FINRA

Multi-factor authentication (MFA)

Troubleshooting Tips Guide
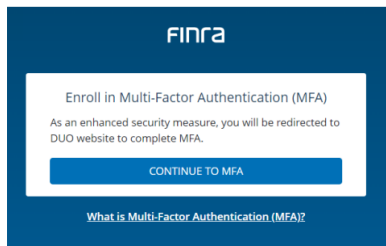
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Troubleshooting Tips
1. **Issue:** User does not see the 'Continue to MFA' screen in EWS when logging in.
2. **Issue:** User cannot find **"Other Options"** anywhere on their MFA screen.
3. **Issue:** User does not see the FINRA-Compliant MFA options after selecting **"Other Options"**.
4. **Issue:** User cannot install the Duo Mobile Application.
5. **Issue:** User cannot see Duo Mobile App notifications on smart phone or tablet.
6. **Issue:** User does not know what a Security Key is or how to purchase one.
7. **Issue:** User does not know how to activate a Security Key.
8. **Issue:** User does not know if the Duo Mobile App is installed on their smart phone or tablet.
9. **Issue:** User at **Service Provider** has over 100 accounts.

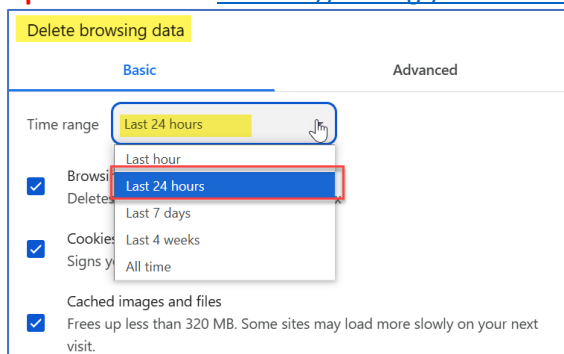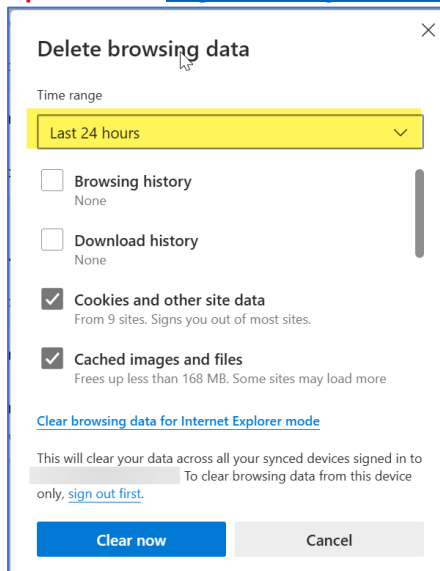| |
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| **Troubleshooting Tip #1** |
| **Issue:** User does not see the 'Continue to MFA' screen in EWS when logging in. |
| **Reason:** If the same computer and browser are used within a 24-hour timeframe to access FINRA systems, the user will not be allowed to access MFA until the 24 hours are up. |
| **Actions Required:** |

FINRA

Enroll in Multi-Factor Authentication (MFA)

As an enhanced security measure, you will be redirected to DUO website to complete MFA.

CONTINUE TO MFA

What is Multi-Factor Authentication (MFA)?

Actions Required:

1. Clear the cache in the existing browser for minimum of 'Last 24 Hours', or;
   Open CHROME - chrome://settings/clearBrowserData

Delete browsing data

Basic   Advanced

Time range   Last 24 hours

Last hour
Last 24 hours
Last 7 days
Last 4 weeks
All time

Browsi...
Delete...

Cookie...
Signs y...

Cached images and files
Frees up less than 320 MB. Some sites may load more slowly on your next visit.

   Open EDGE - edge://settings/clearBrowserData/clear

Delete browsing data   ✕

Time range

Last 24 hours   ∨

☐ Browsing history
  None

☐ Download history
  None

☑ Cookies and other site data
  From 9 sites. Signs you out of most sites.

☑ Cached images and files
  Frees up less than 168 MB. Some sites may load more

Clear browsing data for Internet Explorer mode

This will clear your data across all your synced devices signed in to _____. To clear browsing data from this device only, sign out first.

Clear now   Cancel

2. Use a different browser (e.g, Edge, Firefox, Chrome, Safari)
3. Once either option is completed, log in again and you should see the 'Continue to MFA' screen in EWS.

Troubleshooting Tip #2
Issue: User cannot find **"Other Options"** anywhere on the MFA screen.
Reason: Phone call, SMS text, and fingerprint/facial recognition do not require Duo Mobile App to be installed. User needs to install Duo Mobile App for <u>Duo Push and Duo Mobile Push</u> and add their account. *Note: Security Key does not require the Duo Mobile App.*
Actions Required: 1. If user does not have the Duo Mobile App installed on their smart phone or tablet, they need to download the Duo Mobile App either from App (Apple) Store (iOS) or Google Play Store (Android). **App Store (iOS)** •   Tap the App Store icon to open the App. •   At the bottom right, use the Search feature and type in Duo Mobile •   Click on Duo Mobile and click 'Get' to install Duo Mobile App on your device **Google Play Store (Android)** •   Tap the Google Play Store icon to open the App. •   Use the Search feature and type in Duo Mobile •   Click on Duo Mobile and click 'Install' to install Duo Mobile App on your device 2. After logging in and clicking on 'Continuing to MFA', complete the start-up enrollment process by clicking the 'Get Started' button on Duo Mobile App screen. For more information, see <u>MFA Guide (Section 1)</u> How to Enroll in FINRA Entitlement Program MFA.

Issue: User does not see the <u>FINRA-compliant MFA options</u> listed below after selecting **"Other Options".**
    1.   **Duo Verified Push** Notifications on their smart phone or tablet
    2.   **Duo Mobile Passcode** Notifications on the Duo application
    3.   **Security Key** Verification using a supported USB security key *Note: Security Key does not require the Duo Mobile App)*

Reason: If user does not have the Duo Mobile App installed on their smart phone or tablet, they will not see the FINRA MFA-compliant options of <u>Duo Push and Duo Mobile Passcode</u> in "**Other Options"**. User needs to install Duo Mobile App and add their account.

Actions Required:
   1. If user does not have the Duo Mobile App installed on their smart phone or tablet, they need to download the Duo Mobile app either from App (Apple) Store (iOS) or Google Play Store (Android).
 	
  App Store (iOS)
       • Tap the App Store icon to open the App.
       • At the bottom right, use the Search feature and type in Duo Mobile
       • Click on Duo Mobile and click 'Get' to install Duo Mobile App on your device
 	
  Google Play Store (Android)
       • Tap the Google Play Store icon to open the App.
       • Use the Search feature and type in Duo Mobile
       • Click on Duo Mobile and tap 'Install' to install Duo Mobile App on your device
 	
   2. After logging in and clicking on 'Continuing to MFA', complete the start-up enrollment process by clicking the 'Get Started' button on Duo Mobile App screen. For more information, see <u>MFA Guide</u> (Section 1) How to Enroll in FINRA Entitlement Program MFA.
 	
      At the Duo Website to complete MFA, click **Get started.**

Issue: User cannot install the Duo Mobile Application.
Reason: Android or iPhone Operating System version is End-Of-Life.

Actions Required:
 	
1. **Smartphone Operating System** - a specific release or update of that operating system
 	
    End-of-life Operating System version for **Android is 10 and for iPhone it is iOS 14**. Users having these versions or older will NOT be able to download the Duo Mobile App.
 	
    To view your smart phone or tablet version, select 'Settings' and use the Search feature and type in 'Version'.
 	
    Version of Operating System for iPhone or Android device needs to be upgraded, or;
    need a new iPhone or Android device with the latest version of the Operating System.

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| **Troubleshooting Tip #5** |
| **Issue:** User cannot see Duo Mobile App notifications on smart phone or tablet. |
| **Reason:** Duo Mobile App notifications have not been enabled or allowed on the smart phone or tablet |
| **Actions Required:** |

Actions Required:

1. On smart phone or tablet, go to Apps, open Duo Mobile App and select Notifications.

To check if push notifications are enabled for Duo Mobile App and re-enable them if needed, follow these steps:

1. On the iPhone or Android, open **Settings**.
2. Select **Notifications**.
3. Scroll down and select **Duo Mobile**.
4. If the "Allow Notifications" option is already selected, deselect it and select it again. If it was not yet selected, select it.
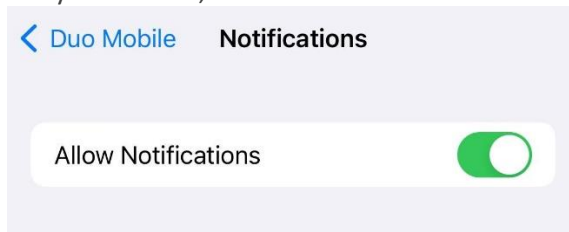
5. Fully close Duo Mobile App and open Duo Mobile App again.

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| **Troubleshooting Tip #6** |
| **Issue:** User does not know what a Security Key is or how to purchase one.
Note: Security Key does not require the Duo Mobile App.
 |
| **Reason:** Not able to use personal smart phone or tablet. |
| **Actions Required:**
A **Security Key** is a digital service on a personal device or a physical device that allows users to authenticate through the MFA process. If a user decides to purchase and use a physical security key, MFA is completed by inserting the security key into the USB port on the computer and, if needed for the model used, the user taps the security key or presses the security key button.

You must have a supported security key. Duo MFA supports WebAuthn/FIDO2 security keys such as those offered by Yubico and Feitian.
Note: U2F-Only security keys such as Yubikey NEO-n are not supported with Firefox.

- FINRA does not endorse any specific security key vendor or model and recommends that organizations perform adequate testing to ensure that the device they intend to use is compatible with Duo MFA for FINRA.

- Please refer to the information below for a list of Security Keys compatible with Duo MFA, along with detailed instructions on how to add one:
    https://www.yubico.com/works-with-yubikey/catalog/duo/#compatible-yubikeys
    https://guide.duo.com/universal-enrollment#add-security-key |

Issue: User does not know how to activate a Security Key.   *Note: Security Key does not require the Duo Mobile App.*

1. Select Security Key as your MFA device.
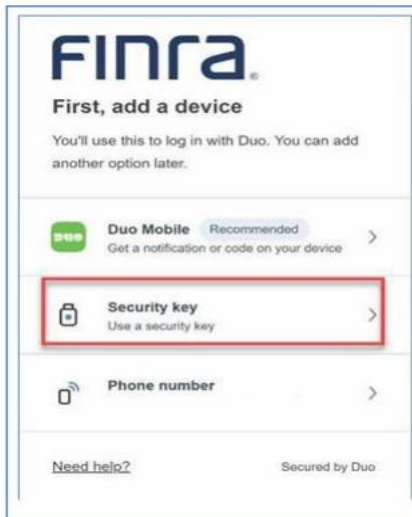
2. Insert your security key into the USB port on your computer.

3. Click **Continue**.
4. Tap or press the button while the Security Key is flashing. If the time limit of 60 sec has passed, unplug the Security Key, plug in again and tap it while it is flashing.

5. A message will appear confirming that your enrollment is successful.

Troubleshooting Tip #8
Issue: User does not know if the Duo Mobile App is installed on their smart phone or tablet.

Actions Required:
 	
To determine if user has the Duo Mobile App installed on smart phone or tablet, check to see if the Duo Mobile App icon displays in their Apps listing, or confirm thru the App Store or Google Play Store.
 	
    App Store (iOS)
        • Tap the App Store icon to open the App.
        • At the bottom right, use the Search feature and type in Duo Mobile
        • Click on Duo Mobile:
            • if it has 'Get', user will need to click 'Get' and install Duo Mobile App on their device
            • If it has 'Update', user already has the Duo Mobile App installed on their device
 	
    Google Play Store (Android)
        • Tap the Google Play Store icon to open the App.
        • Use the Search feature and type in Duo Mobile
        • Click on Duo Mobile and tap 'Install' to install Duo Mobile App on your device
            • if it has 'Install', user will need to click 'Get' to install Duo Mobile App on their device
            • If it has 'Update', user already has Duo Mobile App installed on their device

Troubleshooting Tip #9
Issue: User at **Service Provider** has over 100 accounts.

Reason: User needs to select a FINRA-compliant option and add each account in Duo Mobile App.
  1. **Duo Verified Push** Notifications on their smart phone or tablet
  2. **Duo Mobile Passcode** Notifications on the Duo application
  3. **Security Key** Verification using a supported USB security key

Actions Required:
  1. Add each account manually into Duo Mobile App and select MFA option, or
  2. Add 100 accounts per device (smart phone, tablet, security key) – follow instructions in MFA Guide.

Other MFA Information can be found at:

MFA Web Page and FAQs

MFA Guide

If you still need assistance enrolling or using MFA, contact the FINRA Support Center at (301) 590 6500.