

Managing the OATS Certificate

The OATS Certificate is used by a user's mail client to S/MIME encrypt email messages, and is required for all mail clients that will be exchanging order data with OATS. An OSO that will submit files via email must obtain the OATS Certificate via a non-encrypted, unsigned email request, and then store the OATS Certificate within the mail client's Address Book. Each OSO that submits files via email is required to refresh the OATS Certificate annually by deleting the old one and requesting a new one. (Although FINRA does not intend to require you to refresh the OATS Certificate more often than once annually, it reserves the right to do so if necessary.) Use the addresses below to request the OATS Certificate.



Note: All users must request separate OATS Certificates for the test and production environments. Use the Internet email address to request the OATS Certificates, even if you are a subscriber to the OATS network. In addition, each individual workstation used to access the OATS network must have its own OATS Certificate, i.e., one Certificate cannot be used on more than one workstation.

Table 1. Email Addresses for Requesting the OATS Certificate

Access Type	Test	Production
Email via Internet	<i>testoatskey@finra.org</i>	<i>oatskey@finra.org</i>

To Request the OATS Certificate

The first procedure applies only to Outlook Express 5.0, while the second procedure applies only to Netscape Messenger 4.72. The steps involved in requesting the OATS Certificate may vary for other mail clients and versions. For assistance in using versions other than those mentioned above, call FINRA Business and Technology Support Services at 1-800-321-6273.

To Request the OATS Certificate Using Outlook Express

OATS Email Certificate Renewal Instructions

1. In the Outlook Express Inbox, click . The **New Message** dialog box appears.
2. In the **To** box, type **testoatskey@finra.org** to access the test environment, or **oatskey@finra.org** to access the production environment.
3. In the **Subject** box, type **OATS Certificate Request** (this statement is not case-sensitive but must be spelled correctly).
4. Leave the body of the message blank. Do not encrypt or digitally sign the message.



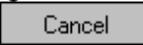
Tip: Before sending the request for the OATS Certificate, confirm that the address from which you want to send FOREs is specified as the default account. To do this in Outlook Express, from the **Tools** menu, select **Accounts**. The **Internet Options** dialog box appears. If the account from which you want to send FOREs is already the default, "mail (default)" appears in its **Type** column. To set a different account as the default, select it from the list, and then click .

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5. Click .

To Request the OATS Certificate Using Netscape Messenger

1. In the Netscape Messenger Inbox, click . The **Composition** dialog box appears.
2. Click  to display the **Address** tab. In the **To** box, type **testoatskey@finra.org** to access the test environment, or **oatskey@finra.org** to access the production environment.
3. In the **Subject** box, type **OATS Certificate Request** (this statement is not case-sensitive but must be spelled correctly).
4. Leave the body of the message blank. Do not encrypt or digitally sign the message.



Tip: Before sending the request for the OATS Certificate, confirm that the address from which you want to send FOREs is specified. To do this in *Netscape Messenger*, from the **Edit** menu, select **Preferences**. The **Preferences** dialog box appears. Select the **Identity** category under **Mail & Newsgroups**. The **Identity** dialog box appears. Confirm that the **Email address** and **Reply-to address** boxes both reflect the email address from which you intend to submit FOREs to OATS. If you made a change to the addresses, click . If you did not make a change, click .

5. Click .

To Trust the OATS Certificate

When you first receive the OATS Certificate via email, you may need to specify within your mail client that FINRA is a trusted sender of email. Once the OATS Certificate is trusted within your mail client, it may be stored in the mail client's Address Book and then used to exchange order data with OATS.

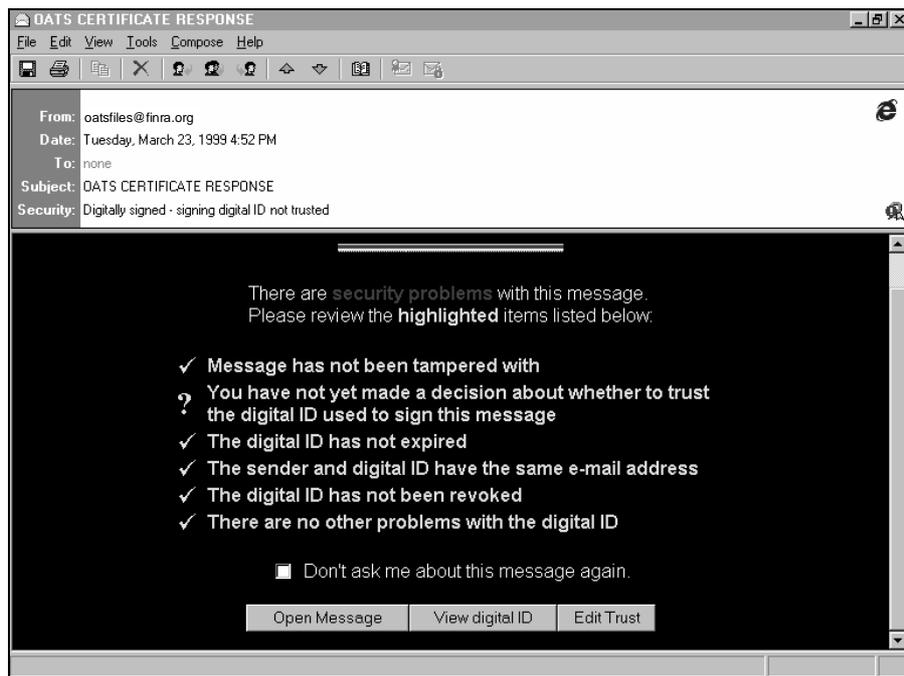
The first procedure applies only to Outlook Express 5.0, while the second procedure applies only to Netscape Messenger 4.72. The steps involved in trusting the OATS Certificate may vary for other mail clients and versions. For assistance in using versions other than those mentioned above, call FINRA Business and Technology Support Services at 1-800-321-6273.

To Trust the OATS Certificate Using Outlook Express

OATS Email Certificate Renewal Instructions

1. In the Outlook Express Inbox, select the OATS reply message.
2. Double-click the message to open it. If you see **Security: Digitally signed and verified** underneath the Subject line of the reply email, the Certificate has been automatically trusted and you can add the Certificate to your email address book. To complete this, see 'To Add Certificate to the Address Book' later in this chapter. If the body of the message indicates there are security problems with the Certificate, as seen in Figure 1, proceed with step 3.

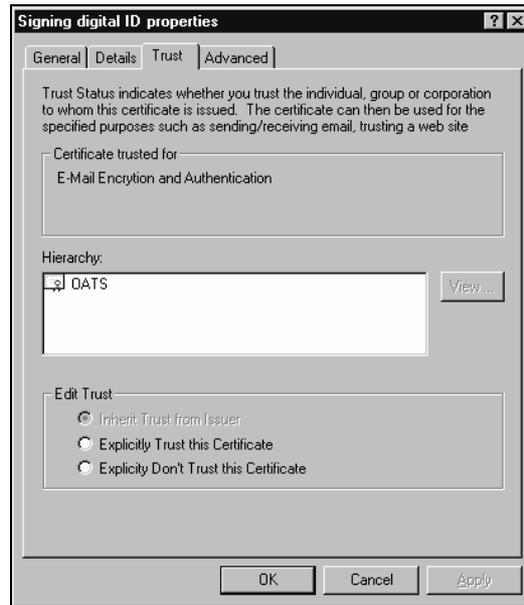
Figure 1. OATS Certificate Response, Digital ID Not Trusted



3. Click **Edit Trust**. The **Signing digital ID properties** dialog box appears (see Figure 2).

Figure 2. Signing Digital ID Properties Dialog Box

OATS Email Certificate Renewal Instructions



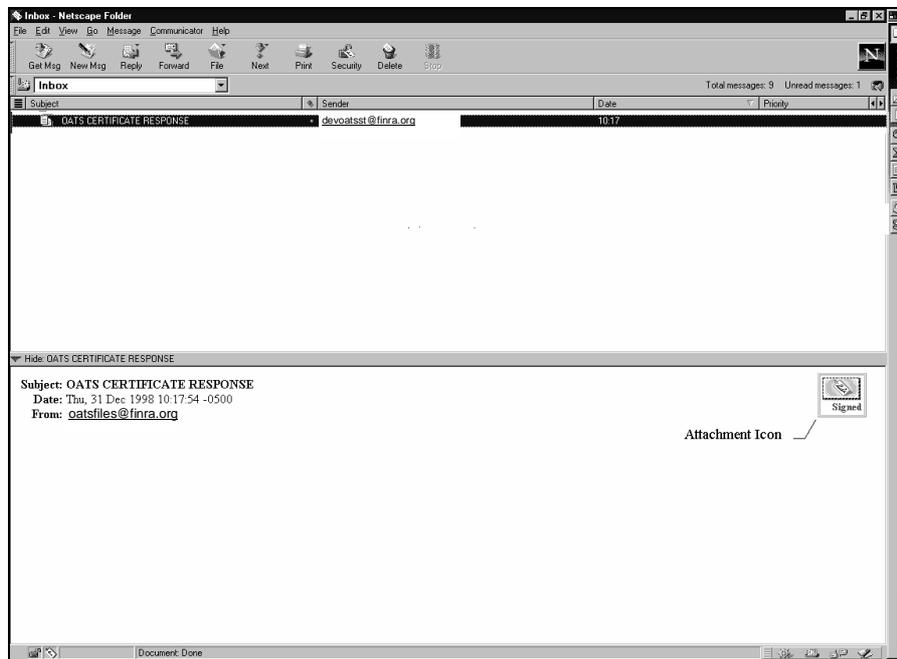
4. Select the **Explicitly Trust this Certificate** option.
5. Click .
6. Click .

To Trust the OATS Certificate Using Netscape Messenger

OATS Email Certificate Renewal Instructions

1. In the Netscape Messenger Inbox, select the OATS reply message.

Figure 3. Netscape Messenger Inbox



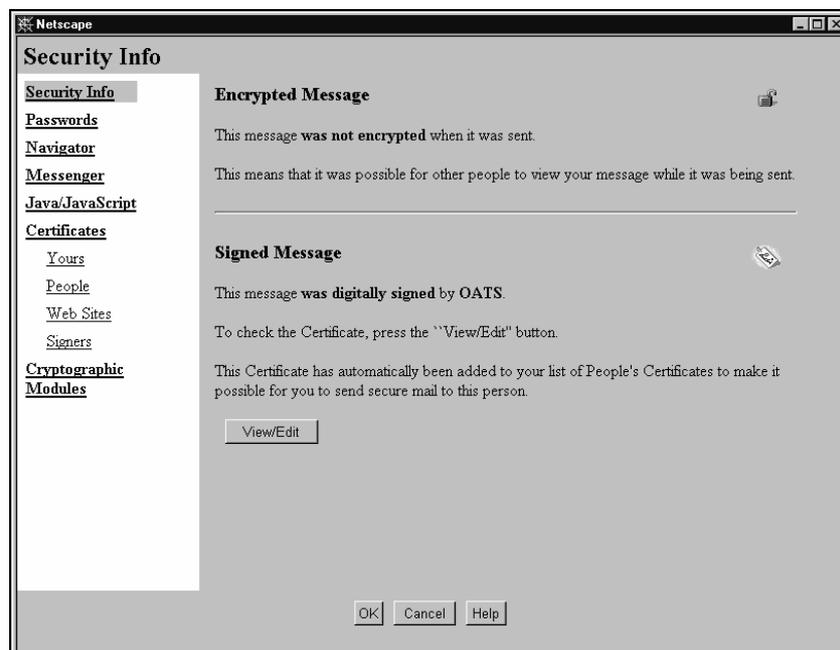
2. Without opening the message, click the attachment icon in the lower half of the Inbox. If the text on the icon reads "Signed" (see Figure 3), the Certificate is already trusted, and you do not need to continue with this procedure. If the text on the icon reads, "Invalid Signature," continue with this procedure to trust the Certificate. The **Security Info** dialog box appears (see Figure 4).



Tips:

- If you cannot see the attachment icon in the Inbox, from the **View** menu, click **Show** and then **Message**. The lower half of the Inbox appears, displaying the OATS Certificate attachment.
 - If the OATS Certificate does not accompany the reply message, this may indicate that your server software is not accepting signed mail (this is often the default setting). See your network administrator to have the option set to receive signed mail so that you can exchange order data with OATS. For more details, contact FINRA Business and Technology Support Services.
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Figure 4. Security Info Dialog Box



3. Click View/Edit. **The View/Edit A Personal Certificate** dialog box appears. Scroll down to see the whole dialog box (see Figure 5).

Figure 5. View/Edit A Personal Certificate Dialog Box

OATS Email Certificate Renewal Instructions

This Certificate belongs to: OATS oatsfiles@finra.org FINRA US Serial Number: 00 This Certificate is valid from Wed Dec 09, 1998 to Fri Apr 30, 1999 Certificate Fingerprint: A6:D7:24:C2:76:96:23:5A:48:D2:06:A4:4B:AE:0F:6A	This Certificate was issued by: OATS oatsfiles@finra.org FINRA US
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This email user's certificate does not have a trusted issuer.
You may decide to directly trust this certificate to permit the exchange of signed and encrypted e-mail with this user.

To be safe, before deciding to trust this certificate, you should contact the e-mail user and verify that the certificate fingerprint listed above is the same as the one he or she has.

Do not trust this certificate.
 Trust this certificate even though it does not have a trusted issuer.

4. Click **Trust this certificate even though it does not have a trusted issuer.** The **Security Info** dialog box appears.

5. Click .

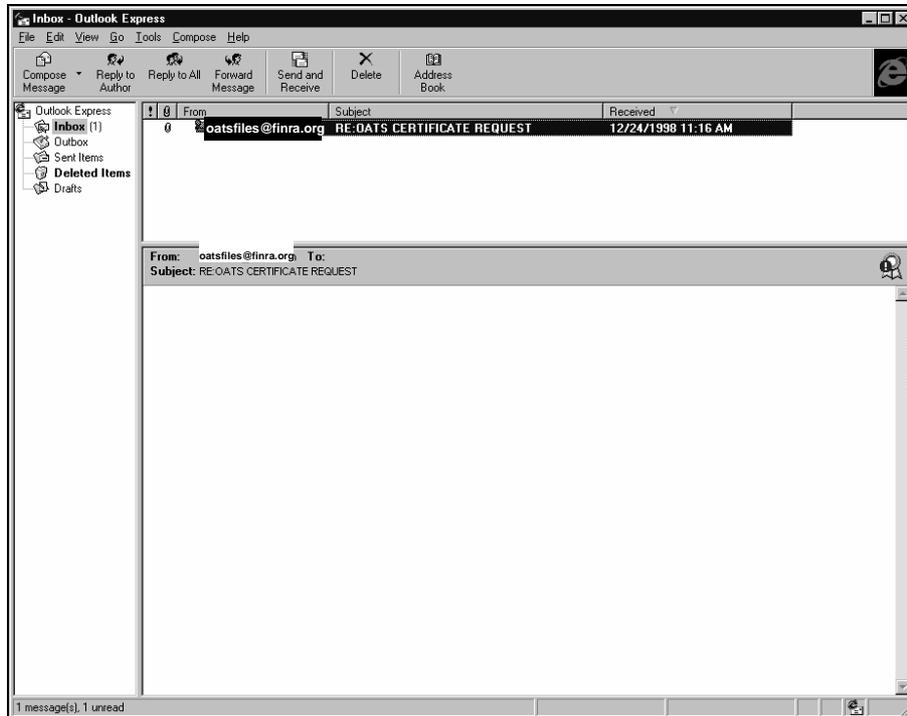
To Add the OATS Certificate to the Address Book

The first procedure applies only to Outlook Express 5.0 (which accompanies Internet Explorer 4.0, version 4.72), while the second procedure applies only to Netscape Messenger 4.72. The steps involved in adding the OATS Certificate to the mail client's Address Book may vary for other mail clients and versions. For assistance in using versions other than those mentioned above, call FINRA Business and Technology Support Services at 1-800-321-6273.

To Add the OATS Certificate to the Address Book Using Outlook Express

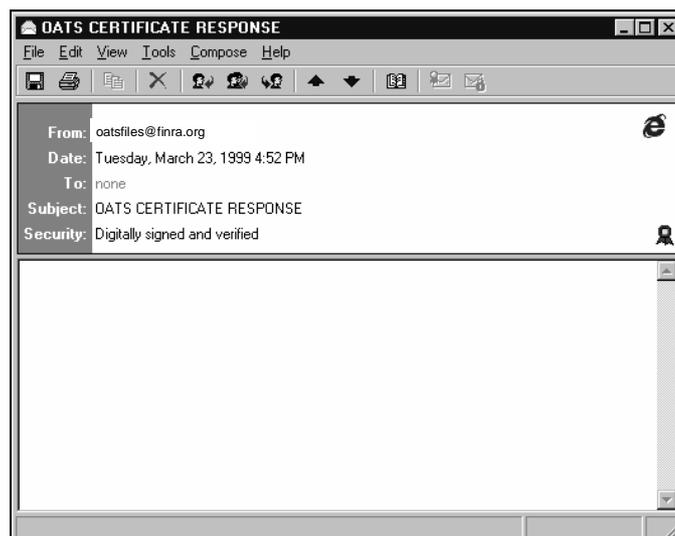
1. In the Outlook Express Inbox, select the OATS reply message.

Figure 6. Outlook Express Inbox



2. Double-click the message to open it. If the **Security** box in the header does not read "Digitally signed and verified" as seen in Figure 7, you must trust the Certificate. See "To Trust the OATS Certificate," as discussed earlier in this chapter.

Figure 7. OATS Certificate Response Message



3. Place your cursor in the **From** box, and then right-click. A pop-up menu appears.

4. From the pop-up menu, select **Add to Address Book**. The **Properties** window for the address in the **From** box appears.
5. Click  to add the OATS address and Certificate to your Address Book. The Outlook Express Inbox appears.

To Add the OATS Certificate to the Address Book Using Netscape Messenger

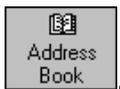
Upon receipt of an email from OATS, Netscape Messenger automatically stores the OATS Certificate in its Address Book. However, it may still be necessary to trust the OATS Certificate. See “To Trust the OATS Certificate,” as discussed earlier in this chapter.

To Refresh the OATS Certificate

The OATS Certificate must be refreshed annually. Before requesting a new Certificate from OATS, use the following procedure to delete the previous year’s Certificate.

The first procedure applies only to Outlook Express 5.0 (which accompanies Internet Explorer 4.0, version 4.72), while the second procedure applies only to Netscape Messenger 4.72. The steps involved in refreshing the OATS Certificate may vary for other mail clients and versions. Refer to “Managing the OATS Certificate” in this chapter, for assistance in refreshing the OATS Certificate and transmitting a FORE file via email. For assistance in using versions other than those mentioned above, call FINRA Business and Technology Support Services at 1-800-321-6273.

To Refresh the OATS Certificate Using Outlook Express

1. From the Outlook Express Inbox, click . The **Address Book** window appears.
2. Click the OATS address entry.
3. Click  or press the **Delete** key on your keyboard. A confirmation message appears.
4. Click **Yes** to delete the OATS Certificate.
5. Request a new OATS Certificate.
6. Trust the new OATS Certificate.
7. Add the new OATS Certificate to the Address Book.

To Refresh the OATS Certificate Using Netscape Messenger

OATS Email Certificate Renewal Instructions

1. Click . The **Security Info** window appears.
2. Click the **People** link. All certificates that are loaded on your computer appear.
3. Select the OATS Certificate.

4. Click  or press the **Delete** key on your keyboard. A confirmation message appears.
5. Click **Yes** to delete the OATS Certificate.
6. Request a new OATS Certificate.
7. Trust the new OATS Certificate.
8. Add the new OATS Certificate to the Address Book.

To Transmit a FORE Via Email

The first procedure applies only to Outlook Express 5.0 (which accompanies Internet Explorer 4.0, version 4.72), while the second procedure applies only to Netscape Messenger 4.72. The steps involved in transmitting a FORE via email may vary for other mail clients and versions. Refer to "Managing the OATS Certificate" in this chapter, for assistance in transmitting a FORE file via email. For assistance in using versions other than those mentioned above, call FINRA Business and Technology Support Services at 1-800-321-6273.

To Transmit a FORE File Via Email Using Outlook Express

OATS Email Certificate Renewal Instructions

1. Build a FORE file (refer to the *OATS Reporting Technical Specifications* for layout and format).
2. Click . The **New Message** dialog box appears.
3. In the **To** box, type **testoatsfiles@finra.org** to access the test environment or **oatsfiles@finra.org** to access the production environment. The **Subject** box may be left blank (OATS ignores subject text).
4. Click . The **Attachment** dialog box appears.
5. Select your FORE file from the appropriate folder, and then click **Attach**.
6. On the toolbar, click  to encrypt the message and  to digitally sign the message.
7. Click . OATS will reply with a status message called *NameofFOREFile Status Report* within one hour. If you do not receive the reply within one hour, perform the following checks:
 - a. Confirm that you typed the correct address and subject text in your email message; if so, you may be experiencing a delay in receiving Internet mail. Proceed to next step.
 - b. Check for FORE status on the OATS Web Interface (for procedure, see **Error! Reference source not found.**“**Error! Reference source not found.**”).
 - c. If you still have not received a response from OATS, contact FINRA Business and Technology Support Services.

To Transmit a FORE Via Email Using Netscape Messenger

OATS Email Certificate Renewal Instructions

1. Build a FORE file (refer to the *OATS Reporting Technical Specifications* for layout and format).



2. Click **New Msg**. The **Composition** dialog box appears.



3. Click **Address** to display the **Address** tab. In the **To** box, type the appropriate email address for the test or production environment. The **Subject** box may be left blank (OATS ignores subject text).



4. Click **Attach**, and then from the pop-up menu, click **File**. The **Enter file to attach** dialog box appears.

5. Select your FORE file from the appropriate folder, and then click **Open**.



6. Click **Message Sending Options** to display the **Message Sending Options** tab.

7. Click the **Encrypted** checkbox. Optionally, click the **Signed** checkbox.



8. Click **Send**. OATS will reply with a FORE status message called *NameofFOREFile Status Report* within one hour. If you do not receive the reply within one hour, perform the following checks:
 - a. Confirm that you typed the correct address and subject text in your email message; if so, you may be experiencing a delay in receiving Internet mail. Proceed to next step.
 - b. Check for FORE status on the OATS Web Interface.
 - c. If you still have not received a response from OATS, contact FINRA Business and Technology Support Services.



Notes:

- You must use a unique Firm FORE ID for each FORE submission within a single OATS Reporting Day. Any FORE submitted within a day that has a duplicate Firm FORE ID will be rejected as a duplicate file.
 - To avoid overwriting the corresponding FORE status files, use a unique external filename for each FORE submission within one calendar month.
 - An OSO that transmits files for several other firms must submit a separate FORE for each firm. Each file must have a Firm FORE ID that is unique within the OATS Reporting Day.
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