



About User Accounts Certification Process for Organizations with Certification Representatives (CRep)

The FINRA Entitlement Program on-line user accounts certification process requires your organization to review and certify all user accounts with access to applications on the FINRA Entitlement Platform.

During the Certification Period, a Certification Representative (CRep) for each organization must certify that authorized users are only entitled to those privileges necessary to perform their job responsibilities on the FINRA Entitlement Platform.

Organizations with CReps are those organizations that do not have a Super Account Administrator (SAA) and are not Broker Dealer, Investment Adviser or Funding Portal Firms.

Organization CReps are required to complete the Annual Entitlement User Accounts Certification Process when directed by FINRA and within the timeframe communicated by FINRA. Consequences for failure to certify will result in disablement of all accounts associated with the organization. The CRep will be required to work with the FINRA Entitlement Team to have account re-enabled to complete the certification process, which will then enable all other accounts at the organization.

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- Review Information (pg. 4)
- Download Report (pg.5)
- Final Certification (pg. 6)

Questions:

Contact the Gateway Call Center at 301-590-6500.
For CAT Reporting Agents, contact the FINRA CAT Helpdesk at 888-696-3348.

Access Certification Process via Account Management System

1. Begin the certification process by accessing the Account Management System Information at <https://accountmgmt.finra.org/ewsadmin2/>

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.

FINRA

Log In Single Sign-On (SSO)

Welcome to Web CRD ®

User ID

Enter User ID here (ex.:jdoe12)

Password

Enter password here

[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](#).

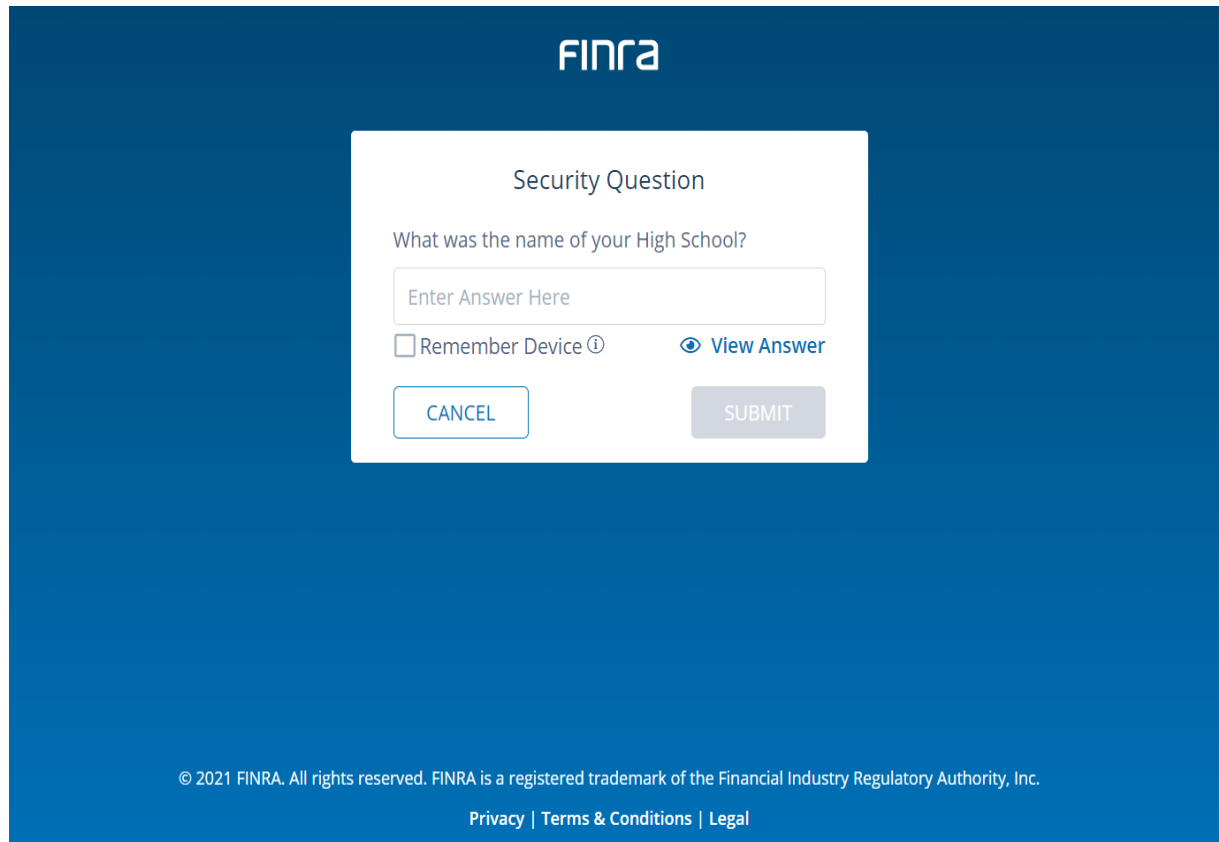
ACCEPT AND CONTINUE

[Forgot User ID or Password?](#)

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2. Answer **Security Question** and click **Submit**.

A screenshot of a FINRA security question dialog box. The dialog is white with a blue border and is centered on a dark blue background. At the top, the FINRA logo is displayed. Below it, the title "Security Question" is centered. The question "What was the name of your High School?" is followed by a text input field containing 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 dialog, there are two buttons: "CANCEL" and "SUBMIT". At the bottom of the dark blue background, there is a copyright notice and links for "Privacy", "Terms & Conditions", and "Legal".

FINRA

Security Question

What was the name of your High School?

Enter Answer Here

☐ Remember Device ⓘ [View Answer](#) ⓘ

CANCEL SUBMIT

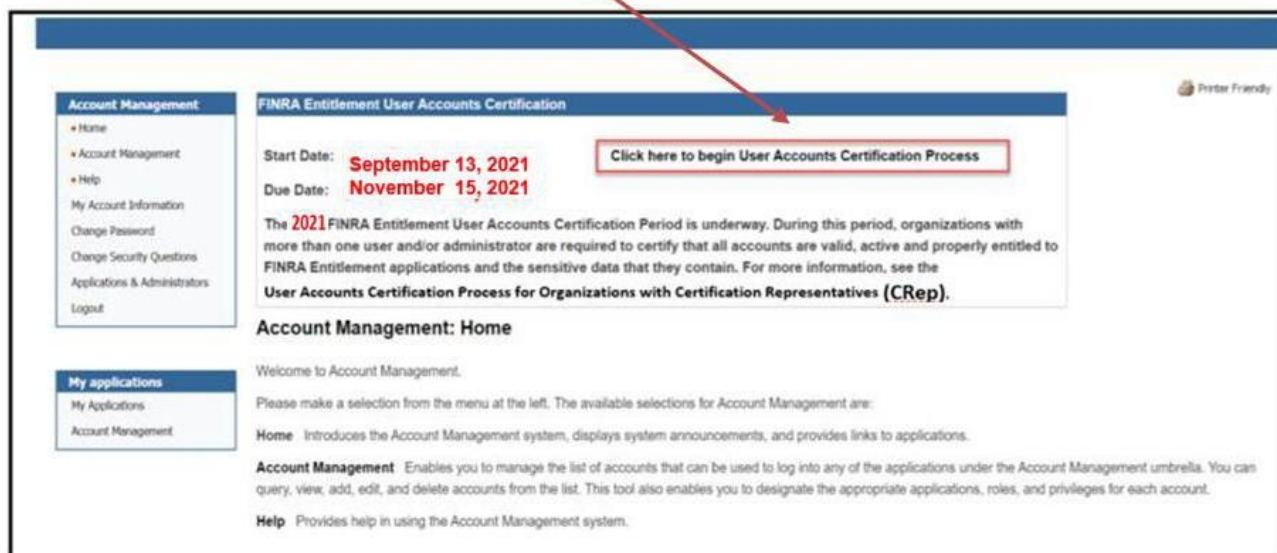
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[Privacy](#) | [Terms & Conditions](#) | [Legal](#)

Note:

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

Result: FINRA Entitlement User Certification screen opens.

3. Click '**Click here to begin User Accounts Certification Process**'.



Review Information

4. Review user account information that is listed in the **Account Management: Search Results**.

Click 'Return to Search Results' to return to the listing of accounts.

Note: You will need to review your organization's user accounts to determine that:

- each user has a continuing need to access FINRA application(s) on the organization's behalf.
- each user is entitled only to the applications and privileges needed to perform current job responsibilities; and
- only users who require access to sensitive data (e.g., Social Security, Criminal History Record Information) are entitled to access this type of data.

Account Management

- Home
- User Accounts Certification
 - Create New Account
 - Start New Search
- Help
- My Account
- Change Password
- Applications & Administrators
- Logout

My applications

- My Applications
- Account Management
- CRD

FINRA Entitlement User Accounts Certification

Please review all user accounts to determine that:

- user accounts are "Active" - remove any account that no longer requires access;
- users continue to require the application privileges they have been assigned to perform current job responsibilities - remove and/or add privileges as needed to match job functions; and
- only those users who require access to sensitive data (e.g., Criminal History Record Information(CHRI), social security or tax identification numbers, dates of birth) are given access to this type of data - remove access that is no longer required to perform current job responsibilities.

For convenience, you can download your user account information into a report to send to other individuals within your organization to confirm individual's entitlement, including access to applications, privileges and sensitive data. It is recommended that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have been updated since the download was requested.

After you have reviewed the accuracy of your organization's user accounts, click the *Continue* button at the bottom of the screen to continue the certification process.

Printer Friendly

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	Phone	MFA Enabled	Last Logon	SAA	Account Status	Applications Administered
User1	Doe	Jane		doej@org.org	240-777-7777	No	2020.07.31 20:49 EDT	No	Active	<ul style="list-style-type: none">CRD

Download Report

You can download your user account information into a report to send to other individuals within your organization to confirm individual's appropriate entitlement, including access to applications, privileges, and sensitive data.

5. Click Download Results

Account Management

- Home
- User Accounts Certification
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My applications

- My Applications
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User ID	Last Name	First Name	Middle Name	Email	Phone	MFA Enabled	Last Logon	SAA	Account Status	Applications Administered
User1	Doe	Jane		doe@org.org	240-777-7777	No	2020.07.31 20:49 EDT	No	Active	• CRD

6. Determine the criteria for your Download Report and click Download.

Account Management: Download Search Results

To download the accounts from your last search:

- Check the fields you wish to download from each account.
- Click "Download" to initiate the download.

- ☒ User ID
- ☐ Prefix
- ☐ First Name
- ☐ Middle Name
- ☐ Last Name
- ☐ Suffix
- ☐ Title
- ☐ Primary Email
- ☐ Secondary Email
- ☐ Primary Phone
- ☐ Secondary Phone
- ☐ FAX
- ☐ Account Status
- ☐ Account Created On
- ☐ Account Created By
- ☐ Department
- ☐ TRACE MPIDs
- ☐ Equity MPIDs
- ☐ MSRB Numbers
- ☐ OSO
- ☐ Individual CRD Number
- ☐ Legacy User ID
- ☐ OATS Legacy User ID (PD)
- ☐ OATS Legacy User ID (CT)
- ☐ OATS Flag
- ☐ SAA
- ☒ Permissions

Download **Cancel**

Note: User ID and Permissions are default settings and will be provided in your Download Report. You may want to include other criteria such as first, middle and last name to facilitate your review. FINRA recommends that email be selected as an option, as email addresses may change.

7. Manipulate and disperse the data as needed.

User ID															
User ID	First Name	Last Name	Primary Email	Account Status	Account C	Account C	Department	TRACE	MP	Equity	MPMSRB	Nur	OATS	Legs	OATS Flag
user1	admin	user	adminuser	ACTIVE	2011.09.26	FINRA			123	898	131		No	User	User

Note: FINRA recommends that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have changed since the download was requested.

Final Certification

Once the user information is verified, if needed, log back into Account Management and click User Accounts Certification.

8. Click the FINRA Entitlement User Account Certification checkbox that is located at the bottom of the screen.

FINRA Entitlement User Accounts Certification

☐ I have reviewed and validated the account information for the users in my organization for this certification period.

Continue

Note: The Continue button will be enabled when the checkbox is selected.

9. Click **Continue**.

FINRA Entitlement User Accounts Certification

☒ I have reviewed and validated the account information for the users in my organization for this certification period.

Continue

Result: FINRA Entitlement User Accounts Certification screen opens

10. Read the **Terms and Conditions** and click **Agree**.

Note: Selecting **Do Not Agree** will not permit you to complete the certification process but will cancel you out to complete the certification another time.

FINRA Entitlement User Accounts Certification

I am the Certification Representative of my Organization and have the authority to act on behalf of the Organization to certify accounts for users and, if applicable, administrators.

I understand that my Organization is responsible for confirming that authorized users and, if applicable, administrators are entitled only to those privileges necessary to perform their job responsibilities. My Organization assumes full responsibility for actions conducted through all accounts assigned to my Organization. I agree that my use of the FINRA Entitlement Program as the Certification Representative and as an entitled user is subject to the FINRA Entitlement Program Terms of Use.

On behalf of my Organization, I certify that all accounts for users and, if applicable, administrators are authorized to access information based on the privileges granted through the FINRA Entitlement Program.

Agree

Do Not Agree

11. The system will display a **Successfully Completed** message and you will receive a confirmation

The screenshot shows a web interface with a left sidebar and a main content area. The sidebar has two sections: 'Account Management' with links for Home, Account Management, Help, My Account Information, Change Password, Change Security Questions, Applications & Administrators, and Logout; and 'My applications' with links for My Applications and Account Management. The main content area features a blue header for 'FINRA Entitlement User Accounts Certification'. Below the header, a message states: 'Thank you. Your organization has successfully completed the 2021 FINRA Entitlement User Accounts Certification Process.' This is followed by a paragraph: 'FINRA strongly encourages administrators to continue to review accounts on an ongoing basis throughout the year to ensure that a.) accounts remain valid, and b.) individuals have only the access necessary to perform current job functions.' Below this is a section titled 'Account Management: Home' with a welcome message and a list of available selections: Home, Account Management, and Help, each with a brief description of its function. A 'Printer Friendly' icon is located in the top right corner.

Account Management

- Home
- Account Management
- Help
- My Account Information
- Change Password
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My applications

- My Applications
- Account Management

FINRA Entitlement User Accounts Certification

Thank you. Your organization has successfully completed the **2021** FINRA Entitlement User Accounts Certification Process.

FINRA strongly encourages administrators to continue to review accounts on an ongoing basis throughout the year to ensure that a.) accounts remain valid, and b.) individuals have only the access necessary to perform current job functions.

Account Management: Home

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.

Printer Friendly

Note:

Additional entitlement information can be found on the [FINRA Entitlement Program](#) page and in the [User Accounts Certification Process for Organizations with Certification Representatives \(CRep\)](#) page.

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