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator
View Risk Monitoring Reports:	<input checked="" type="checkbox"/> User	<input type="checkbox"/> Administrator

Scenarios for Setting Up a User

FINRA Information Section	Report Center Application associated Privileges (The privilege below must be marked)
Select Equity MPID(s) by clicking on the MPID(s) to highlight	View Equity Report Card
Select TRACE MPID(s) by clicking on the MPID(s) to highlight	View TRACE Quality of Markets Report Card
Select TRACE MPID(s) by clicking on the MPID(s) to highlight	View TRACE Entitlement and Contact Report
Select MSRB Number(s) by clicking on the number (s) to highlight	View MSRB Report Card

How to directly access the Account Management URL Address:

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

Step 2: Enter your **User ID** and **Password**, read the **Privacy Policy** and **Entitlement Program Terms of Use** and click **Accept and Continue**.

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 Privacy | Terms & Conditions | Legal

NOTES:

- To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.
- If you do not know your User ID or Password, click the **Forgot User ID or Password** hyperlink. Select the appropriate User ID or Password radio button, enter the required information and click **Submit**. An email with your User ID or a temporary password will be sent to you.

Result: The *Security Question* screen appears.

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 Privacy | Terms & Conditions | Legal

Step 3: Answer the **Security Question**. Click **Submit**.

Note: Select the option to “Remember Device” *only* if you are using your personal computer.

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

Account Management

- Home
- Account Management
- Help

My applications

- My Applications
- Account Management
- CRD
- IARD
- Report Center
- Reg - 17a-11 Financial Notifications
- Reg - 3012 Claim for Exception
- Reg - Disclosure Events and Complaints
- Reg - Advertising Regulation
- Reg - Blue Sheets
- Reg - INSITE Firm Data Filing
- Reg - Market Volatility
- Reg - FINRA Contact System
- Reg - Short Position Reporting
- TRACE Order Form
- TRACE New Issue Form
- Web IR
- OATS QC
- eFOCUS Application
- Secure Request Manager
- eAnalytics
- REX - Reg T and 15C3-3 Extension

Account Management: Home

Printer Friendly

Welcome to Account Management.

Please make a selection from the menu at the left. The available selections for Account Management are:

Home Introduces the Account Management system, displays system announcements, and provides links to applications.

Account Management Enables you to manage the list of accounts that can be used to log into any of the applications under the Account Management umbrella. You can query, view, add, edit, and delete accounts from the list. This tool also enables you to designate the appropriate applications, roles, and privileges for each account.

Help Provides help in using the Account Management system.

How to Identify an SAA in Account Management:

All users 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 Account Management site (see pg. 5 or 19).

Step 2: Select **My Account** from the header section of the screen.

Result: The *Applications & Administrators* screen appears.



Result: The *My Account: Account Information* screen appears.

My Account: Account Information Printer Friendly

Please complete the following form, then click "Save".

Note: (*) indicates required fields.

Prefix:
 First Name (*): john
 Middle Name:
 Last Name (*): doe
 Suffix:
 Title:
 Primary Email (*): john.doe@firm.org
 Secondary Email:
 Primary Phone (*): 555-555-5555
 Secondary Phone:
 FAX:
 Organization ID: 0000
 Department:
 TRACE MPIDs:
 Equity MPIDs:
 MSRBs:
 OSO:
 Individual CRD Number:
 Legacy User ID:
 OATS Legacy User ID (PD):
 OATS Legacy User ID (CT):

[Save](#)

Step 3: Click **Applications & Administrators** located on the navigation bar located on the left side of the screen.

Result: The *Applications & Administrators* screen appears.

My Account: Applications & Administrators Printer Friendly

SAA for Your Organization: **doe, jane - 555-555-5555 - jane.doe@firm.org**

The following table lists all FINRA applications available to your organization:

✓ indicates applications for which you currently have permissions
 ✗ indicates applications for which you do not have permissions

This view is sorted by *application title*. To sort by *administrator name*, please [click here](#).

please contact an Administrator if you wish to change your permission status for any of these applications.

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, jane - 555-555-5555

How to Change Your Security Questions and Answers

The **Security Questions and Answers** can be change by clicking **Edit Security Questions**

OR

Step 1: Access the Account Management site (see pg. 5 or 19).

Step 2: Select **My Account** from the header section of the screen.

Result: The *Applications & Administrators* screen appears.



Result: The *My Account: Account Information* screen appears.

My Account
[My Account Information](#)
[Change Password](#)
[Change Security Questions](#)
[Applications & Administrators](#)

My Account: Account Information

Please complete the following form, then click "Save".

Note: (*) indicates required fields.

Prefix:

First Name (*): john

Middle Name:

Last Name (*): doe

Suffix:

Title:

Primary Email (*): john.doe@firm.org

Secondary Email:

Primary Phone (*): 555-555-5555

Secondary Phone:

FAX:

Organization ID: 0000

Department:

TRACE MPIDs:

Equity MPIDs:

MSRBs:

OSO:

Individual CRD Number:

Legacy User ID:

OATS Legacy User ID (PD):

OATS Legacy User ID (CT):

Printer Friendly

Step 3: Select **Change Security Questions** from the navigation bar.

Result: The *My Account: Security Questions and Answers* screen appears.

My Account

- [My Account Information](#)
- [Change Password](#)
- [Change Security Questions](#)
- [Applications & Administrators](#)

My Account: Security Questions and Answers Printer Friendly

Please select security questions and provide answers. Choose answers that are easy to remember. Only use alphanumeric characters and use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with * are required fields.

Question 1:
What is your best friend's first name? ▼

Answer: *
training

Question 2:
What was the name of your first pet? ▼

Answer: *
training

Question 3:
In what city was your mother born? (Enter full name of city only) ▼

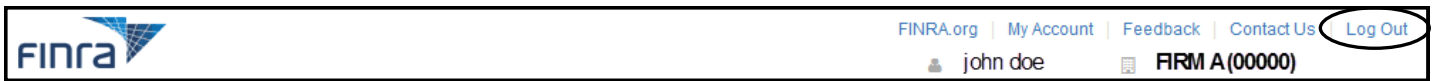
Answer: *
training

Save

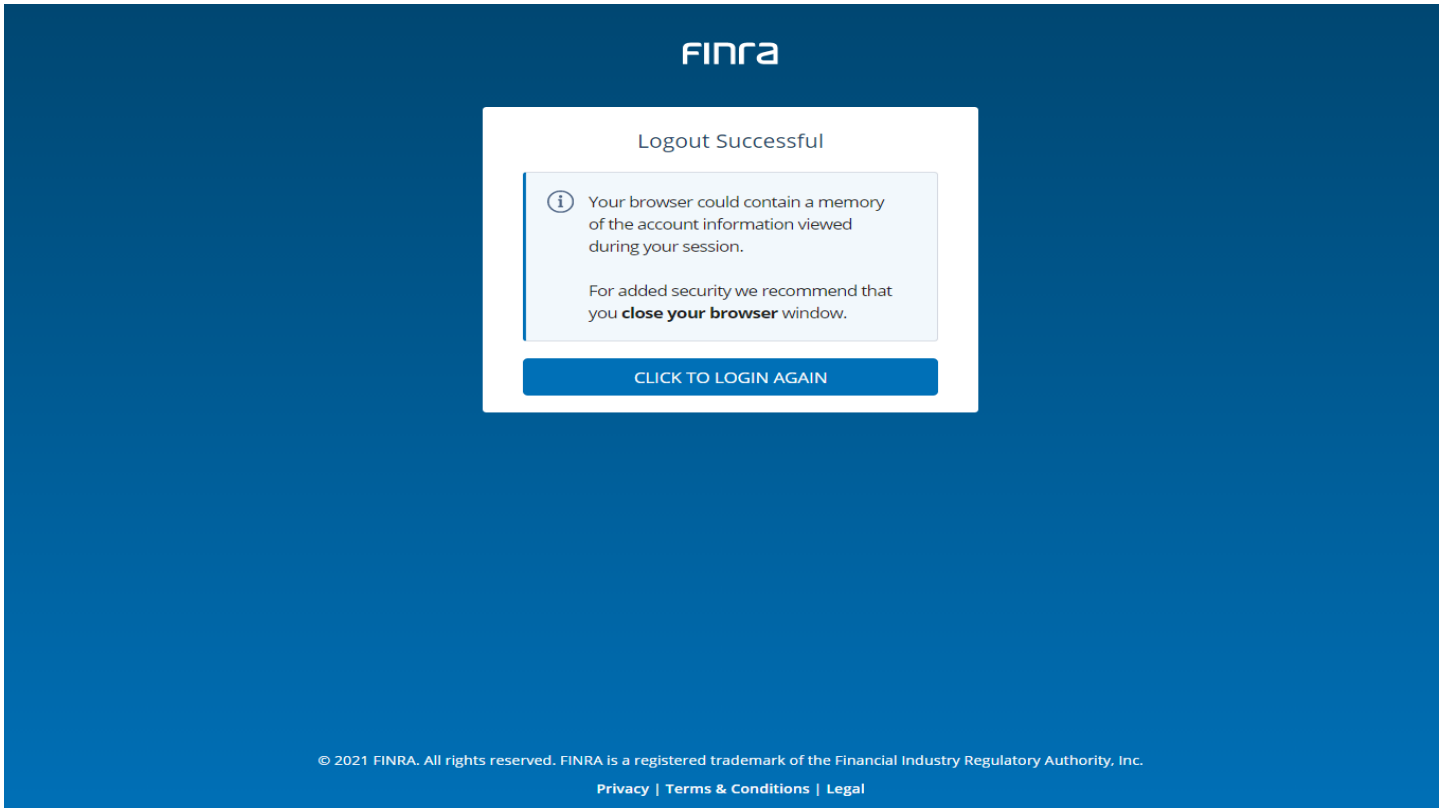
Step 4: Change your **Security Questions and Answers** as desired and click **Save**.

How to Log Out

Select Log Out from the top right portion of the screen.

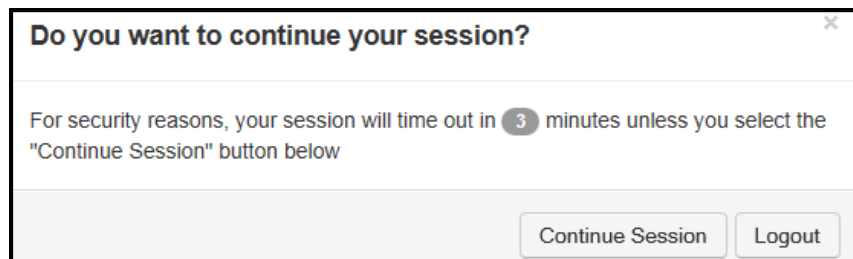


The **Logout Successful** screen will display. To log back in, select the **Click to Login Again** button. Follow the prompts to log back in.



ADDITIONAL NOTES:

- When you log out, your browser could contain a memory of the account information viewed during your session. For added security we recommend that you close your browser window.
- If you are inactive for 27 minutes you will get several prompts to **Continue Session**. If you don't select **Continue Session**, at the end of 30 minutes, you will be logged off. If you select **Continue Session**, the clock will be reset for another 30 minute session.



Example of the 27 minute timeout prompt.

- This job aid covers information specific to SAAs. Go to the **FINRA Entitlement Program: Entitlement Reference Guide** to see steps for functions that are available to SAAs and AAs.