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 Create a New Account

1. On the FINRA Account Management System landing page, select Create New Account icon on the right-hand corner of the page
2. A new screen will open and display the **Create Account** template and a section to create/generate user credentials. First complete the Create Account section by entering the name, email address, phone number and other attributes related to the account owner.

![Create Account Template](image)

3. Next, create/generate a new **User ID** and **password** for the account in the User Credentials section.
4. When the account credentials are created/generated, the **Create Account** button will be activated. When the Administrator clicks on the Create Account button, the account will be created. The Administrator can then **modify/edit** the account to update User Information and/or add entitlements to the account.

5. 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 2: How to Search for an Account?

- The Accounts page defaults 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:** Only those identifiers that are assigned to the SAA/AA will be displayed.
## Section 3: 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.

<table>
<thead>
<tr>
<th>Filters</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
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<td>Active (5)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td></td>
<td>Deleted (1)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Org Class</td>
<td>Firm (5)</td>
<td>FTP (1)</td>
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<tr>
<td>User Type</td>
<td>Non-Admin User (3)</td>
<td>AA (2)</td>
<td>SAA (1)</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>Entitlements</td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>M2M</td>
<td>No (5)</td>
<td>Yes (1)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 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

```plaintext
<table>
<thead>
<tr>
<th>Name/ID</th>
<th>Contact Information</th>
<th>Org Info Firm</th>
<th>Entitlements</th>
<th>Identifiers</th>
<th>Last Login</th>
<th>Last Updated</th>
</tr>
</thead>
<tbody>
<tr>
<td>John Smith</td>
<td>24099999999</td>
<td>(9888000)</td>
<td>17</td>
<td>4</td>
<td>07/01/2021 04:33 PM</td>
<td>07/01/2021 04:33 PM</td>
</tr>
<tr>
<td>Jane Doe</td>
<td>18005552258</td>
<td>(9888000)</td>
<td>12</td>
<td>-</td>
<td>Last Login</td>
<td>Last Updated</td>
</tr>
<tr>
<td>John Admin</td>
<td>800 555 2497</td>
<td>(9888000)</td>
<td>7</td>
<td>-</td>
<td>06/29/2021 11:17 AM</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
```
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.

   **Note:**
   - An SAA cannot self-edit their own account (except for the phone numbers, title & dept).
   - An AA cannot edit their own account or another AA’s account. They need to contact the SAA.
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.
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.

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**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.
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
parent entitlement for the account

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.
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 (MPIIDs, 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**

- **User**
- **Firm (9888000)**

### Select account to import entitlements from

- **Jane M Doe**
  - **User**
  - **Firm (9888000)**
  - **janeadmin9888000 | jane.admin@example.com**

### Org Identifiers (2)

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

### Entitlements (30)

**Search by entitlement name**

### 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.**

1. **Edit Account Data**
   - **User**
   - **Admin**
   - **Privilege Viewer**

2. **Manage Accounts**
   - **User**
   - **Admin**
   - **Privilege Viewer**

3. **Change Password**
   - **User**
   - **Admin**
   - **Privilege Viewer**

4. **Manage access to new Accounts application in FINRA Gateway**
   - **User**
   - **Admin**
   - **Privilege Viewer**

### Next Gen New Member Application

**User**

**Admin**

**Privilege Viewer**

**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.**

1. **Read**
   - **User**
   - **Admin**
   - **Privilege Viewer**

[**CANCEL**]  [**IMPORT ENTITLEMENTS**]
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

<table>
<thead>
<tr>
<th>User ID</th>
<th>Last Name</th>
<th>First Name</th>
<th>Phone</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>aajohn9888000</td>
<td>Admin</td>
<td>John</td>
<td>555 2487</td>
<td>FOCUS Application</td>
</tr>
<tr>
<td>aajohn9888000</td>
<td>Admin</td>
<td>John</td>
<td>555 2487</td>
<td>FOCUS Application</td>
</tr>
<tr>
<td>aajohn9888000</td>
<td>Admin</td>
<td>John</td>
<td>555 2487</td>
<td>eport Center &gt; Firm View</td>
</tr>
<tr>
<td>aajohn9888000</td>
<td>Admin</td>
<td>John</td>
<td>555 2487</td>
<td>eport Center</td>
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<td>Admin</td>
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<td>555 2487</td>
<td>ccount Management &gt; ...</td>
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<td>aajohn9888000</td>
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<td>555 2487</td>
<td>ccount Management &gt; E...</td>
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<td>aajohn9888000</td>
<td>Admin</td>
<td>John</td>
<td>555 2487</td>
<td>ccount Management &gt; C...</td>
</tr>
</tbody>
</table>

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 e.g., If you would like to view the SAA account data on the report, you can filter by ‘SAA’ Equals to ‘Y’.

<table>
<thead>
<tr>
<th>All Columns</th>
<th>Selected Columns (26)</th>
</tr>
</thead>
<tbody>
<tr>
<td>✔ Account Created By</td>
<td>✔ Account Created By</td>
</tr>
<tr>
<td>✔ Account Created On</td>
<td>✔ Account Created On</td>
</tr>
<tr>
<td>✔ Account Last Updated By</td>
<td>✔ Account Last Updated By</td>
</tr>
<tr>
<td>✔ Account Last Updated On</td>
<td>✔ Account Last Updated On</td>
</tr>
<tr>
<td>✔ Account Status (Active/Deleted)</td>
<td>✔ Account Status (Active/Deleted)</td>
</tr>
<tr>
<td>✔ CAT Access Production</td>
<td>✔ CAT Access Production</td>
</tr>
<tr>
<td>✔ CAT Access Test</td>
<td>✔ CAT Access Test</td>
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<tr>
<td>✔ Department</td>
<td>✔ Department</td>
</tr>
<tr>
<td>✔ Disabled (Yes/No)</td>
<td>✔ Disabled (Yes/No)</td>
</tr>
<tr>
<td>✔ First Name</td>
<td>✔ First Name</td>
</tr>
</tbody>
</table>
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.