

## 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

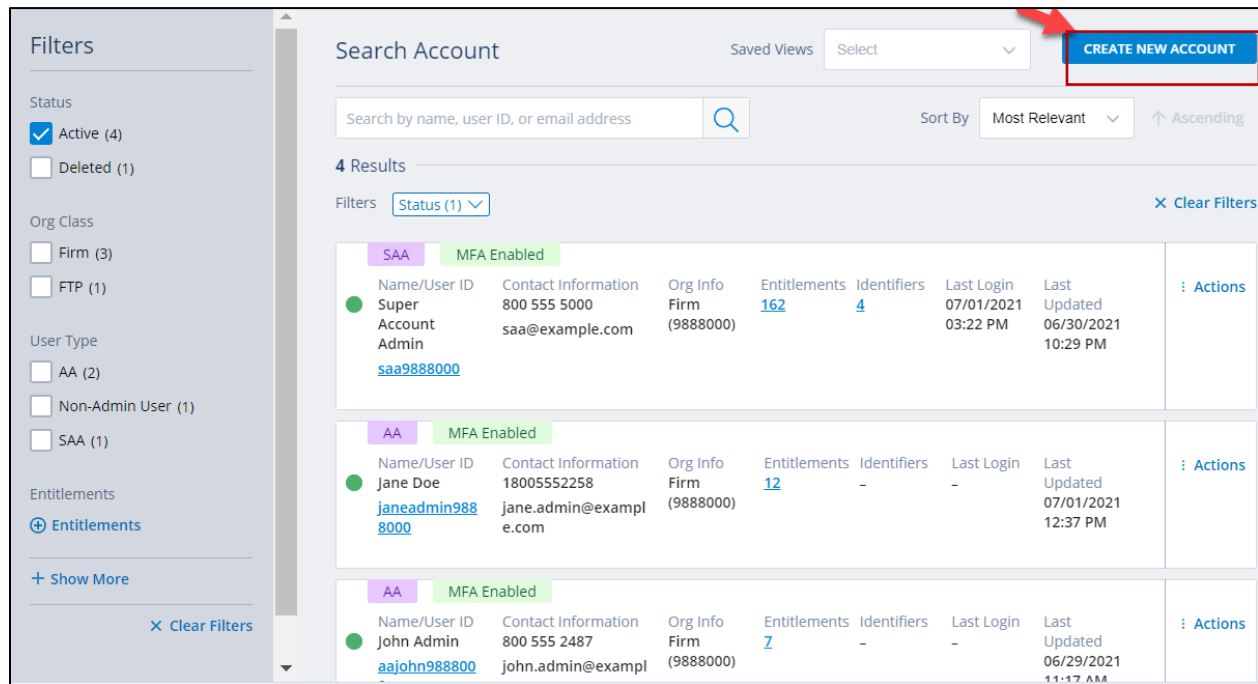
This Guide covers information specific to the new FINRA Account Management System. Go to the [FINRA Entitlement Program > Entitlement Help & Training > FINRA Entitlement Reference Guide](#) for general help for Super Account Administrators (SAAs) and Account Administrators (AAs).

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## 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.



The screenshot displays the FINRA Account Management System interface. On the left, there is a 'Filters' sidebar with options for Status (Active, Deleted), Org Class (Firm, FTP), User Type (AA, Non-Admin User, SAA), and Entitlements. The main area features a 'Search Account' section with a search bar and a 'Saved Views' dropdown. A red arrow points to the 'CREATE NEW ACCOUNT' button in the top right corner. Below the search bar, there are 4 results displayed in a table format. Each result includes a status icon (green dot), a name/user ID, contact information, org info, entitlements, identifiers, last login, last updated, and an actions link.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
Super Account Admin <a href="#">saa9888000</a>	800 555 5000 saa@example.com	Firm (9888000)	162	4	07/01/2021 03:22 PM	06/30/2021 10:29 PM	: Actions
Jane Doe <a href="#">janeadmin9888000</a>	18005552258 jane.admin@example.com	Firm (9888000)	12	-	-	07/01/2021 12:37 PM	: Actions
John Admin <a href="#">aaajohn988800</a>	800 555 2487 john.admin@example.com	Firm (9888000)	7	-	-	06/29/2021 11:17 AM	: Actions

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.

## Create Account

### User Information

First Name \*

Middle Name

Last Name \*

Suffix

Not Selected ▼

Email \*

Verify Email \*

Phone Number \*

× Cancel
CREATE ACCOUNT

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

### User Credentials

User ID \*

User Id

Generate User ID

Password \*

Password

Show

Generate Password

#### ID verification

☐ User ID is available
☐ Lowercase characters (a-z) and/or Numeric characters
☐ Does not exceed 20 characters

#### Your password must:

☐ 12-32 characters in length
☐ Password should not start and/or end with a space
☐ Include characters from at least 3 of these categories:

- Uppercase characters (A-Z)
- Lowercase characters (a-z)
- Numeric characters
- Special characters

[Additional password information](#)

Cancel

CREATE ACCOUNT

- 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.
- 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.

Go to search
CREATE NEW ACCOUNT

John Smith
jsmith50
Firm (9888000)

Individual Information
Entitlement and Access Management

## 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.

The screenshot shows the FINRA Accounts page. On the left, the 'Filters' sidebar is visible. The 'Status' section has two checkboxes: 'Active (4)' (checked) and 'Deleted (1)' (unchecked). A red arrow points to the 'Active (4)' checkbox. Below 'Status', there are sections for 'Org Class' (Firm (3), FTP (1)) and 'User Type' (AA (2), Non-Admin User (1), SAA (1)). The 'Entitlements' section has a link for 'Entitlements' and a '+ Show More' button. The main area is titled 'Search Account' and has a search bar with the placeholder 'Search by name, user ID, or email address'. Below the search bar, it says '4 Results'. The results are displayed in a table with columns: Name/User ID, Contact Information, Org Info, Entitlements, Identifiers, Last Login, Last Updated, and Actions. The first result is for 'Super Account Admin' with user ID 'saa9888000'. The second result is for 'Jane Doe' with user ID 'janeadmin9888000'. The third result is for 'John Admin' with user ID 'aajohn9888000'.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
Super Account Admin <a href="#">saa9888000</a>	800 555 5000 saa@example.com	Firm (9888000)	162	4	07/01/2021 03:22 PM	06/30/2021 10:29 PM	Actions
Jane Doe <a href="#">janeadmin9888000</a>	18005552258 jane.admin@example.com	Firm (9888000)	12	-	-	07/01/2021 12:37 PM	Actions
John Admin <a href="#">aajohn9888000</a>	800 555 2487 john.admin@example.com	Firm (9888000)	7	-	-	06/29/2021 11:47 AM	Actions

### 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").

The screenshot shows the FINRA Accounts page with the search bar containing the text '"john smith"'. A red arrow points to the search bar. Below the search bar, it says '1 Results for ""john smith""'. The results are displayed in a table with columns: Name/User ID, Contact Information, Org Info, Entitlements, Identifiers, Last Login, Last Updated, and Actions. The first result is for 'John Smith' with user ID 'jsmith50'.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
John Smith <a href="#">jsmith50</a>	2409999999 john.smith@admin.com	Firm (9888000)	15	1	-	07/01/2021 03:55 PM	Actions

At the bottom of the page, there is a legend for account status: Active (green dot), Disabled By Admin (red circle with slash), Disabled By FINRA (red circle with slash), Password Lockout (lock icon), Security Question Lockout (question mark icon), and Deleted (trash icon).

## 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.

The screenshot shows the 'Search Account' interface. On the left, the 'Filters' panel has 'Status' expanded, with 'Deleted (1)' selected (indicated by a red box and arrow). The main panel shows '1 Results' for the 'Deleted' filter. A table lists the account details for Jane Smith Jr., with a trash can icon next to her name. A tooltip 'Account Deleted' appears over the trash can icon. The table columns are: Name/User ID, Contact Information, Org Info, Entitlements, Identifiers, Last Login, Last Updated, and Actions.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
Jane Smith Jr. <a href="#">jsmith49</a>	2403867777 jane.smith@finra.org	Firm (9888000)	-	-	-	07/01/2021 12:11 PM	[Trash Icon]

Legend: Active (green dot), Disabled By Admin (red circle), Disabled By FINRA (red circle with slash), Password Lockout (lock icon), Security Question Lockout (question mark icon), Deleted (trash icon).

**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.

### Filters

Status

☐ Active (1)

Org Class

☐ Firm (5)

☒ FTP (1)

User Type

☐ Non-Admin User (1)

Entitlements

[Entitlements](#)

[+ Show More](#)

[X Clear Filters](#)

### Search Account

Saved Views [Select](#) [Save View](#) [CREATE NEW ACCOUNT](#)

Search by name, user ID, or email address

Sort By [Most Relevant](#) [Descending](#)

1 Results

Filters [Org Class \(1\)](#) [X Clear Filters](#)

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
FTP Account <a href="#">ftp9888000</a>	800 555 2558 ftp.owner@example.com	FTP (9888000)	2	-	-	06/29/2021 10:47 AM	

< 1 >

☒ Active
 ☐ Disabled By Admin
 ☐ Disabled By FINRA
 ☐ Password Lockout
 ☐ Security Question Lockout
 ☐ Deleted

**Note:** The option to see FTP accounts is only available to the SAA.

#### Activity 4: Identify SAA or AA or non-Admin Accounts

Select the User Type of the account you want to see.

### Filters

Status

☐ Active (3)

Org Class

☐ Firm (3)

User Type

☐ Non-Admin User (3)

☒ AA (2)

☒ SAA (1)

Entitlements

[Entitlements](#)

[+ Show More](#)

[X Clear Filters](#)

### Search Account

Saved Views [Select](#) [Save View](#) [CREATE NEW ACCOUNT](#)

Search by name, user ID, or email address

Sort By [Most Relevant](#) [Descending](#)

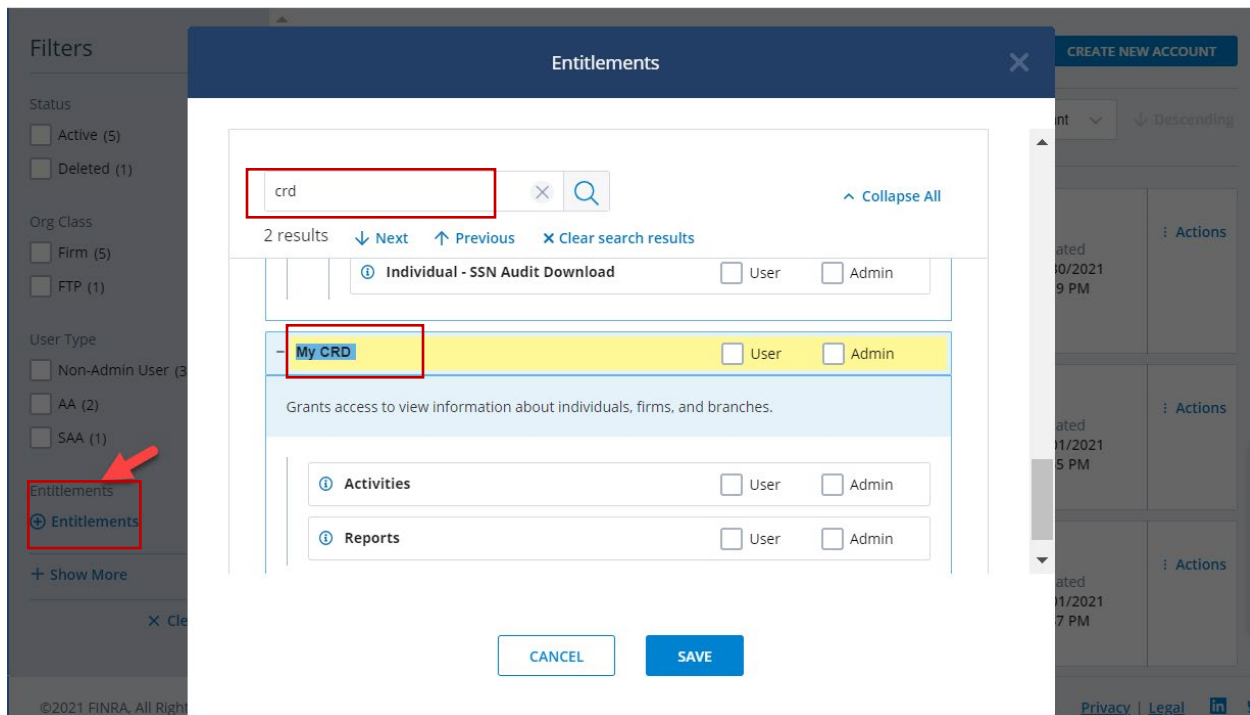
3 Results

Filters [User Type \(2\)](#) [X Clear Filters](#)

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
SAA MFA Enabled Super Account Admin <a href="#">saa9888000</a>	800 555 5000 saa@example.com	Firm (9888000)	162	4	07/01/2021 03:22 PM	06/30/2021 10:29 PM	
AA MFA Enabled Jane Doe <a href="#">janeadmin9888000</a>	18005552258 jane.admin@example.com	Firm (9888000)	12	-	-	07/01/2021 12:37 PM	
AA MFA Enabled John Admin <a href="#">aajohn9888000</a>	800 555 2487 john.admin@example.com	Firm (9888000)	7	-	-	06/29/2021 11:17 AM	

### 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.

The screenshot shows the 'Search Account' interface. In the left sidebar, under 'Entitlements', the 'M2M' filter is expanded, and the 'Yes (1)' option is selected with a red checkmark. The main results area shows 1 result for the filter 'M2M (1)'. The result is for a user named 'FTP Account' with contact information '800 555 2558' and email 'ftp.owner@example.com'. The user is active and has 2 entitlements.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
FTP Account <a href="#">ftp9888000</a>	800 555 2558 ftp.owner@example.com	FTP (9888000)	2	-	-	06/29/2021 10:47 AM	

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

### 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.

The screenshot shows the 'Search Account' interface. In the left sidebar, under 'Account Access', the 'MFA Enabled (3)' option is selected with a red checkmark. The main results area shows 3 results for the filter 'Account Access (1)'. The results are for users 'Super Account Admin', 'Jane Doe', and 'John Admin', all of whom have MFA Enabled.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
Super Account Admin <a href="#">saa9888000</a>	800 555 5000 saa@example.com	Firm (9888000)	162	4	07/01/2021 03:22 PM	06/30/2021 10:29 PM	
Jane Doe <a href="#">janeadmin9888000</a>	18005552258 jane.admin@example.com	Firm (9888000)	12	-	-	07/01/2021 12:37 PM	
John Admin <a href="#">aajohn9888000</a>	800 555 2487 john.admin@example.com	Firm (9888000)	7	-	-	06/29/2021 11:47 AM	

## 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.

The screenshot shows the 'Search Account' interface. On the left, under 'Entitlements', there are filter sections for MSRB, TRACE MPID, EQUITY MPID, and OSO. A red box highlights these sections, and a red arrow points to the MSRB dropdown menu. The main area shows search results for 'Super Admin' with a red box around the 'Identifiers' column, which displays the value 'Z'.

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
Super Admin	800 555 5000 saa@example.com	Firm (9888000)	166	Z	07/01/2021 03:22 PM	07/01/2021 04:32 PM	

The screenshot shows the 'Search Account' interface with an 'Identifiers' modal open. The modal displays the user 'Super Admin' and lists assigned identifiers for TRACE MPIDs, EQUITY MPIDs, MSRB MPIDs, and OSO. A red box highlights the filter sections on the left, and a red arrow points to the 'Super Admin' header in the modal.

TRACE MPIDs	EQUITY MPIDs	MSRB MPIDs	OSO
ABC01, ABC02, ABC03	ABC99, XYZ99	LMN99	123

**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.

Filters

Status

Active (5)

Deleted (1)

Org Class

Firm (5)

FTP (1)

User Type

Non-Admin User (3)

AA (2)

SAA (1)

Entitlements

Entitlements

M2M

No (5)

Yes (1)

6 Results

SAA

MFA Enabled

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
<div><div></div>Super Account Admin</div> <div><a href="#">saa9888000</a></div>	800 555 5000 saa@example.com	Firm (9888000)	<a href="#">166</a>	<a href="#">7</a>	07/01/2021 03:22 PM	07/01/2021 04:32 PM	

John Smith

[jsmith50](#)

 2409999999 john.smith@admin.com | Firm (9888000) | [17](#) | [4](#) | - | 07/01/2021 04:33 PM |  |

AA

MFA Enabled

Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
<div><div></div>Jane Doe</div> <div><a href="#">janeadmin9888000</a></div>	18005552258 jane.admin@example.com	Firm (9888000)	<a href="#">12</a>	-	-	07/01/2021 12:37 PM	

AA

MFA Enabled


Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated	Actions
<div><div></div>John Admin</div> <div><a href="#">aaajohn9888000</a></div>	800 555 2487 john.admin@example.com	Firm (9888000)	<a href="#">7</a>	-	-	06/29/2021 11:17 AM	

### 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

[Go to search](#)
[CREATE NEW ACCOUNT](#)

**John Smith**

jsmith50 | Firm (9888000)
Disable Delete

Name	John Smith	Email	john.smith@admin.com
Phone Number	2409999999	Cell Phone	
Department			

Last Updated 07/01/2021 04:33 PM by saa9888000
Account Creation 07/01/2021 03:54 PM by saa9888000

### Account Settings

#### Credentials

User ID jsmith50
Failed Password Attempts since last successful attempt 0

Last Password Reset 07/01/2021 03:54 PM
Password Expires On 07/01/2021 03:49 PM

#### Security Questions

[Reset Password](#)
[Reset Security Questions](#)

How can we help?

### 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.



## 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.

< Go to search CREATE NEW ACCOUNT






**John Smith**  ⏻ Disable  Delete

jsmith50 | Firm (9888000)

**Individual Information** Entitlement and Access Management

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**Summary**

Name	John Smith 	Email	john.smith@admin.com 
Phone Number	2409999999 	Cell Phone	
Department			
Last Updated 07/01/2021 04:33 PM by saa9888000		Account Creation 07/01/2021 03:54 PM by saa9888000	

---

**Account Settings**


**Credentials**

User ID	jsmith50	Failed Password Attempts since last successful attempt	0
Last Password Reset 07/01/2021 03:54 PM		Password Expires On 07/01/2021 03:49 PM	

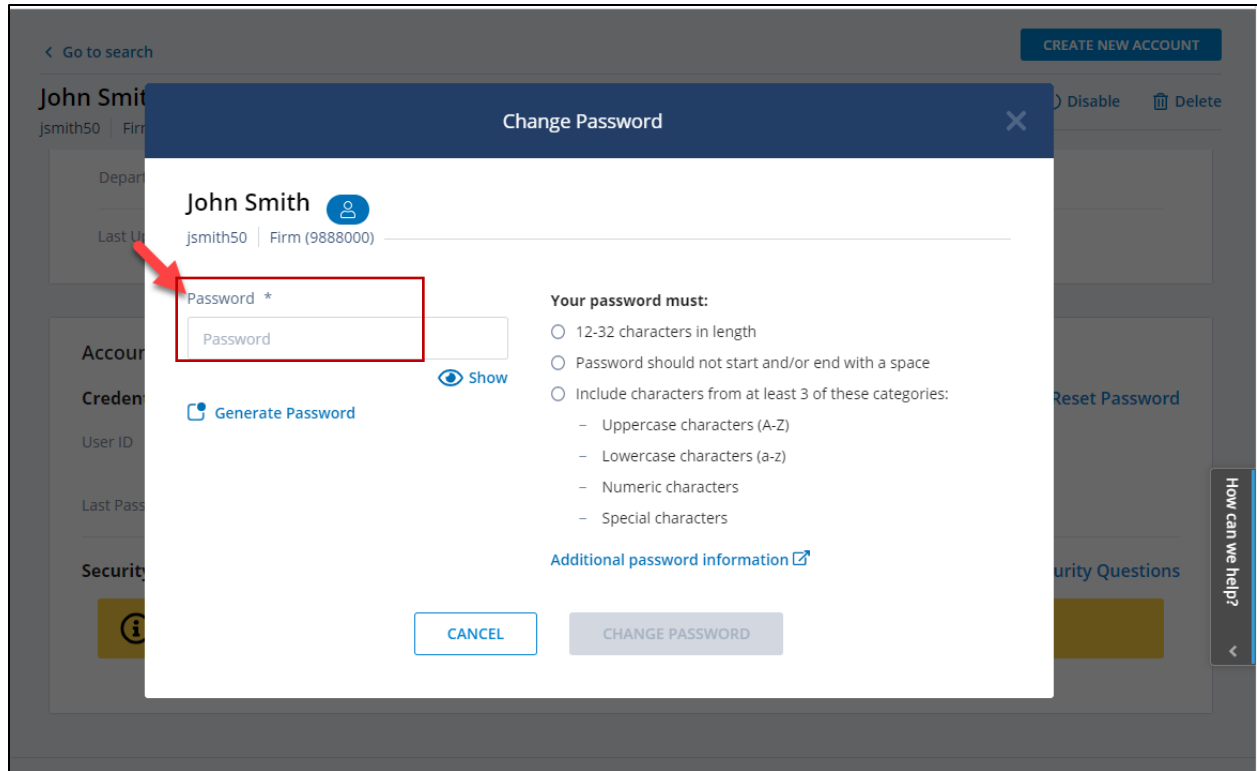
[Reset Password](#)

---

**Security Questions** [Reset Security Questions](#)

 You are not allowed to view security questions.

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.

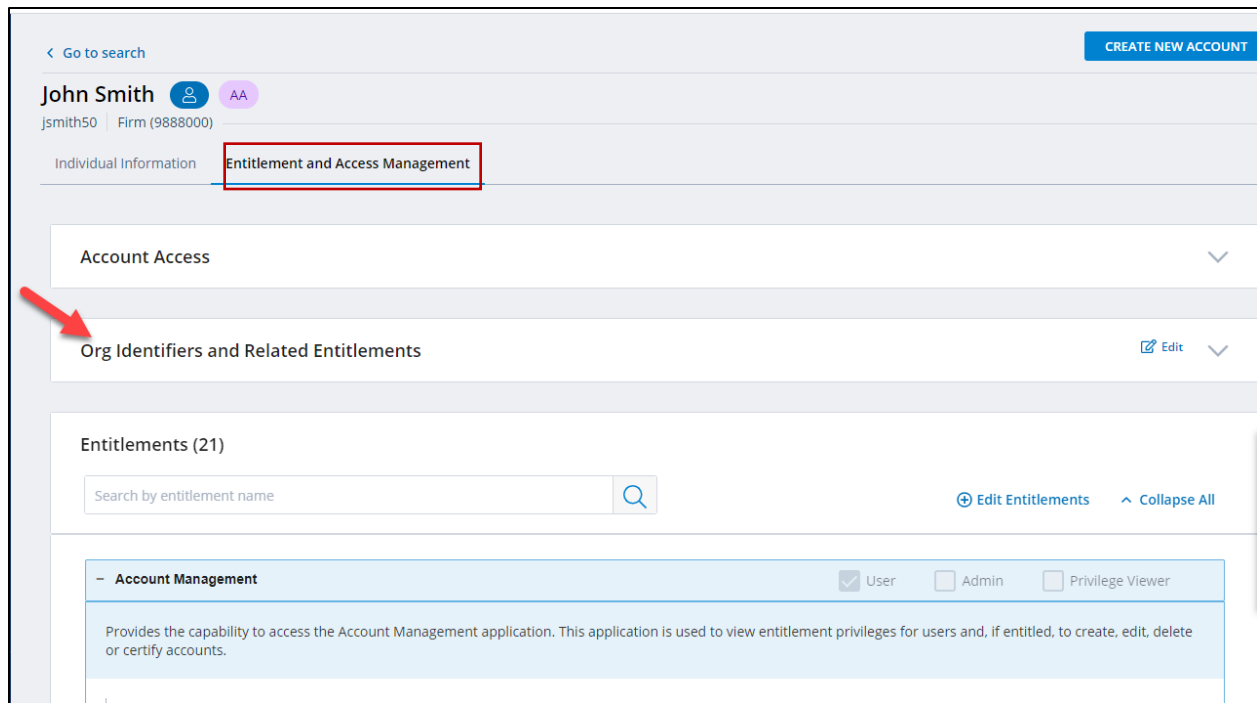
The screenshot displays the user profile for John Smith (jsmith50). The page is divided into two main tabs: 'Individual Information' and 'Entitlement and Access Management'. The 'Individual Information' tab is active, showing a 'Summary' section with fields for Name, Email, Phone Number, Cell Phone, and Department. Below this is the 'Account Settings' section, which includes 'Credentials' and 'Security Questions'. In the 'Credentials' section, there are links for 'Reset Password' and 'Reset Security Questions'. A red arrow points to the 'Reset Security Questions' link. A yellow message box at the bottom of the 'Security Questions' section states: 'You are not allowed to view security questions.'

**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.

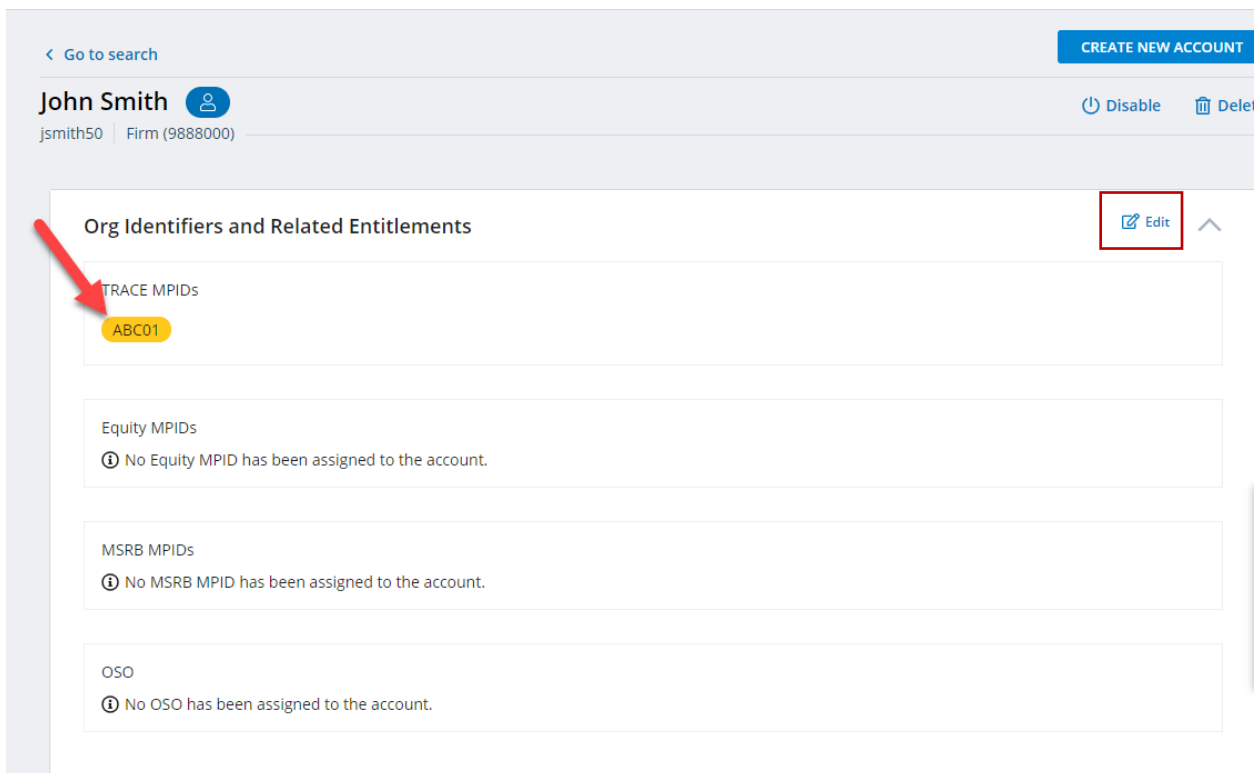
## [Assigning/Unassigning MPID \(TRACE & EQUITY\), MSRB & OSO identifiers and the related Entitlements](#)

### **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.

## Org Identifiers and Related Entitlements

John Smith

jsmith50 | Firm (9888000)

TRACE MPIDs

☒ ABC01
 ☐ ABC02
 ☐ ABC03

Equity MPIDs

☐ ABC99
 ☒ XYZ99

Entitlements (3)

Report Center

☒ User
 ☐ Admin
 ☐ Privilege Viewer

The Report Center is a central online location for FINRA member firms to access reports and analysis designed to support compliance activities. The information available through the Report Center aids in the early detection of and corrective action for potential regulatory problems.

<input type="button" value="i"/> Firm View Equity Report Card               EQUITY MPIDs	<input checked="" type="checkbox"/> User <input type="checkbox"/> Admin <input type="checkbox"/> Privilege Viewer
<input type="button" value="i"/> Firm View TRACE Quality of Markets Report Card               TRACE MPIDs	<input checked="" type="checkbox"/> User <input type="checkbox"/> Admin <input type="checkbox"/> Privilege Viewer
<input type="button" value="i"/> Firm View MSRB Report Cards               MSRB MPIDs	<input type="checkbox"/> User <input type="checkbox"/> Admin <input type="checkbox"/> Privilege Viewer

- 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.

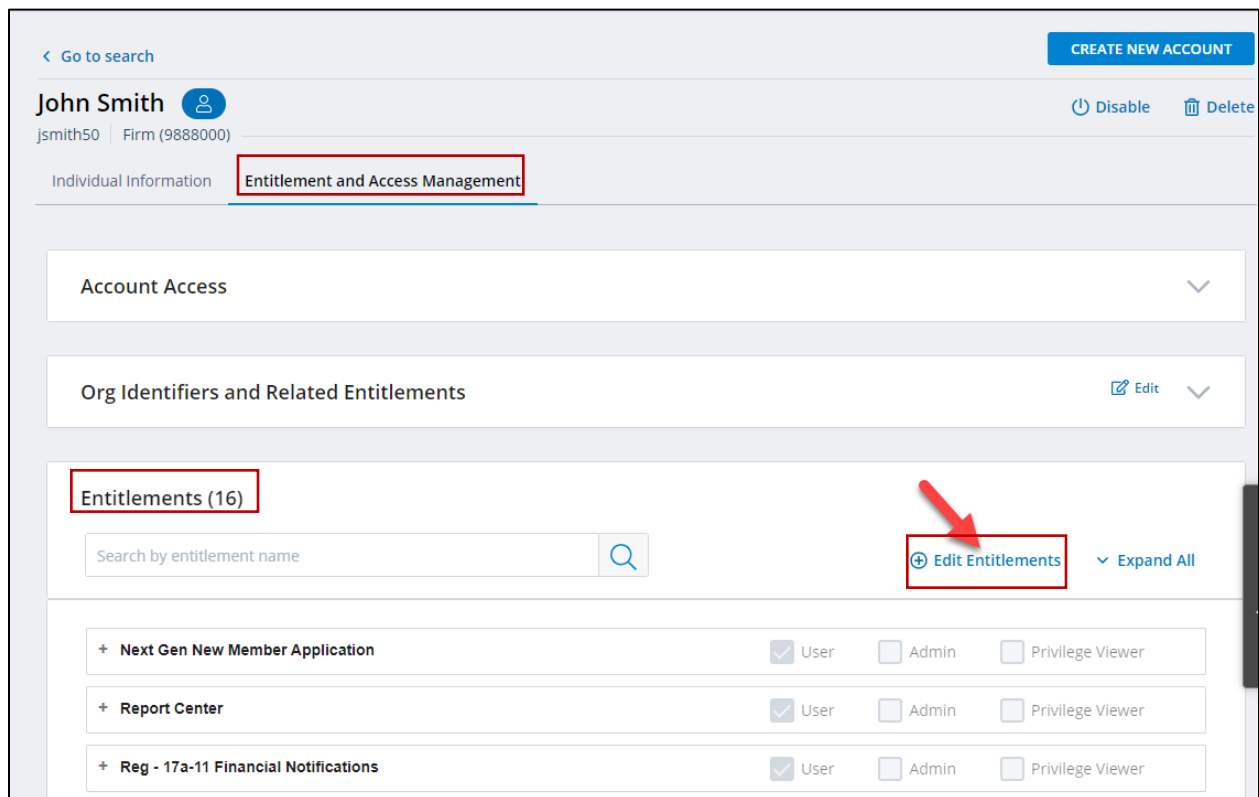
### Note:

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.



The screenshot displays the FINRA user interface for managing entitlements. At the top, there's a header with a search bar, a 'CREATE NEW ACCOUNT' button, and user information for John Smith (jsmith50). Below this, there are tabs for 'Individual Information' and 'Entitlement and Access Management', with the latter being the active tab. The main content area is divided into three sections: 'Account Access', 'Org Identifiers and Related Entitlements', and 'Entitlements (16)'. The 'Entitlements (16)' section features a search bar and a table of entitlements. A red arrow points to the 'Edit Entitlements' button in the top right corner of the 'Entitlements (16)' section.

Entitlement Name	User	Admin	Privilege Viewer
+ Next Gen New Member Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Report Center	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - 17a-11 Financial Notifications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. The application **entitlements** displayed in this section are those that are assigned to the account.

The screenshot shows the FINRA user interface for user John Smith (jsmith50, Firm 9888000). The 'Entitlements (16)' section is displayed, featuring a search bar and a list of entitlements. A red arrow points to the '+' symbol next to the first entitlement, 'Next Gen New Member Application'.

Entitlement Name	User	Admin	Privilege Viewer
+ Next Gen New Member Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Report Center	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - 17a-11 Financial Notifications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - 3012 Claim for Exception	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - Rule 4530 Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Information Request Forms	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Central Review Group Requests	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 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.

The screenshot shows the FINRA user interface for John Smith (jsmith50, Firm 9888000). The 'Entitlements (16)' section is displayed, featuring a search bar and buttons for 'Edit Entitlements' and 'Expand All'. A red arrow points to the 'Report Center' entitlement, which is expanded to show a description and a list of related report cards. The 'Expand All' button is highlighted with a red box.

Entitlement Name	User	Admin	Privilege Viewer
+ Next Gen New Member Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Report Center	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The Report Center is a central online location for FINRA member firms to access reports and analysis designed to support compliance activities. The information available through the Report Center aids in the early detection of and corrective action for potential regulatory problems.			
+ Firm View Equity Report Card (EQUITY MPIDs)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Firm View TRACE Quality of Markets Report Card (TRACE MPIDs)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - 17a-11 Financial Notifications	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - 3012 Claim for Exception	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Reg - Rule 4530 Application	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Information Request Forms	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
+ Central Review Group Requests	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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.

The screenshot shows the 'Entitlements (20)' page for John Smith. The 'Account Management' entitlement is selected, and its child entitlements are expanded. Red boxes and arrows highlight the 'User' checkbox for the parent and its children.

Entitlement Name	User	Admin	Privilege Viewer
Account Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edit Account Data	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manage Accounts	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change Password	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
View TRACE MPIDs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Update TRACE MPIDs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

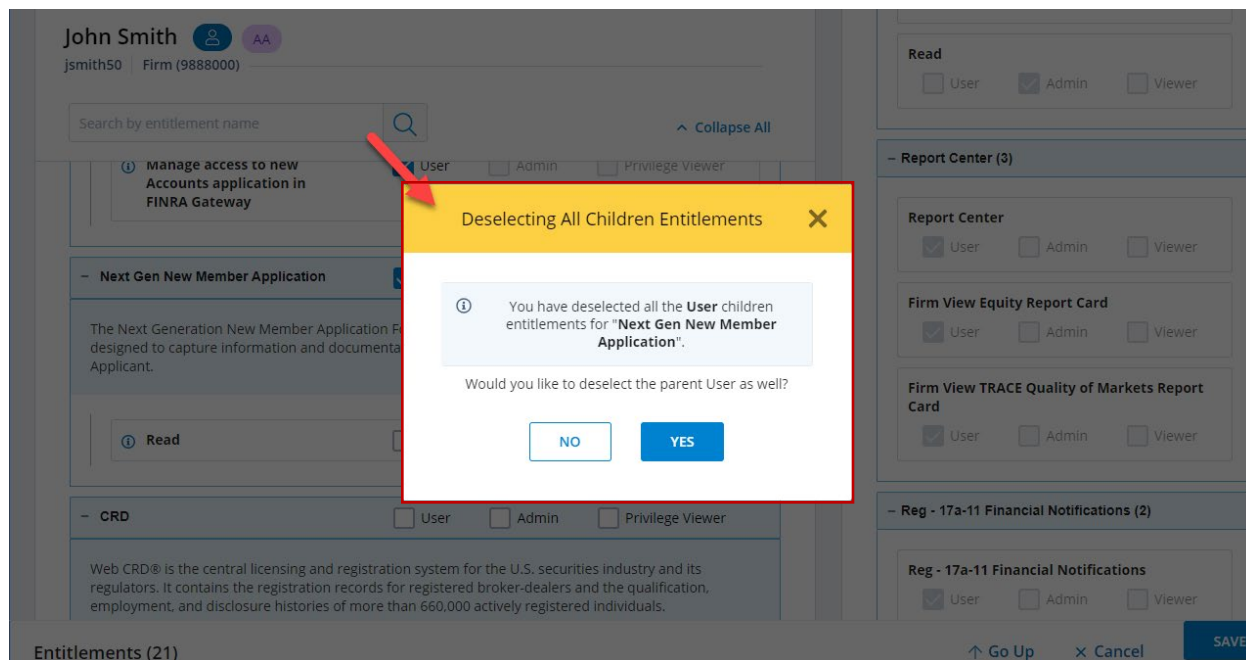
- a. The **application level** entitlements are referred as the **Parent** entitlements and the entitlements related to the application entitlements are referred as **child/children** entitlements.

The screenshot shows the 'Entitlements (21)' page. A red box labeled 'Parent' points to the 'Account Management' entitlement. A red box labeled 'Children' points to the list of child entitlements below it.

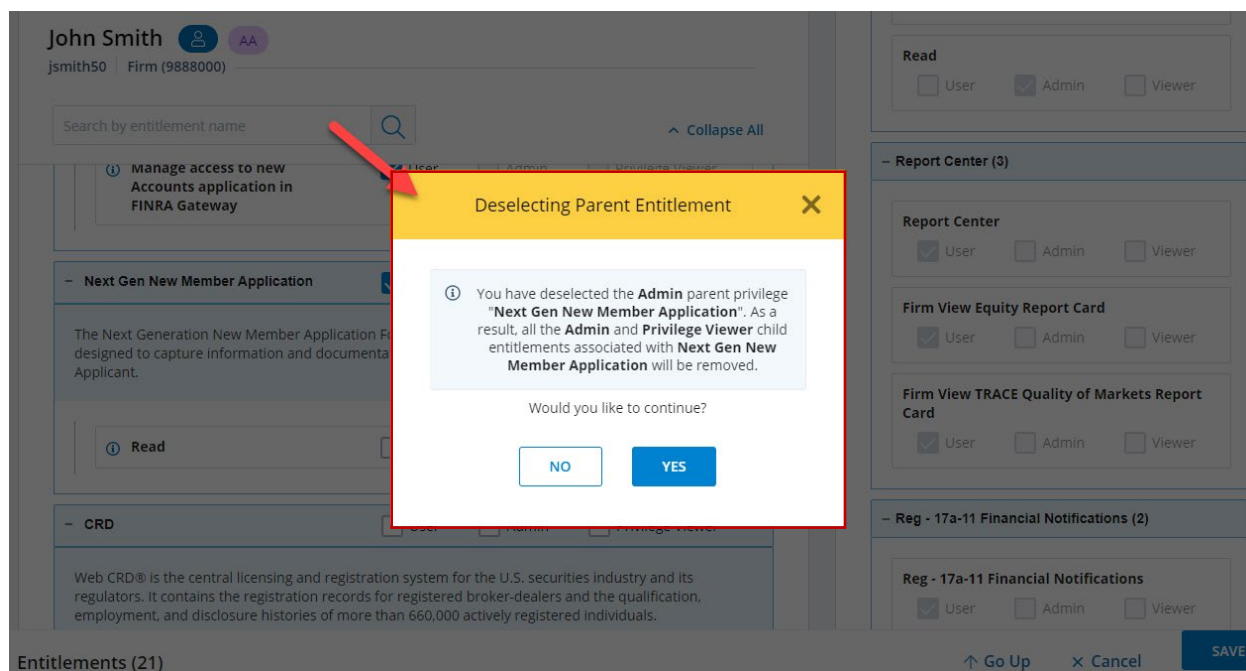
Entitlement Name	User	Admin	Privilege Viewer
Account Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Edit Account Data	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manage Accounts	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change Password	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manage access to new Accounts application in FINRA Gateway	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Next Gen New Member Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- 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

wanting to leave the parent entitlement for the account.



- c. If you **deselect** the **parent** entitlements, the child entitlements will be **automatically** deselected.



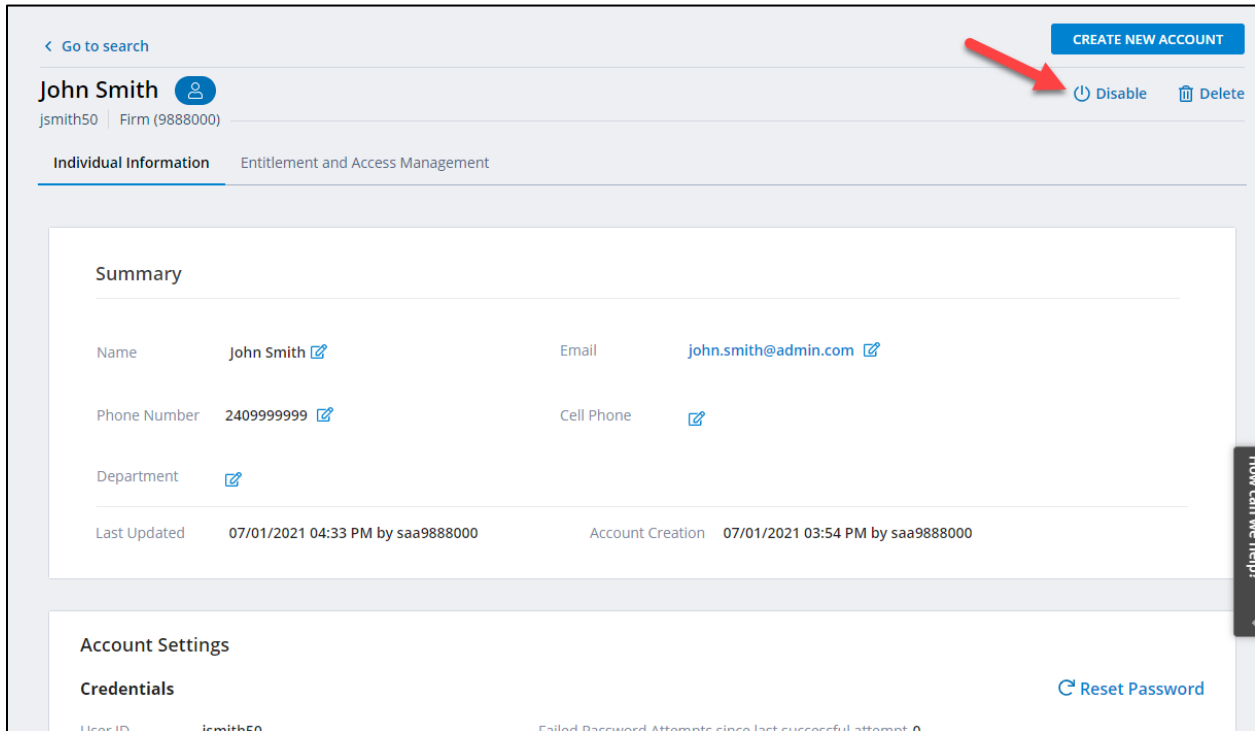
- d. You no longer have the ability to **select all** entitlements.

## 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



The screenshot shows the user management interface for John Smith. At the top right, there is a blue button labeled "CREATE NEW ACCOUNT". Below it, there are two buttons: "Disable" (with a power icon) and "Delete" (with a trash icon). A red arrow points to the "Disable" button. The interface also shows a search bar, a user profile for John Smith (jsmith50), and a summary of account information including name, email, phone number, and department. The "Account Settings" section is visible at the bottom, showing a "Reset Password" button.

**Note:** If you have any questions or concerns, please contact the Gateway Call Center at 301-869-6699 for assistance.