# OATS Registration and User Entitlement Guide

The OATS Registration and Entitlement Guide  provides the following information:

- o **OATS Registration** – The process and documentation required for a firm or Service Provider to gain access to the OATS Application.

- o **OATS Users** – The process and documentation required for OATS Account Admininstrators to create users in OATS.

- o **Manage Accounts** – The process  OATS users follow to manage their own account.

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

- o **OATS Reporting Technical Specifications,** [www.finra.org/oatsspecifications](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.

- o **OATS Web Interface and User Guide,** located at [www.finra.org/oats/webuserguide](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.

- o **OATS Frequently Asked Questions,** located at [www.finra.org/oatsfaqs](www.finra.org/oatsfaqs).

- o **OATS Data Dictionary**, [www.finra.org/oats/datadictionary](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.

|            | **Technical Support**          | **Business Support**           |
|------------|--------------------------------|--------------------------------|
| Telephone: | 800-321-6273                   | 800-321-6273                   |
| Fax:       | 240-386-6499                   | 240-386-4841                   |
| Email:     | supportservices@finra.org      | supportservices@finra.org      |
| WWW:       | http://www.finra.org           | http://www.finra.org           |

To get more information about OATS, visit the OATS Web Pages at [http://www.finra.org/oats](http://www.finra.org/oats).

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# Chapter 1 OATS Registration

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:** **For FINRA Member Firms**

**Submit a request to create Super Account Administrator (SAA)**

The FINRA Entitlement Program requires that each organization designate a Super Account Administrator (SAA), who will have the authority to create, modify and delete account administrator and user accounts for the FINRA applications used by the organization. In addition, the SAA can manage his or her own access to those FINRA applications. The FINRA Member Firms must submit a request for **Super Account Administrator (SAA)** by completing the form **Designating/Updating a Super Account Administrator (SAA),** provided in the below link: http://www.finra.org/web/groups/industry/@ip/@comp/documents/industry/p121110.pdf

Submit the completed SAA form to:

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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.

### Create or Modify OATS Account Administrator

The Super Account Adminstrator (SAA) is responsible for creating and managing the OATS Account Administrator for their firm. Refer to Chapter-3 for steps to create an OATS Account Administrator.

## For Service Providers

### Submit FINRA Entitlement Agreement (FEA) and a request to create OATS Account Administrator

Service Providers who require access to OATS must submit an FEA provided in the below link:
http://www.finra.org/web/groups/industry/@ip/@comp/@ent/documents/industry/p122955.pdf.

### Create or Modify OATS Account Administrator

Service Providers must submit a request for **OATS Account Administrator** by completing the form **FINRA Account Administrator Entitlement Form (AAEF),** provided in the below link:
http://www.finra.org/web/groups/industry/@ip/@comp/@ent/documents/industry/p015933.pdf

The FEA entitles Service Providers to FINRA, non-public, controlled access applications.  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 1-800-321-6273If 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
Fax: 240-386-4669

☐ **Step 3:**  **Create OATS User Accounts**

SAA's are responsible for creating OATS Account Admininstrator and the OATS Account Admininstrator is responsible for creating and  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 4:**  **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 5:** **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 6**: **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 7**: **Report Data to the OATS Production (PD) environment**

# Chapter 2 OATS Users and Privileges

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 (OATS Administrator)

OATS 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 OATS Administrator at an OSO.  At least one OATS Administrator will be designated as the primary Account Administrator in the FINRA Entitlement system.

OATS Web Interface privileges for OATS Administrators include:

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

OATS 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:

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

## 2. OSO/Firm User

OATS  Web Interface privileges for OSO/Firm Users include:

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

## 3. OSO Read-Only User

OATS privileges for OSO Read-Only Users include:

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

## 4. SFTP/FTP/IFT User

SFTP/FTP/IFT Users transmit data to OATS via FTP or IFT. SFTP/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. SFTP/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 SFTP/FTP/IFT Users

To create or modify an **SFTP/FTP/IFT User, OATS Account Administrator** must complete the SFTP/FTP/IFT Entitlement Form below and submit it to the FINRA Entitlement Group. FINRA maintains account administration rights to create SFTP/FTP/IFT user accounts.

1. Navigate to the SFTP/FTP/IFT **Entitlement Forms** page:
   http://www.finra.org/web/groups/industry/@ip/@comp/documents/industry/p121159.pdf

2. Select the appropriate SFTP/FTP/IFT User form. Please note that Service Providers and Member Firms have different forms.

3. Remember to designate an individual at your organization to receive files via SFTP/FTP/IFT by creating a recipient account at the below option.  Only one recipient account is allowed per organization.

**Entitlement Privileges**

*Instructions: As the FTP/IFT User for the OATS application, mark the Entitlement privileges that your Service Provider requires you to have to perform your job function(s). Marked privileges will be set to "User". Any unmarked privileges will not be set.*

| | Entitlement Privileges for the Order Audit Trail System (OATS) FTP/IFT<br>Certification Test Environment (CT)<br>Production Environment (PD)<br>For – Service Providers | |
|---|---|---|
| ☐ | Send Files Only | Provides the capability to <u>submit</u> order data via FTP/IFT. |
| ☐ | Send and Receive Files* | Provides the capability to <u>submit</u> order data via FTP/IFT and <u>receive</u> Reportable Order Event (ROE) rejection reports. |

*\* Only one (1) designated FTP/IFT User per Organization may receive rejection reports.*

4.  Submit the completed Entitlement form to:

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

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

SFTP/FTP/IFT accounts, once established, do not expire.

> **Important!** SFTP/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.

## Create or Modify OATS Account Administrator by SAA

The Super Account Administrator has the ability to create and edit accounts for Account Administrators.

**Step 1:**  Access the Account Management site by logging into the following URL:
https://accountmgmt.finra.org/ewsadmin2/index.jsp

**Step 2:**  Enter the User ID and password in the **User ID** and **Password** fields, read the FINRA Terms and Conditions and click **I Agree**.

> **Note:** Clicking **I Disagree** prevents you from accessing the application.

**Result:** The **Account Management: Home** screen opens.



**Step 3:** Click **Account Management** from the screen or navigation panel to search for an existing account or to create a new account.

**Result:** The **Start New Search** screen appears. It is recommended you search the system first to verify that the individual does not already have an account with your organization.

**Step 4:** Click **Create New Account** from the navigation panel.

**Result:** The **Create New Account** screen displays.



**Note:** All fields marked with an asterisk (*) are required to create a new user account. To systematically generate a User ID, enter the user"s first and last names into the appropriate fields and click the Generate a new User ID hyperlink. To systematically generate a password, click the Generate a password hyperlink.

**Note:** A new account automatically defaults to an Initial Account Status of Active, meaning the user can access an application as soon as they are provided with the User ID and Password. If the status is changed to Disable, the user cannot access the application until you activate it. The Legacy User ID is a read-only field used by FINRA Account Administrators.

**Options:**
Select All - Shortcut if all "User" privileges are needed for the application.
Unselect All - Shortcut if no privileges are needed for the application.
Select All Admin - Shortcut if all "Administrator" privileges are needed for the application.

**Roles:**
User - The ability to use the application or function.
Administrator - The ability to see and assign a privilege to other users.
Privilege Viewer - Used only by FINRA Account Administrators.

## Application Privileges

User: The ability to use the functionality as defined by the privilege.
Administrator: The ability to assign the privilege to other users and view the privilege assigned to other users.

| | User | Administrator | Privilege Viewer |
|---|---|---|---|
| **Account Management:** Select All \| Unselect All | ☑ User | | |
| Edit Account Data: | ☑ User | | |
| Manage Accounts: | ☑ User | | |
| Change Password: | ☑ User | | |
| *TRACE MPIDs* | | | |
| View: | ☑ User | | |
| Update: | ☑ User | | |
| *Equity MPIDs* | | | |
| View: | ☑ User | | |
| Update: | ☑ User | | |
| *MSRB Numbers* | | | |
| View: | ☑ User | | |
| Update: | ☑ User | | |
| *OSO* | | | |
| View: | ☑ User | | |
| **Next Gen New Member Application:** Select All \| Unselect All \| Select All Admin | ☐ User | ☐ Administrator | ☐ Privilege Viewer |
| Read: | ☐ User | ☐ Administrator | |
| Submit: | ☐ User | ☐ Administrator | |
| **New Member Application:** Select All \| Unselect All \| Select All Admin | ☐ User | ☐ Administrator | |
| Submit: | ☐ User | ☐ Administrator | |
| **CRD:** Select All \| Unselect All \| Select All Admin | ☑ User | ☑ Administrator | ☐ Privilege Viewer |
| Organization: | ☑ User | ☑ Administrator | |
| View Organization Information: | ☑ User | ☑ Administrator | |
| Organization Non-Filing Information: | ☑ User | ☑ Administrator | |
| Maintain Contact (BD Only): | ☑ User | ☑ Administrator | |
| Maintain Firm Notification: | ☑ User | ☑ Administrator | |

**Step 5:** Enter the appropriate information into the fields in the User Profile, Account Profile, FINRA Information, and Application Privileges sections of the Create New Account screen and click the Save button located at the bottom of the screen.

**Result:** The **Create New Account** screen displays.



**Step 6:** Take note of the new User ID and Password, or highlight the bar to copy the User ID and Password, paste it into a document, and provide that information to the user. He/she can now access the application(s).

**Note:** Use the Paste Special command after copying the User ID and password so that the information will be visible. When the new user logs into the application for the first time with the User ID and password you have provided, they will immediately be directed to change his/her password and select a Security Challenge question and enter a Security Response.

**Note:** The date and time the account was created displays in the Account Created on field, and the user ID of the person who created the account displays in the Account Created by field. If the account was created by an FINRA Administrator, it will display "FINRA".

## Account Management: Account Saved

The account has been saved for "John Doe (johndoe)".

You can copy-and-paste password notification data from the following bar:
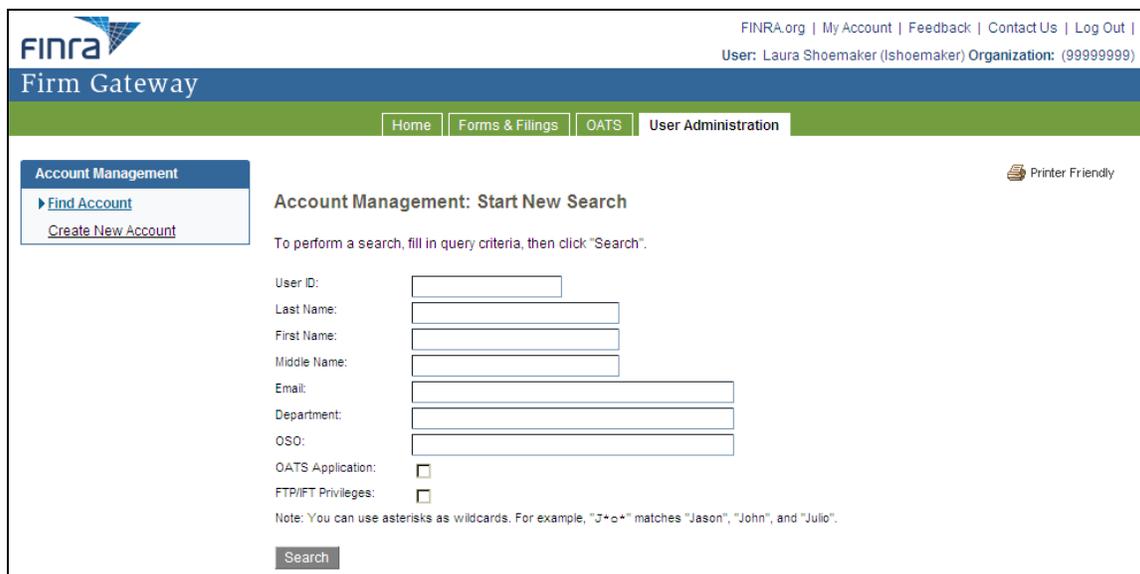
| johndoe | Doe, John | Today123 |
|---------|-----------|----------|

## User Profile

| | |
|---|---|
| User ID: | johndoe |
| Prefix: | |
| First Name: | John |
| Middle Name: | |
| Last Name: | Doe |
| Suffix: | |
| Title: | |
| Department: | |
| Primary Email: | john.doe@securities.com |
| Secondary Email: | |
| Primary Phone: | 240-555-5555 |
| Secondary Phone: | |
| FAX: | |

# Create or Modify OSO/Firm and OSO Read-Only Users

OATS Account 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.



> **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.
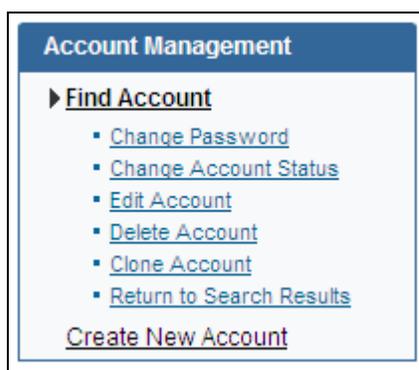


4. If the user does not appear in the search results, click on the **Create New Account** link in the upper left of the screen.

## 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: (none) ▾

First Name (*): [_____]

Middle Name: [_____]

Last Name (*): [_____]

Suffix: (none) ▾

Title: (unknown) ▾

Department: [_____]

Primary Email (*): [_____]

Re-enter Primary Email (*): [_____]

Secondary Email: [_____]

Primary Phone (*): [_____]

Secondary Phone: [_____]

FAX: [_____]

### Account Profile

Initial Account Status: Activate ▾

Password (*): [_____] (Generate a password)

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

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5.  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. |
|---|

| | |
|---|---|
| **OATS Application:** | ⦿ None ◯ Use |
| Primary Account Admin: | ⦿ None |
| OSO User: | ⦿ None ◯ Use |
| OSO Read Only: | ⦿ None ◯ Use |
| **FTP/IFT Privileges:** | ⦿ None |
| *OATS FTP* | |
| Send Files Only: | ⦿ None |
| Send and Receive Files: | ⦿ None |

[ Save ] [ Cancel ]

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.

# Chapter 4 Account Management

OATS Administrators manage the initial access of all firm OSO users into the OATS test and production environments. OATS 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 identifes all of the applications to which you are entitlement and the Account Administrators for those applications.



Users may also manage their own passwords. FINRA expires passwords every 120 days, except for SFTP/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.

2. To edit Contact or Security Information, update the editable fields presented on the screen and click Save.

3. 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 (*): [        ]

[Continue]

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 Continue 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 SFTP/FTP/IFT user passwords, which do not expire.