FINRA Account Management System

The new FINRA Account Management System offers enhanced functionality, performance improvements and a state-of-the-art user experience. Administrators use this system to manage access to FINRA Applications. Effective August 1, 2021, firms will have the ability to access the new FINRA Account Management System through the FINRA Gateway portal. The new system offers:

1. Advanced Search capabilities (Users can apply multiple filters to achieve specific search results)
2. Quick actions
3. Inline editing (editing attributes while on the page)
4. Organization of information into distinct sections
5. Enhanced entitlements navigation and descriptions

Walk Me tutorials for users

This Guide covers information specific to the new FINRA Account Management System. Go to the FINRA Entitlement Program > Entitlement Help & Training > FINRA Entitlement Reference Guide for general help for Super Account Administrators (SAAs) and Account Administrators (AAs).

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Section 1: How to Access the Admin Menu

When you successfully login and land on the FINRA Gateway Dashboard screen, click on the Admin icon on the left-hand side navigation menu.

This will allow you to access the Admin landing page. The admin landing page provides an entitlement-based access to the functions you need to perform on behalf of your firm. Some examples of the available functionality are:

- Firm Settings
- Account management
  - Search Accounts
  - Create Accounts
Section 2: How to Create a New Account

You can create a new account by

1. Selecting the Create Accounts function on the Admin landing page

Or
1. Selecting Search Accounts on the Admin landing page, searching if the account exist and then selecting **Create New Account** icon on the right-hand corner of the page.
2. A new screen will open and display the **Create Account** template. Complete the Create Account section by entering the required information like name, email address & phone number. The other attributes related to the account owner are optional.

3. Next, create/generate a new **User ID** for the account in the User Credentials section.

4. When the User ID is created/generated, the **Create Account** button will be activated. When
the Administrator clicks on the Create Account button, the account will be created.
5. The account owner will receive 2 emails from the FINRA Entitlements mailbox. The emails will comprise of the account owners User ID and a password activation link. The Password activation link expires with 60 minutes. If the password activation link expires, the admin can reset the password for the account and new link will be emailed to the account owner.
6. The Administrator can then modify/edit the account to update User Information and/or add entitlements to the account.
7. To add entitlements to the newly created account, the Administrator will select the ‘Entitlement and Access Management’ tab at the top of the screen. See Section 3: Activity 4 for more information on assigning/unassigning entitlements.
Section 3: How to Search for an Account?

- On the Admin landing page, select Search accounts. The Search Accounts page will open and default to displaying all the active accounts in your firm. The SAA can filter the list to include deleted accounts or exclude active accounts, by updating the checkboxes in the Status section.

Activity 1: Use the Search Box to Find an Account

- Type in the FINRA User ID, name, or email address of the account owner. If you need an exact match, enter the input value in quotes for (e.g.: “john smith”)
Activity 2: Identify deleted accounts

Select the Deleted Status filter for a list of deleted accounts. A trash can displays next to each deleted account.

Note: Filters are dynamic and will show up only when applicable. 
To remove all Filters, click on Clear Filters at the bottom of the left-hand menu.
Activity 3: Filter Accounts by Org Class

SAAs have the ability to filter accounts by Org Class (e.g., FTP) by selecting the specific Org Class Filter.

Note: The option to see deleted accounts in a firm is only available to the SAA of the firm.
Activity 4: Identify SAA or AA or non-Admin Accounts
Select the User Type of the account you want to see

Note: The SAA/AA will be able to search for only those entitlements to which they are assigned Admin privilege.

Activity 5: Search by Entitlements Assigned to Account
Click ‘+’ Entitlement and search on the Entitlements of the account(s) you want to see.
Activity 6: Identity Machine to Machine (M2M) Accounts

Select Yes in the M2M filter to see accounts that are non-human and are used for machine to machine interaction such as FTP accounts.
Activity 7: Identify Multi Factor Authentication (MFA)
Select MFA Enabled in the Account Access filter to see accounts that have Multi Factor Authentication enabled and/or have CAT Test/Prod access.

Activity 8: Identify Accounts with Identifiers
Select TRACE MPID, EQUITY MPID, MSRB, OSO identifiers to see accounts that have a given identifier assigned to them.

Note: The machine to machine filter appears only to the SAA.
Note: Only those identifiers that are assigned to the SAA/AA will be displayed.
Section 4: How to Edit an Account?

Select the account you would like to View/Edit from the search results by clicking on the User ID hyperlink.

1. **Editing the Individual Information of an Account**
   As a SAA/AA you can update the following information for an account in your organization in the **Summary** section:
   - Name
   - Email Address
   - Phone number
   - Cell Phone
   - Department
   -
2. **Resetting A Password or Security questions for an account**

   As an **SAA/AA**, you can reset the following information for an account in your organization through the **Account Credentials** section

**Activity 1: How to Reset the Password**

1. Select Reset Password in the Account Setting Credentials section.
4. A pop up will open with the option to **create** a password or generate one.
5. **Copy and paste** the password in an email to the account owner.
6. Hit **Change password** and password will be changed.
Activity 2: How to Reset Security Questions
Select Reset Security Questions in the Account Settings Security Questions section.
Note: An SAA/AA cannot reset the password/security questions for their own account. An AA cannot reset the password/security questions another AA’s account.

3. Assigning/Unassigning MPID (TRACE & EQUITY), MSRB & OSO identifiers and the related Entitlements

Activity 3: How to Assign/Unassign Identifiers
As an SAA/AA you can assign/unassign the identifiers that are assigned to your account and the related entitlements, through the Org Identifiers and Related Entitlements section in the Entitlement and Access Management tab.
1. Select edit to assign/unassign MPIDS, MSRB, OSO to an account

2. The screen opens displaying the identifiers assigned to the accounts. You can check the boxes to add new identifiers and their related entitlements or uncheck to unassign the existing identifiers.
1. if you are **adding** an identifier for the first time to the account, you need to select the **related entitlements** that appear below in the screen
2. if you are **removing** the identifiers **related** to an entitlement, you need to **unselect** the entitlements before hitting save
3. When you select save you are **assigning/unassigning** the identifiers and the **related entitlements**

**Note:**
An AA can assign/unassign only those identifiers and related entitlements that they have administrative capabilities for. In some instances, the AA’s may not be able to see all the identifiers & related entitlements because the SAA has not assigned those to the AA.
4. **Assigning/Unassigning Entitlements**

**Activity 4: How to Assign/Unassign Entitlements**

As a SAA/AA you can assign/unassign the entitlements that are assigned to your account through the Entitlements section in the Entitlement and Access Management tab.

1. The application entitlements displayed in this section are those that are assigned to the account.
2. To see the detailed entitlements that are assigned to an account select **Expand All** on the right-hand corner of the Entitlements section. If you need to see entitlements assigned to an application entitlement select the ‘+’ symbol
1. To **add/remove** entitlements, you need to select **Edit entitlements** which will open a screen and allow you to **update** the entitlements.

2. As you are adding or removing entitlements, the **shopping cart** on the right-hand side of the screen is **updated** to provide an **overview** of the selected entitlements.
3. The **application level** entitlements are referred as the **Parent** entitlements and the entitlements related to the application entitlements are referred as **child/children** entitlements.

4. If you remove all the **child/children** entitlements without **deselecting** the parent entitlement, you will receive a pop up to **confirm** that you are wanting to leave the
5. If you deselect the parent entitlements, the child entitlements will be **automatically** deselected.

6. You no longer have the ability to **select all** entitlements
Section 4: How to Disable/Delete an Account?

Select the account you want to Delete/Disable.

The following actions can be performed by an **SAA/AA** and are listed on the header

- Delete account
- Disable – if account is active, or
- Enable – if account is disabled by an admin

**Note:**
- A SAA/AA cannot delete/disable their own account. An AA cannot delete/disable another AA’s account.
- Accounts Disabled by FINRA Admin cannot be enabled by the SAA/AA of the firm. You are required to call the Gateway Call Center to enable your account.
Section 5: How to Import Entitlements (known as Clone an Account)

**Note:** The Clone functionality has been enhanced and relabeled as import entitlements. The goal of this new feature is to Import entitlements to a newly created account or an account you are editing and want to add additional entitlements. You can import entitlements from multiple accounts as many times as required with this new feature.

1. On the New Account Management landing page, search and select the account you want to import entitlements to. Refer to **Section 2** on how to search an account.
2. Select Import Entitlements on the right-hand corner of the Individual Information page.

![Image of Individual Information page with Import Entitlements option highlighted]
3. A screen will open with the ability to search for an account by name or userid or email to import entitlements from. This account must be existing within the same organization.
4. The entitlements and Identifiers (MPIDs, MSRBs) for the selected account will appear and you can select additional entitlements or deselect the ones that are not required for the account by checking/unchecking the checkboxes.
## Import Entitlements

### Jack Black

**Email:** jblack

**Firm:** (9888000)

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### Select account to import entitlements from

- **Jane M Doe**
  - **Email:** janeadmin9888000, jane.admin@example.com

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### Org Identifiers (2)

- **TRACE MPIDs**
  - **ABC02**

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### Entitlements (30)

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<thead>
<tr>
<th>Search by entitlement name</th>
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**Account Management**

- **User**
  - **Admin**
  - **Privilege Viewer**

**Provides the capability to access the Account Management application. This application is used to view entitlement privileges for users and, if entitled, to create, edit, delete or certify accounts.**

<table>
<thead>
<tr>
<th></th>
<th>User</th>
<th>Admin</th>
<th>Privilege Viewer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Edit Account Data</strong></td>
<td>✔️</td>
<td></td>
<td></td>
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<tr>
<td><strong>Manage Accounts</strong></td>
<td>✔️</td>
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<tr>
<td><strong>Change Password</strong></td>
<td>✔️</td>
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<tr>
<td><strong>Manage access to new Accounts application in FINRA Gateway</strong></td>
<td>✔️</td>
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**Next Gen New Member Application**

**The Next Generation New Member Application Form is a technology enabled, interactive electronic form designed to capture information and documentation based on the business activities proposed by the Applicant.**

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<th></th>
<th>User</th>
<th>Admin</th>
<th>Privilege Viewer</th>
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<tbody>
<tr>
<td><strong>Read</strong></td>
<td>✔️</td>
<td>✔️</td>
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5. Select import entitlements at the bottom of the screen and a pop up appears with the summary of entitlements selected for the account.

6. Select Yes on confirmation pop up and the Entitlements will be added to the account.
Section 5: All Accounts Report

Note: The All Accounts Report is only available to the SAA of a firm.

1. On the New Account Management landing page, select the ‘All Accounts Report’ link on the top right-hand corner of the page
2. A new tab will open with the All Accounts report

![All Accounts Report (317)](image)

3. The report can be customized based on
   a. **Columns**: Select/Deselect the columns you want to view by selecting the ‘Columns’ icon on the upper right-hand side of report. A pop up will open with the list of All Columns/Selected Columns. To deselect a column, uncheck the check box from the Selected Column list.
b. **Filter:** The filter feature allows you to filter the report based on certain data criteria; for example, if you would like to view the SAA account data on the report, you can filter by ‘SAA’ Equals to ‘Y’.
c. **Save Report**

The report will be saved on the My Reports tab on the Report landing page.
d. **Export report**: Select the Export icon on the top right-hand corner. Currently, the report can be downloaded and exported in the CSV format.
When you select ‘Export’ on the pop-up, a message will appear that the file is being prepared for download. Select the View Download link on the message.

You will see the downloaded report on the Reports landing page.
Note: If you have any questions or concerns, please contact the Gateway Call Center at 301-869-6699 for assistance.