FINRA Account Management System Guide

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 (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
6. In-app tutorials

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).

Table of Contents

Section 1: How to Create a New Account............................................................................................................... 3
Section 2: How to Search for an Account............................................................................................................... 5
Activity 1: Use the Search Box to Find an Account
Activity 2: Use Filters to Narrow Search Results
Activity 3: Filter Accounts by Org Class
Activity 4: Select SAA or AA or non-admin Accounts
Activity 5: Search by Entitlements to Find an Account
Activity 6: Identify Machine to Machine (M2M) Accounts
Activity 7: Identify Accounts with MFA
Activity 8: Identity Accounts with Identifiers

Section 3: How to Edit an Account ....................................................................................................................... 11
Activity 1: How to Reset a Password
Activity 2: How to Reset Security Questions
Activity 3: How to Assign/Unassign Identifiers
Activity 4: How to Assign/Unassign Entitlements

Section 4: How to Disable/Delete an Account...................................................................................................... 23
Section 1: How to Create a New Account

On the FINRA Account Management System landing page, select Create New Account icon on the upper right-hand corner of the page.

1. 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.
2. Next, create/generate a new User ID and password for the account in the User Credentials section.
3. 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.

4. To add entitlement 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 (eg: “john smith”).
Activity 2: Use Filters to Narrow Search Results
- 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

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

Note: The option to see deleted accounts in a firm is only available to the SAA of the firm.

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.
Activity 4: Identify SAA or AA or non-Admin Accounts
Select the User Type of the account you want to see.

**Note:** The option to see FTP accounts is only available to the SAA.
Activity 5: Search by Entitlements assigned to Accounts
Click +Entitlements and search on the Entitlements of the account(s) 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 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.

Note: The machine to machine filter appears only to the SAA.
**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.

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**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
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

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.
1. A pop up will open with the option to create a password or generate one.
2. Copy and paste the password in an email to the account owner.
3. 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.
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.

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.

- 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.
- If you are removing the identifiers related to an entitlement, you need to unselect the entitlements before hitting save.
- 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.
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.
3. To add/remove entitlements, you need to select **Edit Entitlements** which will open a screen and allow you to **update** the **entitlements**.

4. 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.
a. The **application level** entitlements are referred as the **Parent** entitlements and the entitlements related to the application entitlements are referred as **child/children** entitlements.

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


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

Select the account you would like 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: If you have any questions or concerns, please contact the Gateway Call Center at 301-869-6699 for assistance.