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Introduction

The new FINRA Account Management System will replace the current Account Management application. It is used by Administrators to manage access to FINRA systems. The new system is integrated with the FINRA Gateway portal, thereby offering firms a one stop shop, along with other significant enhancements:

- Improved search capability
- Improved performance
- Inline editing capabilities
- Organization of account information into distinct sections
- Enhanced entitlements navigation
- In-app tutorials for users

These improvements have resulted in an intuitive and a simplified user interface.
## New Terminology

<table>
<thead>
<tr>
<th>Current Terminology</th>
<th>New Terminology</th>
</tr>
</thead>
<tbody>
<tr>
<td>EWS ID</td>
<td>User ID</td>
</tr>
<tr>
<td>TRACE &amp; EQUITY MPIDs, MSRB &amp; OSO number</td>
<td>Org Identifiers</td>
</tr>
<tr>
<td>User Profile</td>
<td>Individual information - Summary</td>
</tr>
<tr>
<td>Account profile</td>
<td>Individual information - Account settings</td>
</tr>
<tr>
<td>FINRA information</td>
<td>• Individual Information – Account Access</td>
</tr>
<tr>
<td></td>
<td>• Entitlements And Access Management – Org Identifiers (MPIDs, MSRB, OSO)</td>
</tr>
<tr>
<td>Application entitlements</td>
<td>Entitlements And Access Management</td>
</tr>
</tbody>
</table>

**Summary**

- **User Profile**
  - Individual information
  - Account settings

- **FINRA information**
  - Entitlements And Access Management
  - Org Identifiers (MPIDs, MSRB, OSO)
DEMO
Access to New FINRA Account Management System

Access through FINRA Gateway

If you are a BD, IA or BD/IA firm

- Open FINRA Gateway using the following link: http://gateway.finra.org
- On the landing page select the Admin icon from the side menu bar
- If you are a certified or newly onboarded firm, then you will see the “Accounts (New)” link for the New FINRA Account Management system and the Accounts legacy link for the current system
- If you have not certified, you will only see Accounts Legacy link for the current system

Screenshot

Access through FINRA Gateway

Access to New FINRA Account Management System
Access to New FINRA Account Management System

Access through Firm Gateway

If you are a firm that are accessing FINRA Systems via Firm Gateway Portal:

- Open Firm Gateway using the following link: https://firms.finra.org
- On the Landing page, select User Administration, which will open the current Account Management System
- If you are a certified or a newly onboarded firm, on top of the page you will see a banner with a link for the new FINRA Account Management System
- This link will open a tab with the new FINRA Account Management System

Mockup

The new FINRA Account Management system is now live in FINRA Gateway. Click Here To Access

Account Management: Start New Search

To perform a new search, fill in criteria, then click "Search".

You can use asterisks as wildcards. For example, "j*o*" matches "Jason", "John", and "Julio".

User ID: 
Last Name: 
First Name: 
Middle Name: 
Email: 
Department:
Access to New FINRA Account Management System

Access through CRD

If you are a firm that are accessing Account Management via CRD:

- Open CRD using the following link: https://crd.finra.org

- Select the Account Management link on the top right-hand section of the page, which will open the existing Account Management System

- If you are a certified or a newly onboarded firm, on top of the page you will see a banner with a link for the new FINRA Account Management System

- This link will open the new FINRA Account Management System

Mockup

[Image of a mockup showing the CRD interface with options for Account Management and new FINRA Account Management System]
Accounts Demo – Search accounts

Current System

New Account Management System
Accounts Demo – Create accounts

Current System

New Account Management System
Accounts Demo – Edit Account

Current System

New Account Management System
Accounts Demo – Assign/Unassign Entitlements

Current System

New Account Management System

- All Account Privileges
- Account Management:
  - Select All | Unselect All
- Edit Account Data:
- Manage Accounts:
- Change Password:
- Manage Identity Provider User Id:
- View TRACE MPIDs:
- Update TRACE MPIDs:
- View Equity MPIDs:
- Report Center:
  - Select All | Unselect All | Select All Admin
  - Firm View Equity Report Cards
  - Firm View TRACE Quality of Markets Report Card:
- Finra Order Form:
  - Select All | Unselect All | Select All Admin
- Submit/Read All:

- Entitlements (11)
- Account Management
- Edit Account Data
- Manage Accounts
- Change Password
- View TRACE MPIDs
- Update TRACE MPIDs
- Save
- Cancel

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

1. On August 1st, 2021, if your firm has completed the 2021 FINRA Entitlement User Accounts Certification or if you are a newly onboarded firm, then
   ➢ If an administrator logs into FINRA Gateway, they can select the Admin icon on the left and will see
     • Accounts (New)
     and
     • Accounts (Old)
   ➢ If an administrator logs into Firm Gateway, they will see
     • A banner with a link for New FINRA Account Management System application on the User Administration application
   ➢ If an administrator logs into CRD, they will see
     • A banner with a link for New FINRA Account Management System application when they open the Account Management link

2. The current "Accounts" link will remain and help bridge any functional gaps that exist between the current and the new system. Currently, there are two known features that exist in the current system but not in the new:
   • Clone Account
   • Export search results
FINRA Account Management System Information

➢ Information on the new FINRA Account Management System:
https://www.finra.org/filing-reporting/entitlement/finra-account-management-system

➢ Detailed product guide on how to use the system:

➢ Questions/Contact for the FINRA Gateway team:
feedbackfinragateway@finra.org