



## OATS Registration and User Entitlement Guide

The OATS Registration and Entitlement Guide provides the following information:

- **OATS Registration** – The process and documentation required for a firm or Service Provider to gain access to the OATS Application.
- **OATS Users** – The process and documentation required for OATS Account Administrators to create users in OATS.
- **Manage Accounts** – The process OATS users follow to manage their own account.

This User Guide is a companion document to the following OATS Resources:

- **OATS Reporting Technical Specifications**, [www.finra.org/oatsspecifications](http://www.finra.org/oatsspecifications). This document provides technical information related to OATS Reporting, including order reporting responsibilities, ROE and FORE layout, and descriptions of each order report.
- **OATS Web Interface and User Guide**, located at [www.finra.org/oats/webuserguide](http://www.finra.org/oats/webuserguide). This document provides an overview of the OATS Web Interface. It describes the functionality and steps used to navigate, view, and take action on OATS data and feedback.
- **OATS Frequently Asked Questions**, located at [www.finra.org/oatsfaqs](http://www.finra.org/oatsfaqs).
- **OATS Data Dictionary**, [www.finra.org/oats/datadictionary](http://www.finra.org/oats/datadictionary). This resource provides a description of all data and feedback on the OATS Web Interface, including OATS fields definitions, allowable values, and conditions that make fields mandatory.

If you have a problem or question and cannot find the solution in the OATS Web Interface User Guide or in the above mentioned OATS Resources, please contact FINRA Business and Technology Support Services. Technology support is available from 8:00 a.m. Monday to 8:00 a.m. Saturday, Eastern Time. Business support is available Monday through Friday, 8:00 a.m. to 6:00 p.m., Eastern Time.

	<b>Technical Support</b>	<b>Business Support</b>
Telephone:	800-321-6273	800-321-6273
Fax:	240-386-6499	240-386-4841
Email:	<a href="mailto:supportservices@finra.org">supportservices@finra.org</a>	<a href="mailto:supportservices@finra.org">supportservices@finra.org</a>
WWW:	<a href="http://www.finra.org">http://www.finra.org</a>	<a href="http://www.finra.org">http://www.finra.org</a>

To get more information about OATS, visit the OATS Web Pages at <http://www.finra.org/oats>.

## Chapter 1 OATS Registration

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All FINRA, NASDAQ, and NASDAQ BX members that meet the definition of a Reporting Member pursuant to FINRA Rule 7410 and receive and/or handle orders for OATS reportable securities must register for the Order Audit Trail System<sup>SM</sup> (OATS<sup>SM</sup>). Non-member entities acting as a third party to transmit OATS order information on behalf of a member firm must also register for OATS.

FINRA, NASDAQ or NASDAQ BX member firms with an OATS reporting requirement that fail to complete and return the above forms or fail to perform all required registration activities will not be able to report OATS data; failure to report order information is in violation of FINRA Rules 7450 and 7460 which may be considered to be in violation of FINRA Rule 2010.

For additional information about Registration and OATS reporting, refer to FINRA Rules 7400 through 7470 and Notice to Members 98-33, 98-73, and 99-4. Information about OATS is also available via the FINRA Web Site at <http://www.finra.org/oats>.

To register and gain initial access to OATS, the following steps must be completed:

**Step 1: Create a Reporting Mechanism**

Firms transmitting data on their own behalf must prepare a system to report order data to OATS. The [OATS Reporting Technical Specifications](#), [OATS Web Interface User Guide](#) and [OATS Frequently Asked Questions](#) should be used as references to identify the reporting requirements and available submission methods.

Firms contracting with one or more third parties to transmit OATS order data on their behalf must work with the third parties to determine the proper reporting process.

**Step 2: Submit a FINRA Entitlement Agreement (FEA), <http://www.finra.org/fea>**

The FEA entitles firms to FINRA, non-public, controlled access applications. All firms who require access to OATS are required to submit an FEA.

If your firm already has a signed FEA on file with FINRA, this form is not required to gain access to OATS. To determine if your firm has previously submitted an FEA to FINRA, please call 1-800-321-6273.

If no form is on file with FINRA, please mail the completed FEA, with original signature to:

FINRA Entitlement Group  
9509 Key West Avenue Rockville, Maryland 20850

**Step 3: Submit a request to create one or more OATS Account Administrators**

Submit a request for one or more OATS Account Administrators by completing

the **FINRA Account Administrator Entitlement Form (AAEF)**,  
<http://www.finra.org/aaef>

AAEF forms must be completed by an Account Administrator or firm designated signatory. FINRA Member Firms and Service Providers have different forms. Select the appropriate form.

Submit the completed AAEF form to:

FINRA Entitlement Group  
9509 Key West Avenue Rockville, Maryland 20850  
Fax: 240-386-4669

Upon receipt, a FINRA representative will contact the firm and provide the User IDs and initial passwords for all Account Administrator accounts requested.

**Step 4: Create OATS User Accounts**

OATS Account Administrators are responsible for managing all OATS user accounts for their organization. Refer to Chapter 2 of this document to identify all OATS User Roles and the procedure to create additional user accounts.

**Step 5: Identify Testing Guidelines.**

Firms transmitting data for themselves will initially be granted access to the OATS Certification Test (CT) environment only. Any firm that will transmit data for themselves or a third party may not submit data to the OATS PD environment unless it has successfully transmitted to the OATS CT environment.

Firms who will contract with one or more third parties to transmit OATS order data will be granted access to both the OATS Certification Test (CT) and OATS Production (PD) environments immediately.

**Step 6: Establish OATS Reporting Relationships.**

Reporting relationships establish a relationship between a firm and an Order Sending Organization (OSO) for purposes of transmitting and reporting OATS data.

ALL firms must create Reporting Relationships in both the OATS Certification Test (CT) and OATS Production (PD) environments. Refer to Chapter 6 of the [OATS Web Interface User Guide](#) for additional information.)

**Step 7: Update OATS Contact Information using the OATS Web Interface**

Firms must enter contact information for use by OATS technical and regulatory staff to identify the appropriate person(s) to contact concerning a variety of OATS-related topics or issues. Refer to Chapter 6 of the [OATS Web Interface User Guide](#) for additional information.

**Step 8: Report Data to the OATS Production (PD) environment**

## Chapter 2 OATS Users

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OATS Users are provided access to both the Production (PD) and Customer Test (CT) environments with a single user account per role.

There are four user roles in the OATS Application. Each user role has a different level of access in OATS, and three of the four user roles have access to the OATS Web Interface. The OATS user roles include:

### 1. OATS Account Administrator (OSO Administrator)

OSO Administrators have the highest privilege level in OATS. They are responsible for managing all OATS user accounts for their organization. There may be more than one OSO Administrator at an OSO. At least one OSO Administrator will be designated as the primary Account Administrator in the FINRA Entitlement system.

OATS Web Interface privileges for OSO Administrators include:

- Create, View, and Transmit order data
- View and repair rejected ROEs
- View, create and edit Reporting Relationships
- View, create and edit OATS Contacts
- Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence and Match Results
- Create and edit User Preferences

OSO Administrators are considered FINRA Account Administrators and are authorized signers for FINRA Entitlement forms. They also have privileges in FINRA's Entitlement system that allows them to:

- Create, edit, and reset passwords for OSO/Firm User and OSO Read-Only user accounts using the FINRA Entitlement system.
- Request to add new and edit other OSO Administrators and FTP/IFT user accounts to FINRA Entitlement

### 2. OSO/Firm User

OATS Web Interface privileges for OSO/Firm Users include:

- Create, View, and Transmit order data
- View and repair rejected ROEs
- View Reporting Relationships
- View OATS Contacts
- Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence and Match Results
- Create and edit User Preferences

### 3. OSO Read-Only User

OATS privileges for OSO Read-Only Users include:

- View order data
- View rejected ROEs
- Obtain feedback from OATS, including OATS Announcements, Reporting Statistics, Out of Sequence and Matching Statistics
- Create and edit User Preferences

#### 4. **FTP/IFT User**

FTP/IFT Users transmit data to OATS via FTP or IFT. FTP/IFT users are required to login to the FINRA Entitlement system prior to the first use of their account, in order to reset their password and provide other required information. FTP/IFT users do not have access to the OATS Web Interface. If access to the OATS Web Interface is needed, an additional OATS User account must be created.

## **Create or Modify OATS User Accounts**

OSO Administrators are responsible for managing OATS User Accounts for their firm. FINRA considers OSO Administrators as FINRA Account Administrators and authorized signers for FINRA Entitlement forms. They also have privileges in FINRA's Entitlement system allowing them to create user accounts.

### **OSO Administrators**

To create or modify an **OSO Administrator**, an **OATS Account Administrator Entitlement Form (AAEF)** must be completed and signed by a FINRA Account Administrator or other firm designated signatory.

1. Navigate to the **Account Administrator Entitlement Forms (AAEF)** page:  
<http://www.finra.org/aaef>
2. Select the appropriate Account Administrator form. Please note that Service Providers and Member Firms have different forms.
3. Submit the completed AAEF form to:  
FINRA Entitlement Group  
9509 Key West Avenue Rockville, Maryland 20850  
Fax: 240-386-4669
4. Upon receipt, a member of the FINRA Entitlement Group will process the request and will contact the user with the user account information.

### **FTP/IFT Users**

To create or modify an **FTP/IFT User**, an **OATS Account Administrator Entitlement Form (AAEF)** must be completed and signed by a FINRA Account Administrator or other firm designated signatory.

1. Navigate to the **Account Administrator Entitlement Forms (AAEF)** page:  
<http://www.finra.org/aaef>
2. Select the appropriate FTP/IFT User form. Please note that Service Providers and Member Firms have different forms.
3. Submit the completed AAEF form to:

FINRA Entitlement Group  
9509 Key West Avenue Rockville, Maryland 20850  
Fax: 240-386-4669

4. Upon receipt, a member of the FINRA Entitlement Group will process the request and will contact the user with the user account information.

FTP/IFT accounts, once established, do not expire. To establish the FTP/IFT user account, the user must login to the FINRA Entitlement system, <https://accountmgmt.finra.org/>, to reset their temporary password and enter other important information.



**Important!** FTP/IFT users are required to login to the FINRA Entitlement System, <https://accountmgmt.finra.org/>, prior to transmitting data to OATS for the first time, to establish the account and ensure it does not expire.

## OSO/Firm and OSO Read-Only Users

OSO Administrators are responsible for creating or modifying OSO/Firm or OSO Read-Only users for their firm.

1. Navigate to the **User Administration** page of the FINRA Firm Gateway site.

FINRA.org | My Account | Feedback | Contact Us | Log Out |  
User: Laura Shoemaker (Ishoemaker) Organization: (99999999)

Home | Forms & Filings | OATS | User Administration

Account Management  
Find Account  
Create New Account

Account Management: Start New Search

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

User ID:   
Last Name:   
First Name:   
Middle Name:   
Email:   
Department:   
OSO:   
OATS Application:   
FTP/IFT Privileges:   
Note: You can use asterisks as wildcards. For example, "J+o+" matches "Jason", "John", and "Julio".

Search

Printer Friendly



**Tip:** It is recommended prior to adding a new user, that a search is conducted for the user's name to ensure that an account does not already exist for the user.

2. Enter the **Last Name** and other known fields to search for the user. Click **Search**. The search results will appear.
3. If the user appears in the search results, click on the user ID and then click on the appropriate link to edit or modify the account as necessary.

**Account Management**

- ▶ [Find Account](#)
  - [Change Password](#)
  - [Change Account Status](#)
  - [Edit Account](#)
  - [Delete Account](#)
  - [Clone Account](#)
  - [Return to Search Results](#)
- [Create New Account](#)

- If the user does not appear in the search results, click on the **Create New Account** link in the upper left of the screen.

### Account Management: Create New Account

To create a new account, fill in the following form, then click "Save".

Note: (\*) indicates required fields.

#### User Profile

User ID (\*):  [\(Generate a new User ID from First and Last Name\)](#)

Prefix:

First Name (\*):

Middle Name:

Last Name (\*):

Suffix:

Title:

Department:

Primary Email (\*):

Re-enter Primary Email (\*):

Secondary Email:

Primary Phone (\*):

Secondary Phone:

FAX:

#### Account Profile

Initial Account Status:

Password (\*):  [\(Generate a password\)](#)



**Note:** Field names which end with an (\*) indicate a required field.

- Enter the new user's **First Name** and **Last Name** in the appropriate boxes in the **User Profile** Section.

6. Enter a **User ID** or click on the **generate a new User ID** link next to the **User ID** box. This will automatically generate a new User ID.
7. Enter the **Primary Email, Re-enter Primary Email, Primary Phone** and other known information in the **User Profile** section.
8. Verify that the **Initial Account Status** is set to Activate in the **Account Profile** section.
9. Enter a password or click on the **generate a password link** next to the Password box in the Account Profile section. This will automatically generate a new temporary password.
10. Scroll down to the **FINRA Information and Application Entitlements** sections.

### FINRA Information

Legacy User ID:

### Application Entitlements

Use: The ability to use the functionality as defined by the privilege.

<b>OATS Application:</b>	<input checked="" type="radio"/> None <input type="radio"/> Use
Primary Account Admin:	<input checked="" type="radio"/> None
OSO User:	<input checked="" type="radio"/> None <input type="radio"/> Use
OSO Read Only:	<input checked="" type="radio"/> None <input type="radio"/> Use
<b>FTP/IFT Privileges:</b>	<input checked="" type="radio"/> None
<b>OATS FTP</b>	
Send Files Only:	<input checked="" type="radio"/> None
Send and Receive Files:	<input checked="" type="radio"/> None

11. In the **Application Entitlements** Section, in the **OATS Application** sub-section, do the following:

**To add an OSO/Firm User:**

- a. Select **use** from the drop down box next to the **OATS Application** title
- b. Select **use** from the drop down box next to the **OSO/Firm** User.

**To add an OSO Read-Only User:**

- a. Select **use** from the drop down box next to the **OATS Application** title
- b. Select **use** from the drop down box next to the **OSO Read-Only** User.

12. Click the **Save** button to add the new user or the **Cancel** button to cancel the new user request.

13. If Save was clicked, the **Account Management: Account Saved** window will appear, which includes the account information and the userid and password notification message.

**Account Management: Account Saved**

The account has been saved for "Reba Snow (rsnow)".

*You can copy-and-paste password notification data from the following bar:*

User Profile	
User ID:	rsnow
Prefix:	
First Name:	Reba
Middle Name:	
Last Name:	Snow
Suffix:	
Title:	
Primary Email:	rsnow@aol.com
Secondary Email:	
Primary Phone:	301-555-1212
Secondary Phone:	
FAX:	
Account Profile	
Account Status:	Active

14. Highlight the gray bar, which appears just below the text "You can copy-and-paste password notification data from the following bar:"

The userid and password notification data will be presented and available for copying and pasting into a resource which can be used to notify the user of their userid and initial password.

**Account Management: Account Saved**

The account has been saved for "Reba Snow (rsnow)".

*You can copy-and-paste password notification data from the following bar:*

rsnow            Snow, Reba            x9e9-c6h4

Within 24 hours, the new User ID and initial password may be used to access the OATS PD and CT applications.

15. Navigate to the **OATS** page to continue working in OATS.



**Note:** New User Accounts will be able to access OATS within 24 hours.

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## Chapter 3 Account Management

OSO Administrators manage the initial access of all firm OSO users into the OATS test and production environments. OSO Administrators may also update and/or reset the passwords for OSO/Firm and OSO Read-Only users.

To identify the list of Account Administrators for your firm:

1. Click on the **My Account** link, located in the upper right of the screen.
2. Click on the **Applications & Admins** link in the **My Account** menu. The presented list identifies all of the applications to which you are entitled and the Account Administrators for those applications.

**My Account**

- [Account Information](#)
- [Change Password](#)
- [Applications & Admins](#)

 Printer Friendly

### My Account: Applications & Administrators

The following table lists all FINRA applications available to your organization:

✔ indicates applications for which you currently have permissions  
✘ indicates applications for which you do not have permissions

This view is sorted by application title. To sort by administrator name, [please click here](#).

Please contact the listed Account Administrator if you wish to change your permission status for any of these applications.

Application	Description	Account Administrator - Phone (click for email)
✔	OATS Application <small>The Order Audit Trail System (OATS) is part of an integrated audit trail of order, quote and trade information for NASDAQ-listed equity securities. This audit trail system, developed by FINRA in response to the August 1996 settlement with the Securities and Exchange Commission (SEC), is used in FINRA's surveillance activities.</small>	<a href="#">Bas_G - 1</a> <a href="#">Dav_Nigh</a> 33 <a href="#">Fwe_B - 1</a> <a href="#">Junk_Jur</a> 631 <a href="#">Junk_Jur</a> 33 <a href="#">Junk_Jur</a> 33 <a href="#">Oatsadm</a> -6430 <a href="#">Oatslea_</a> 430 <a href="#">Shoema</a> 403886205 <a href="#">Sudhir_F</a> 3153 <a href="#">Test_C11</a> <a href="#">Tsscuse</a> NASD <a href="#">User_Du</a> 36153
✘	Report Center <small>The Report Center is a central online location for FINRA member firms to access reports and analysis designed to support compliance activities. The information available through the Report Center aids in the early detection of and corrective action for potential regulatory problems.</small>	<a href="#">User_Fa</a> 8-8207

Users may also manage their own passwords. FINRA expires passwords every 120 days, except for FTP/IFT user passwords, which do not expire. Upon expiration of your password, you will be prompted to change your password using FINRA Entitlement.

### To Edit or Change Your Password

1. Click on the **My Account** link, located in the upper right of the screen.

FINRA.org | [My Account](#) | [Feedback](#) | [Contact Us](#) | [Log Out](#) |  
 User: Laura Shoemaker (lshoemaker) Organization: (99999999)

**FINRA**  
 Firm Gateway

Home | Forms & Filings | OATS | User Administration

**My Account**  
[Account Information](#)  
[Change Password](#)  
[Applications & Admins](#)

Printer Friendly

### My Account: Account Information

Please complete the following form, then click "Save".

Note: (\*) indicates required fields.

Prefix:  
 First Name (\*): Laura  
 Middle Name:  
 Last Name (\*): Shoemaker  
 Suffix:  
 Title:  
 Primary Email (\*): laura.shoemaker@finra.org  
 Secondary Email:  
 Primary Phone (\*):   
 Secondary Phone:   
 FAX:   
 Security Challenge (\*):    
 Security Response (\*):   
 Organization ID: 99999999  
 Department:  
 TRACE MPIDs:  
 Equity MPIDs:  
 MSRBs:  
 OSO: 99999999  
 Individual CRD Number:  
 Legacy User ID:  
 OATS Legacy User ID (PD): shoemakl  
 OATS Legacy User ID (CT):

- To edit Contact or Security Information, update the editable fields presented on the screen and click **Save**.
- To change the password, click **Change Password**.

## My Account: Change Password

1. Enter your current password for security.
2. Enter the new password you would like to use.
3. Enter the new password again to confirm.
4. Click continue.

Passwords must meet the following criteria:

- Must contain at least eight characters
- Cannot contain your user ID
- Cannot contain your first, middle, or last name
- Must contain characters from at least three of the following four categories:
  - Uppercase characters (A-Z)
  - Lowercase characters (a-z)
  - Numeric characters (0-9)
  - Special characters (!, \$, #, etc.)
  - Cannot contain the character "\*", "&", "%", or " " (asterisk, ampersand, percent, or space)

Note: (\*) indicates required fields.

Current password (\*):

New password (\*):

Re-type new password to confirm (\*):

4. In the **Current Password** box, type your current password.
5. In the **New Password** box, type your new password. Passwords must be at least eight characters and lowercase.
6. In the **Re-type New Password** box, type your new password again.
7. Click  to submit your Password Reset request. The **Password Changed** confirmation message will appear.

## My Account: Password Changed

Your password has been changed. To continue working, please select an option from the menu at the left.

8. Click on the **OATS Production** or the **OATS Certification Test** link on the left side of the screen to continue working in OATS.



**Note:** OATS passwords must meet the following criteria:

1. Contain at least eight characters
2. Cannot contain your user ID
3. Cannot contain your first, middle, or last name
4. Contain characters from at least three of the following categories:
  - Uppercase characters (A-Z)
  - Lowercase characters (a-z)
  - Numeric characters (0-9)
  - Special characters (!, \$, #, etc.)
  - Cannot contain the character "\*", "&", "^", or "%" (asterisk, ampersand, caret or percent)

FINRA expires passwords every 120 days, except for FTP/IFT user passwords, which do not expire.

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