



## About Entitlement User Accounts Certification Process

Super Account Administrators (SAAs) in organizations with more than one user are required to complete the FINRA Annual Entitlement User Accounts Certification Process when directed by FINRA and within the timeframe communicated by FINRA. Consequences for failing to comply include 1) the disablement of the capability to create, edit and clone accounts for all administrators at the organization; 2) follow-up by FINRA and possibly other regulators; and 3) the suspension of all accounts associated with the organization. If a firm's accounts are suspended, the SAA will be required to work with the FINRA Entitlement Group to have accounts re-enabled.

Access Account Management at:

- System/Application Information at <https://accountmgmt.finra.org/ewsadmin2/>, or
- FINRA-registered firms and Investment Adviser firms can access the FINRA Firm Gateway at <http://www.finra.org/FirmGateway/login>

**NOTE:** FINRA provides organizations approximately 90 days to certify accounts.

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### **IMPORTANT INFORMATION**

**Super Account Administrators (SAAs) in organizations with more than one user are required to complete the FINRA Annual Entitlement User Accounts Certification Process within the timeframe communicated by FINRA. Consequences for failing to comply include disablement of the capability to create, edit and clone accounts for all administrators at the organization and follow-up by FINRA and possibly other regulators. Account certification must be completed in order for a firm to be in compliance and, if applicable, to have all administrator functionality restored.**

**Questions on Account Management?** Call the FINRA Gateway Call Center at **301-590-6500**  
8 A.M. - 8 P.M., ET, Monday-Friday.

## Access Certification Process via Account Management System Application

1. Begin the certification process by accessing the Account Management System/Application Information at <https://accountmgmt.finra.org/ewsadmin2/>

**Note:** If you are a FINRA-registered firm or an Investment Adviser firm, you can access the certification process via FINRA Firm Gateway. Go to page 5 and follow Steps 1 through Step 13.

2. Enter your **User ID** and **Password**, read the **Privacy Policy** and **Entitlement Program Terms of Use**, and click **Accept and Continue**.

**Notes:**

- Hold cursor down on **View Password** to see the actual characters entered.
- If you do not know your user ID or password, click the **Forgot User ID or Password?** hyperlink. Select the appropriate User ID or Password radio button, enter the required information and click Submit. An email with your User ID or a temporary password will be sent to you.
- To improve application security, FINRA has shortened the time before users are automatically logged off due to inactivity to 30 minutes. Please make sure to save your work frequently to avoid lost work due to a system timeout.

FINRA

Log In Single Sign-On (SSO)

Welcome to Web CRD ®

User ID

Enter User ID here (ex.:jdoe12)

Password

Enter password here

[View Password](#)

By clicking "Accept and continue" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the FINRA [Entitlement Program Terms of Use](#).

ACCEPT AND CONTINUE

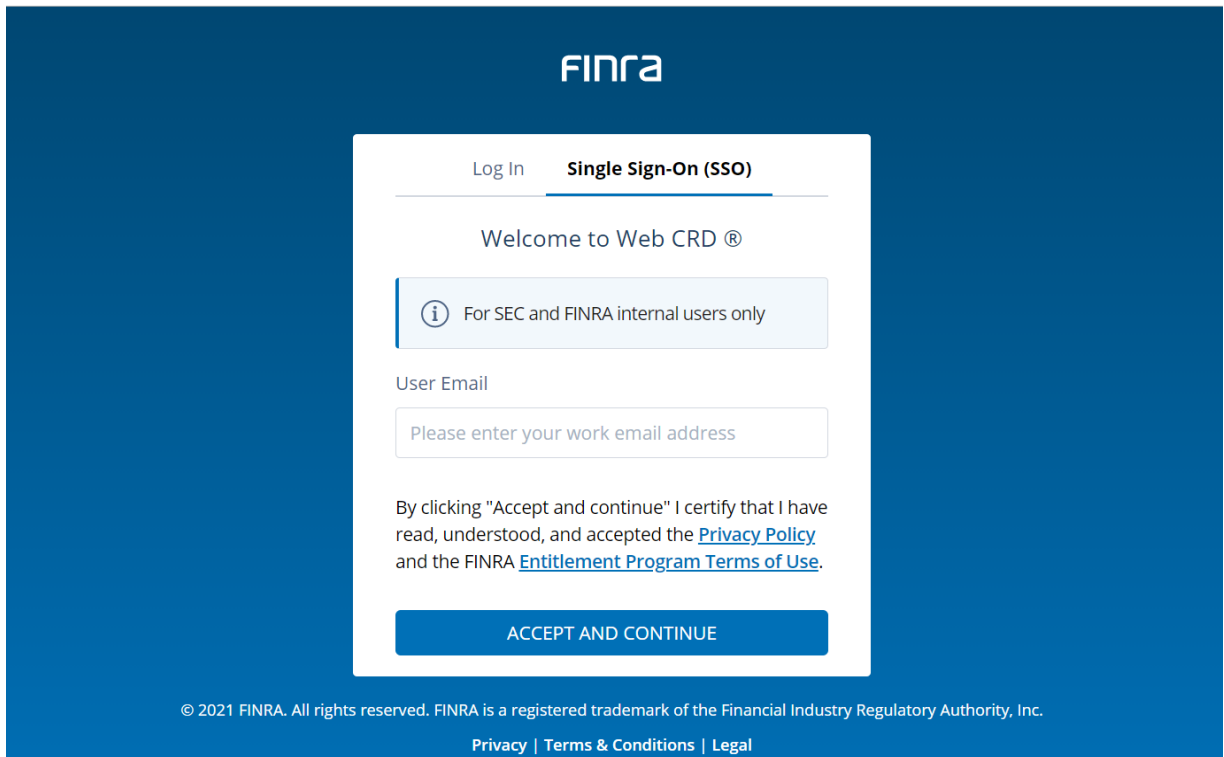
[Forgot User ID or Password?](#)

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[Privacy](#) | [Terms & Conditions](#) | [Legal](#)

3. The Single Sign-On (SSO) option is for SEC and FINRA Internal Users Only. Enter your **work email address**, read the **Privacy Policy** and **Entitlement Program Terms of Use**, and click **Accept and Continue**.

**Note:** On subsequent logins, the system will default to presenting the Single Sign On tab and the field will be populated with the last used email address.




The image shows the FINRA Single Sign-On (SSO) login interface. At the top, the FINRA logo is displayed. Below it, there are two tabs: "Log In" and "Single Sign-On (SSO)". The "Single Sign-On (SSO)" tab is selected. The main heading is "Welcome to Web CRD ®". Below this, there is a light blue box with an information icon and the text "For SEC and FINRA internal users only". Underneath, there is a "User Email" label and a text input field with the placeholder "Please enter your work email address". Below the input field, there is a paragraph of text: "By clicking 'Accept and continue' I certify that I have read, understood, and accepted the [Privacy Policy](#) and the FINRA [Entitlement Program Terms of Use](#)." At the bottom of the form is a large blue button labeled "ACCEPT AND CONTINUE". At the very bottom of the page, there is a copyright notice: "© 2021 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc." and links for "Privacy | Terms & Conditions | Legal".

FINra

Log In   **Single Sign-On (SSO)**

Welcome to Web CRD ®

 For SEC and FINRA internal users only

User Email

Please enter your work email address

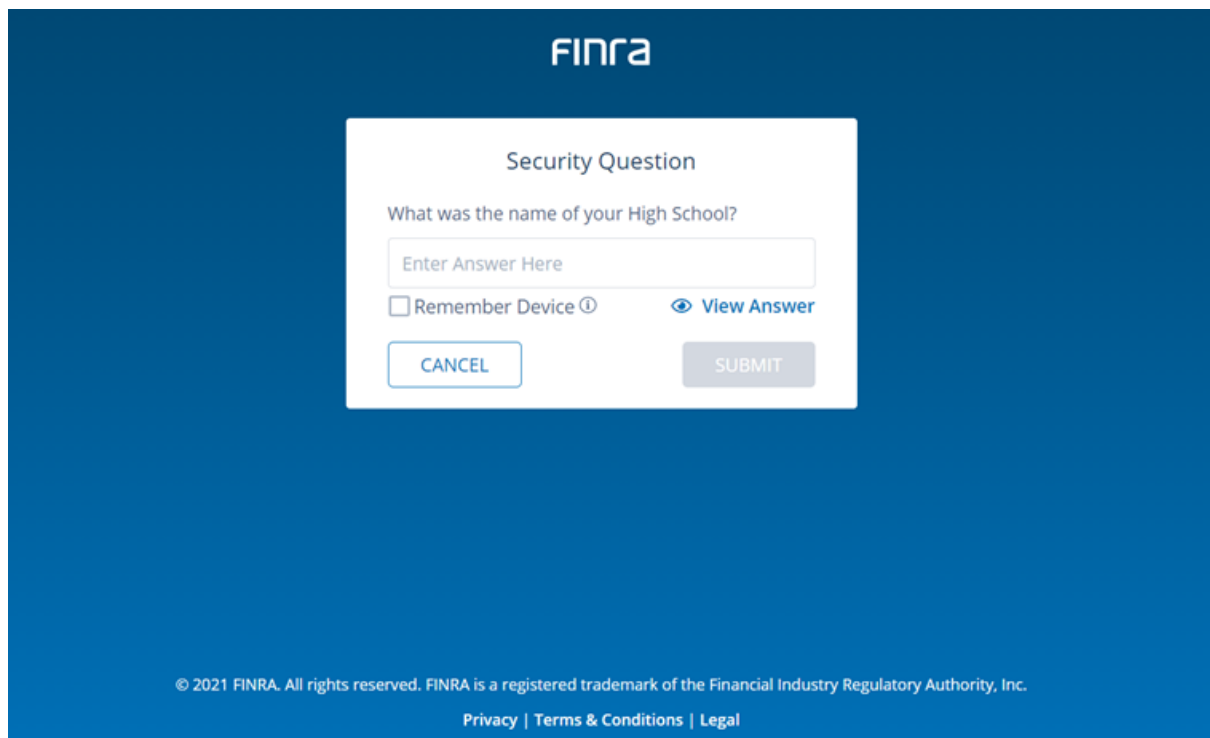
By clicking "Accept and continue" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the FINRA [Entitlement Program Terms of Use](#).

ACCEPT AND CONTINUE

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4. Enter your **Security Question Answer** and click **Submit**.

**Note:** Select the option to "Remember Device" *only* if you are using your personal computer.





The image shows the FINRA Security Question screen. At the top, the FINRA logo is displayed. Below it, the heading is "Security Question". The question is "What was the name of your High School?". Below the question is a text input field with the placeholder "Enter Answer Here". Below the input field, there is a checkbox labeled "Remember Device" with a help icon, and a link labeled "View Answer" with an eye icon. At the bottom of the form are two buttons: "CANCEL" and "SUBMIT". At the very bottom of the page, there is a copyright notice: "© 2021 FINRA. All rights reserved. FINRA is a registered trademark of the Financial Industry Regulatory Authority, Inc." and links for "Privacy | Terms & Conditions | Legal".

FINra

Security Question

What was the name of your High School?

Enter Answer Here

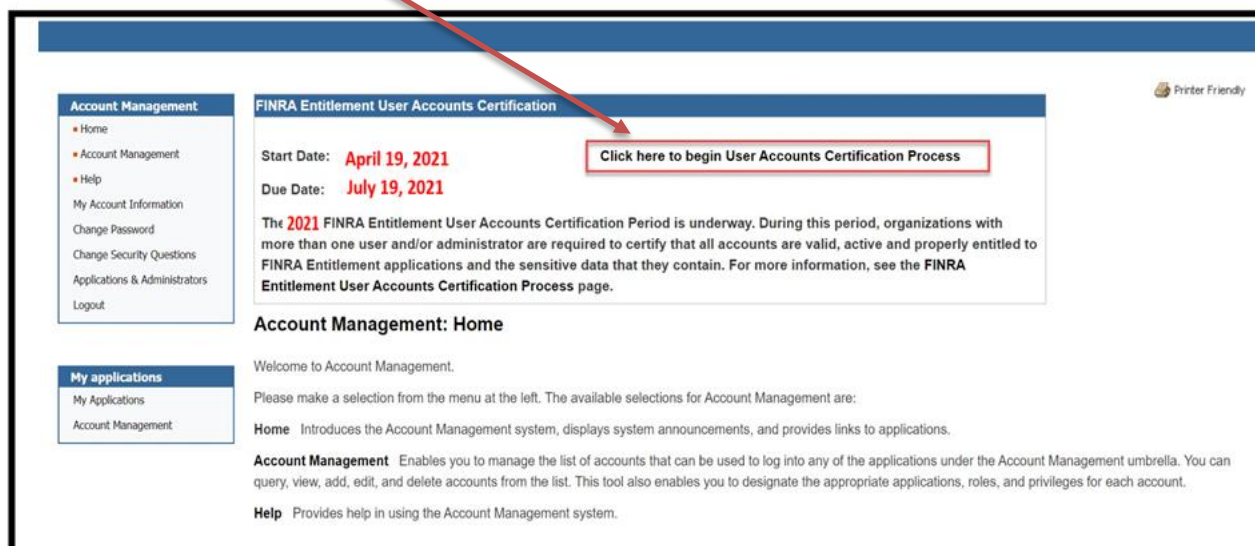
☐ Remember Device  [View Answer](#) 

CANCEL   SUBMIT

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**Result:** FINRA Entitlement User Certification screen opens.

5. Click the link: **Click here to begin User Accounts Certification Process.**



6. Go to **Review Information**, located on page 8 and continue through Step 13.

## Access Certification Process via FINRA Firm Gateway

1. FINRA-registered firms and Investment Adviser firms can access the FINRA Firm Gateway at <http://www.finra.org/FirmGateway/login>
2. Enter your **User ID** and **Password**, read the **Privacy Policy** and **Entitlement Program Terms of Use**, and click **Accept and Continue**.

**FINRA**

**Log In**   Single Sign-On (SSO)

Welcome to Web CRD ®

User ID

Enter User ID here (ex.:jdoe12)

Password

Enter password here

[View Password](#)

By clicking "Accept and continue" I certify that I have read, understood, and accepted the [Privacy Policy](#) and the FINRA [Entitlement Program Terms of Use](#).

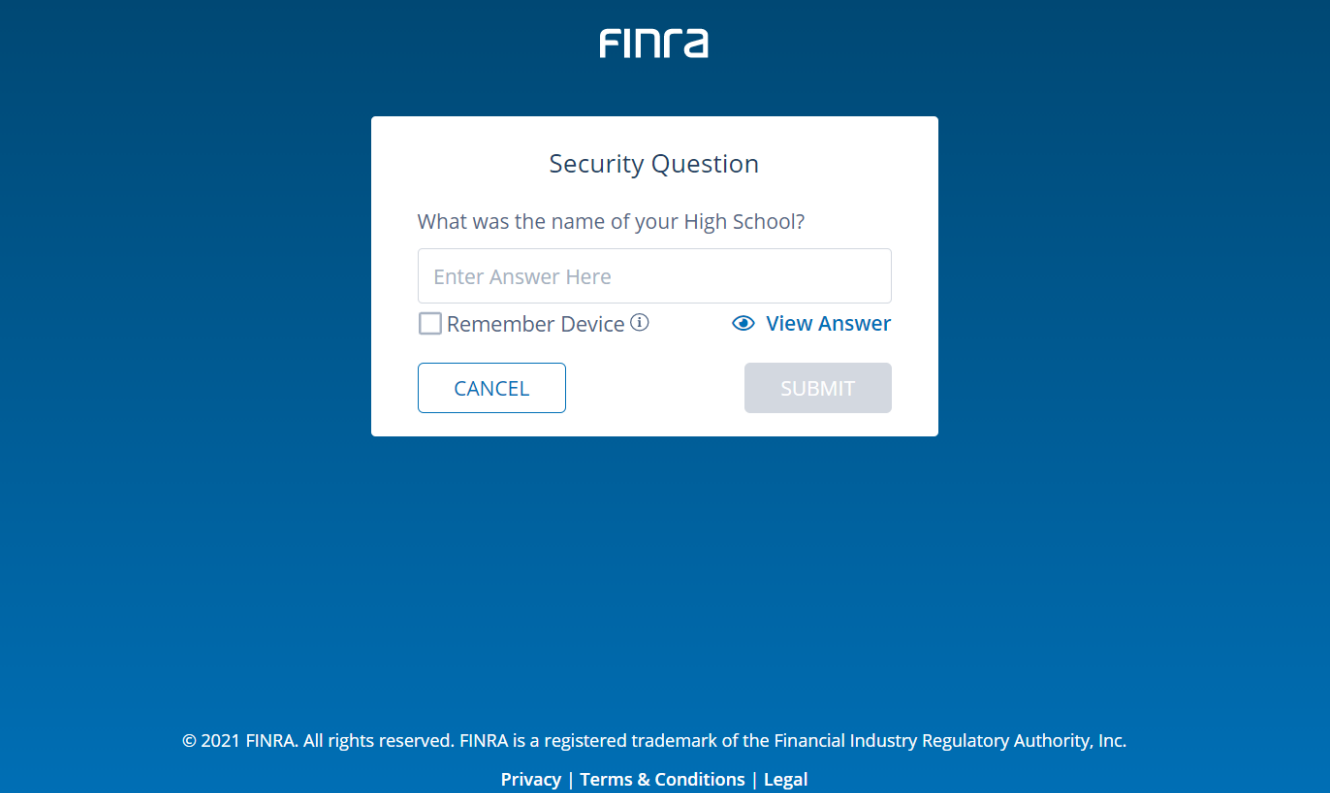
**ACCEPT AND CONTINUE**

[Forgot User ID or Password?](#)

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3. Enter your **Security Question Answer** and click **Submit**.



The image shows a screenshot of the FINRA website's security question interface. The background is a solid blue color. At the top center, the FINRA logo is displayed in white. Below the logo, a white rectangular box contains the following elements: the title "Security Question" in bold; the question "What was the name of your High School?"; a text input field with the placeholder "Enter Answer Here"; a checkbox labeled "Remember Device" with an information icon; a "View Answer" link with an eye icon; a "CANCEL" button; and a "SUBMIT" button. At the bottom of the blue background, there is a copyright notice and links for Privacy, Terms & Conditions, and Legal.

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**Notes:**

- If you have not setup your Security Information, you will be presented with the Setup of Security Information screen. Select your three Security Questions, enter the appropriate answer for each question and click Save.
- Select the option to "Remember Device" *only* if you are using your personal computer.

4a. Click the **User Administration** tab to search for accounts.

The screenshot shows the Firm Gateway dashboard. The top navigation bar includes tabs for Home, Compliance Calendar, Forms & Filings, Web CRD, IARD, Firm Profile, E-Bill, and **User Administration** (highlighted with a red box). The main content area is divided into several sections:   
 - **CRD Individual Search**: A search box for CRD#, SSN#, or Name with a 'Go' button and a link to 'Advanced Search'.   
 - **Flex-Funding Last Posted Balance**: Shows a 'Sufficient' status and a balance of \$482.62 as of Dec 21, 2018 2:13 AM EST.   
 - **My Quicklinks**: A list of links including 'Register a Broker (U4)', 'Withdraw/Terminate Broker (U5)', and 'Update Broker Info (U4)'.   
 - **Filing Reminders**: A section for tracking filings with tabs for 'My Filings' and 'Firm Filings'. It shows 'Next Due Date' and 'Filing' information, stating there are no current or overdue filings.   
 - **CRD Queues**: A table showing 'Individual CRD Queues' and 'Organization CRD Queues'. The individual queues show 4 current deficiencies and 0 denied registrations.   
 - **Education**: A section for adding custom quick links.   
 - **Compliance Vendor Directory**: A section for connecting firms with vendors, featuring a 'View Vendors' button.   
 - **Do You Have a Question?**: A section for general inquiries, providing a phone number (301-869-6699) and contact information for the FINRA Coordinator and Staff.

5a. Enter an "\*" in the **User ID** field and click on **Search** located at the bottom of the screen.

**Note:** Using the asterisk as a wildcard will display a list of all of your organization's users.

The screenshot shows the 'User Administration' section of the Firm Gateway. The left sidebar contains a 'User Administration' menu with options for 'Account Management' (including 'Create New Account' and 'Start New Search'), and 'Help'. The main content area is titled 'Account Management: Start New Search' and includes a 'Printer Friendly' link. Below the title, there is a text box explaining that asterisks can be used as wildcards, with an example: 'J\*o\*' matches 'Jason', 'John', and 'Julio'. The search form includes fields for 'User ID:', 'Last Name:', 'First Name:', 'Middle Name:', 'Email:', and 'Department:'. Below these fields are checkboxes for 'CRD:', 'IARD:', 'FINRA Waiver Forms:', 'E-Bill:', and 'My CRD:'. A 'Search' button is located at the bottom of the form.

## Review Information

### 7. Review user information that is listed in the **Account Management: Search Results**.

**Account Management**

- Home
- Account Management
  - Start New Search
- Help
- My Account Information
- Change Password
- Change Security Questions
- Applications & Administrators
- Logout

**My applications**

- My Applications
- Account Management


**FINRA Entitlement User Accounts Certification**

Please review and confirm that all user and administrator credentials adhere to the following best practices:

- accounts are "Active" - remove all accounts that no longer requires access;
- individuals continue to require the application privileges they have been assigned to perform current job responsibilities - remove and/or add privileges as needed to match job functions; and
- only those individuals who require access to sensitive data (e.g., Criminal History Record Information(CHRI), Social Security or tax identification numbers, dates of birth) are given access to this type of data - remove access that is no longer required to perform current job responsibilities.

You can download your user account information into a report to send to other individuals within your organization to confirm an individual's entitlement, including access to applications, privileges and sensitive data. It is recommended that you certify your accounts on the same day you request the download to reduce the potential for entitlement data changes before completing the review.

After you have reviewed the accuracy of your organization's user accounts, click the *Continue* button at the bottom of the screen to resume the certification process.



**Account Management: Search Results [Active Users]**

To download this information to your computer, click "Download Results".

[Download Results](#)

Results 1-2 of 2 Select any header to sort, select again to reverse the sort

| User ID | Last Name | First Name | Middle Name | Email                | MFA Enabled | Department | SAA | Account Status | Applications Administered  |
|---------|-----------|------------|-------------|----------------------|-------------|------------|-----|----------------|--|
| User1   | Doe       | Jane       |             | jane.doe@firm.org    | No          |            | Yes | Active         | <ul style="list-style-type: none"><li>Account Management</li></ul> |
| User2   | John      | Random     |             | john.random@firm.org | No          |            | No  | Active         |  |

**Note:** You will need to review your organization's user accounts to determine that:

- each user has a continuing need to access FINRA application(s) on the organization's behalf;
- each user is entitled only to the applications and privileges needed to perform current job responsibilities; and
- only users who require access to sensitive data (e.g., Criminal History Record Information, Social Security or tax identification numbers, dates of birth) are entitled to access this type of data.



## Download Report

You can download your user account information into a report to send to other individuals within your organization to confirm individual's appropriate entitlement, including access to applications, privileges, and sensitive data.

### 8. Click **Download Reports**.

**Account Management**

- Home
- User Accounts Certification
  - Account Management
    - Create New Account
    - Start New Search
- Help
  - My Account
  - Change Password
  - Applications & Administrators
  - Logout

**My applications**

- My Applications
- Account Management
- CRD

**FINRA Entitlement User Accounts Certification**

Please review all user accounts to determine that:

- user accounts are "Active" - remove any account that no longer requires access;
- users continue to require the application privileges they have been assigned to perform current job responsibilities - remove and/or add privileges as needed to match job functions; and
- only those users who require access to sensitive data (e.g., Criminal History Record Information(CHRI), social security or tax identification numbers, dates of birth) are given access to this type of data - remove access that is no longer required to perform current job responsibilities.

For convenience, you can download your user account information into a report to send to other individuals within your organization to confirm individual's entitlement, including access to applications, privileges and sensitive data. It is recommended that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have been updated since the download was requested.

After you have reviewed the accuracy of your organization's user accounts, click the *Continue* button at the bottom of the screen to continue the certification process.

**Account Management: Search Results**

To view the account, click the User ID.

To download this information to your computer, click "Download Results".

Download Results

Results 1-2 of 2

| User ID  | Last Name | First Name | Middle Name | Email             | Department | TRACE MPIDs | Equity MPIDs | MSRB Numbers | OSO    | SAA | Account Status | Applications Administered   |
|----------|-----------|------------|-------------|-------------------|------------|-------------|--------------|--------------|--------|-----|----------------|---|
| saasuser | saa       | user       |             | saasuser@firm.org |            | 123         | 898          | 131          | 111111 | Yes | Active         | <ul style="list-style-type: none"><li>Account Management</li><li>Next Gen New Member Application</li><li>New Member Application</li><li>CRD</li><li>IARD</li><li>Report Center</li><li>Reg - 17a-11 Financial Notifications</li></ul> |

Select any header to sort, select again to reverse the sort.

### 9. Determine the criteria for your Download Report and click **Download**.

**Account Management: Download Search Results**

To download the accounts from your last search:

- Check the fields you wish to download from each account.
- Click "Download" to initiate the download.

☒ User ID  
☐ Prefix  
☐ First Name  
☐ Middle Name  
☐ Last Name  
☐ Suffix  
☐ Title  
☐ Primary Email  
☐ Secondary Email  
☐ Primary Phone  
☐ Secondary Phone  
☐ FAX  
☐ Account Status  
☐ Account Created On  
☐ Account Created By  
☐ Department  
☐ TRACE MPIDs  
☐ Equity MPIDs  
☐ MSRB Numbers  
☐ OSO  
☐ Individual CRD Number  
☐ Legacy User ID  
☐ OATS Legacy User ID (PD)  
☐ OATS Legacy User ID (CT)  
☐ OATS Flag  
☐ SAA  
☒ Permissions

Download Cancel

**Note: User ID and Permissions** are default settings and will be provided in your Download Report. You may want to include other criteria such as first, middle and last name to facilitate your review. FINRA recommends that email be selected as an option, as email addresses may change. If individuals are assigned OSO numbers, then an SAA should select the OSO option to confirm this information. Other criteria may be selected based on an organization's decision to validate this information.

10. Manipulate and disperse the data as needed.

|   | A       | B          | C         | D             | E              | F                     | G                         | H          | I        | J         | K        | L        | M         | N   | O                      | P                      | Q                      | R                      |
|---|---------|------------|-----------|---------------|----------------|-----------------------|---------------------------|------------|----------|-----------|----------|----------|-----------|-----|------------------------|------------------------|------------------------|------------------------|
| 1 | User ID | First Name | Last Name | Primary Email | Account Status | Account Creation Date | Account Creation Location | Department | TRACE MP | Equity MP | MSRB Nur | OATS Leg | OATS Flag | SAA | ***Account Management  | Edit Account           | Manage Account         | Change Password        |
| 2 | saauser | saa        | user      | saauser@      | ACTIVE         | 2011.09.26            | FINRA                     |            | 123      | 898       | 131      |          |           | Yes | User and Administrator | User and Administrator | User and Administrator | User and Administrator |
| 3 | user1   | admin      | user      | adminuse      | ACTIVE         | 2011.09.26            | FINRA                     |            | 123      | 898       | 131      |          |           | No  | User                   | User                   | User                   | User                   |
| 4 |         |            |           |               |                |                       |                           |            |          |           |          |          |           |     |                        |                        |                        |                        |

**Note:** FINRA recommends that you certify your users on the same day you request the download to prevent having to perform a subsequent review of your users as the entitlement data may have changed since the download was requested.

## Final Certification

Once the user information is verified, if needed, log back into Account Management and click User Accounts Certification.

11. Click the FINRA Entitlement User Account Certification checkbox that is located at the bottom of the screen.

### FINRA Entitlement User Accounts Certification

☐

I have reviewed and validated the account information for the users in my organization for this certification period.

Continue

**Note:** The Continue button will be enabled when the checkbox is selected.

12. Click **Continue**.

### FINRA Entitlement User Accounts Certification

☒

I have reviewed and validated the account information for the users in my organization for this certification period.

Continue

**Result:** FINRA Entitlement User Accounts Certification screen opens

13. Select **Agree**.

12. Read the **Terms and Conditions** and click **Agree**.

**Note:** Selecting **Do Not Agree** will not permit you to complete the certification process.

#### FINRA Entitlement User Accounts Certification

 Printer Friendly

I am the SAA of my Organization (as defined in the SAA Terms) and have the authority to act on behalf of the Organization.

I understand that my Organization is responsible for granting, revoking and monitoring Account Administrator and User entitlements granted by my Organization. I also understand that my Organization is responsible for ensuring that authorized users are entitled only to those privileges necessary to perform their responsibilities. My Organization assumes full responsibility for actions conducted through all accounts assigned by my Organization. I agree that my use of the FINRA Entitlement Program as the SAA and as an entitled user is subject to the FINRA Entitlement Program Terms of Use.

On behalf of my Organization, I certify that all of my Organization's Account Administrators and Account users are authorized to access information based on the privileges granted through the FINRA Entitlement Program.

Agree

Do Not Agree

13. The system will display a **Successfully Completed** message and you will receive a confirmation

Account Management

- Home
- Account Management
- Help

My Account Information

Change Password

Change Security Questions

Applications & Administrators

Logout

My applications

My Applications

Account Management

**FINRA Entitlement User Accounts Certification**

Thank you. Your organization has successfully completed the **2021** FINRA Entitlement User Accounts Certification Process.

FINRA strongly encourages administrators to continue to review accounts on an ongoing basis throughout the year to ensure that a.) accounts remain valid, and b.) individuals have only the access necessary to perform current job functions.

**Account Management: Home**


Welcome to Account Management.

Please make a selection from the menu at the left. The available selections for Account Management are:

**Home** Introduces the Account Management system, displays system announcements, and provides links to applications.

**Account Management** Enables you to manage the list of accounts that can be used to log into any of the applications under the Account Management umbrella. You can query, view, add, edit, and delete accounts from the list. This tool also enables you to designate the appropriate applications, roles, and privileges for each account.

**Help** Provides help in using the Account Management system.

 Printer Friendly

#### Email Confirmation:

Thank you. Your organization has successfully completed the **2021** FINRA Entitlement User Accounts Certification Process.

FINRA strongly encourages administrators to continue to review user accounts on an ongoing basis throughout the year to ensure that accounts remain valid and users have only the access necessary to perform current job functions.

#### Note:

Additional entitlement information can be found on the [FINRA Entitlement Program](#) page and in the [FINRA Entitlement Program Frequently Asked Questions](#).

If you have any questions concerning the certification process, please contact the Gateway Call Center at:

(301) 869-6699 (Broker/Dealers)

(240) 386-4848 (Investment Advisers)