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.

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

**Note:** Select the option to “Remember Device” *only* if you are using your personal computer.
Result: FINRA Entitlement User Certification screen opens.

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

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

**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.

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.
Review Information

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

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.

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

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.

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.

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

12. Click 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

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.

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

**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)