Financial Industry Regulatory Authority

FINRA Entitlement Program: Account Management for Account Administrators (AAs) & Super Account Administrators (SAAs)

.

This user guide is designed to assist Account Administrators (AAs) and Super Account Administrators (SAAs) in navigating through the Account Management System of the FINRA Entitlement Program.

NOTE: Please see the **FINRA Entitlement Program Super Account Administrator** user guide for functionality that is specific for SAAs.

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Questions for Technical Support? Call the FINRA Gateway Call Center at **301-869-6699** 8 AM through 8 PM, ET, Monday-Friday.

Super Account Administrator & Account Administrator's Roles & Responsibilities

A Super Account Administrator is responsible for the following *:

- Self entitle for their own "User" privileges.
- Create and update accounts for AA's.
- Create and update accounts for users.
- Perform password administration, such as unlocking accounts, and resetting passwords.
- Provide and update privileges (entitlement) for AA's and individual users.
- Disable and/or delete accounts when necessary.
- Delete an account immediately when the individual no longer is with the firm.
- Certify accounts for authorized access on an annual basis.

***Not applicable to certain organizations as designated by FINRA**

An Account Administrator is responsible for the following:

- Create accounts for individuals.
- Perform password administration, such as unlocking accounts, and resetting passwords for individual users.
- Verify accounts periodically for authorized access.
- Provide and update privileges (entitlement) for individual users.
- Disable and/or delete user accounts when necessary.
- Delete an account immediately when the individual is no longer with the organization.

An Account Administrator CANNOT:

- Change or reset another Account Administrator's password.
- Change or setup their own account privileges (entitlement) or another Account Administrator's account.
- Activate or change their own account or another Account Administrator's account.

NOTE: An AA who needs assistance and is with an organization that has an SAA should contact their SAA. An AA who needs assistance and is with an organization that does not have an SAA should contact the FINRA Gateway Call Center.

Password Information

Password Criteria:

- Passwords are case sensitive.
- Passwords must be a minimum of 8 characters.
- Passwords cannot contain any portion of the user's ID, first, middle or last name, or the following characters: ampersand (&), asterisk (*), caret (^) or percent (%).
- Passwords cannot contain any spaces.

NOTE: User IDs and passwords can be systematically generated.

- Passwords must contain at least three of the following:
    1. An uppercase character (A-Z)
    2. A lowercase character (a-z)
    3. A numeric character (0 - 9)
    4. Special characters ($ #@!)

Password Security Information:

- All initial passwords require the user to create a new password with initial log in.
- Passwords are valid for 90 days.
- If the 90 days has elapsed, a user cannot log into Account Management without changing his/her password. The system will prompt the user to enter a new password.
- A user can change his/her password at any time by clicking **Change Password/Change Account Profile** under Admin Tools on the Web CRD and IARD site maps. A user cannot reuse a password used within the last seven password changes.
- Users who forget their password can click on the **Forgot Password?** link on the login screen to request a new password. The user will be prompted to enter their User ID and security response before a new password will be emailed.
- Users who are locked out from entering an incorrect password or security response more than five times should contact their Account Administrator.

How to Access the Account Management Functionality

The Account Management functionality can be accessed several ways:

- FINRA-registered firms can access Account Management via the FINRA Firm Gateway at https://firms.finra.org
  (see pg. 4 for instructions)

- SAAs and AAs can access Account Management directly using URL https://accountmgmt.finra.org/ewsadmin2/index.jsp
  (see pg. 9 for instructions)

- Users can access Account Management via the Account Administration link located within certain applications (i.e. Web CRD and IARD).

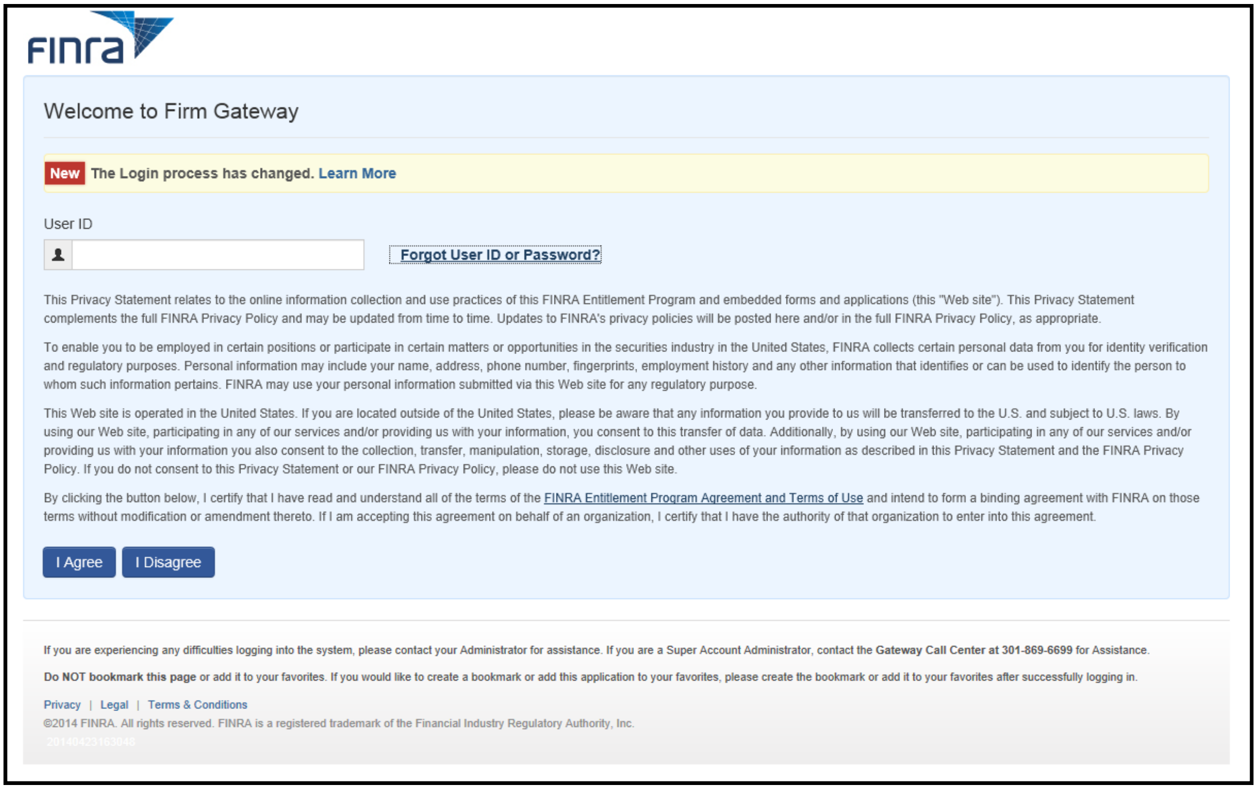
NOTE: This guide will step you through accessing the Account Management functionality via Firm Gateway (used by member firms) and directly accessing it via the Account Management URL.

Accessing Your AA Account using FINRA Firm Gateway (used by member firms)

When you receive your User ID and initial password from the SAA, you must first log into the application, change your password and establish your security information.

Step 1: Access the address for Firm Gateway: https://firms.finra.org

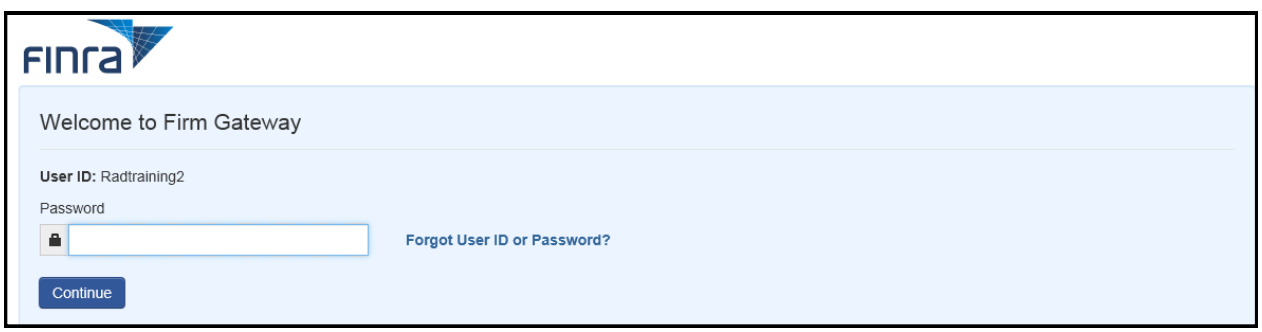
Step 2: Enter your User ID in the **User ID** field, read the FINRA Terms and Conditions and click **I Agree**.



NOTES:

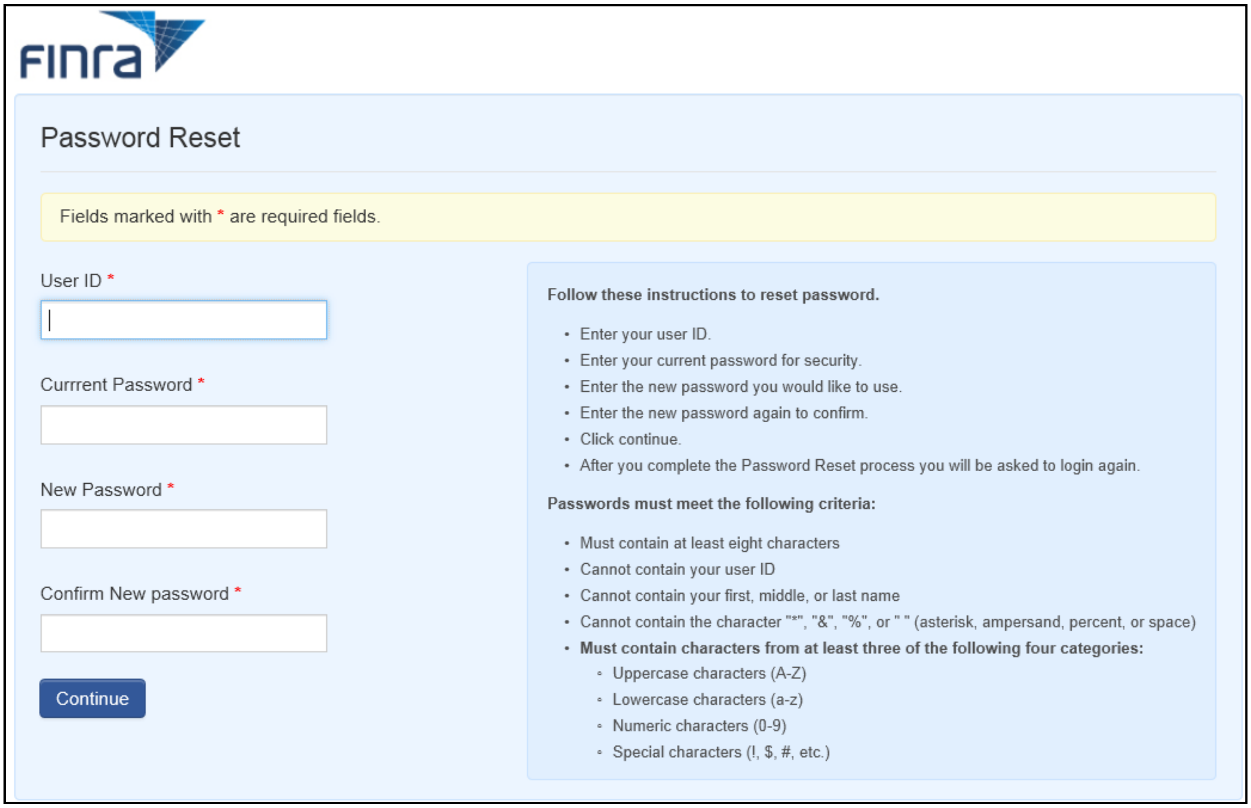
- Clicking **I Disagree** prevents you from accessing the application.
- If you do not know your User ID or Password, click the **Forgot User ID or Password** hyperlink. Select the appropriate User ID or Password radio button, enter the required information and click Submit. An email with a your User ID or a temporary password will be sent to you.

Step 3: Enter the password provided by the SAA in the **Password** field and click **Continue.**

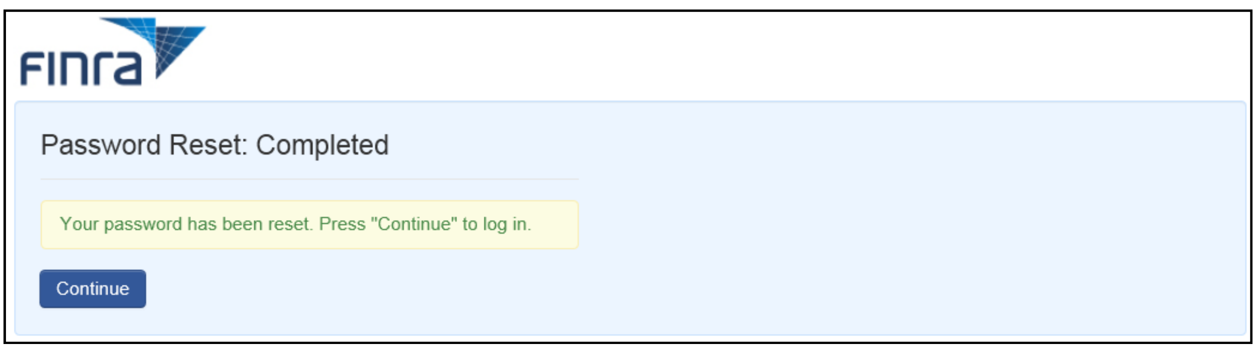


Accessing Your AA Account using FINRA Firm Gateway (used by member firms)

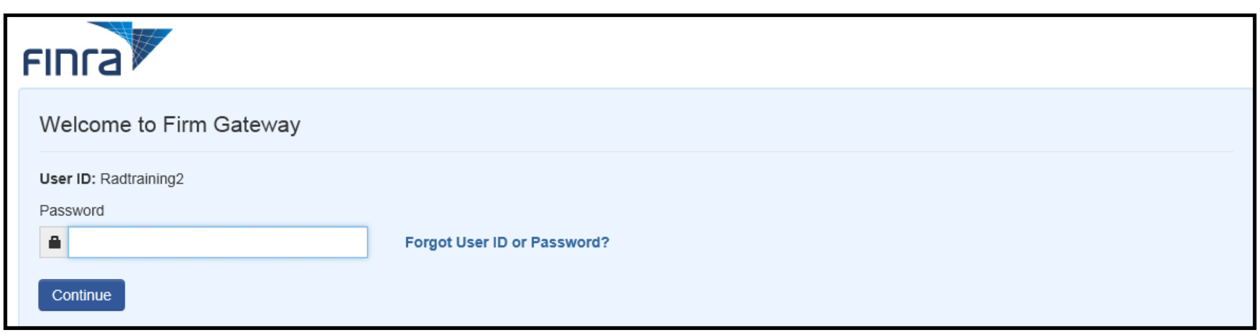
Step 4: Enter your **User ID**, **Current Password**, **New Password** twice and click **Continue**.



Step 5: Click **Continue** on the Password Reset Completed screen.

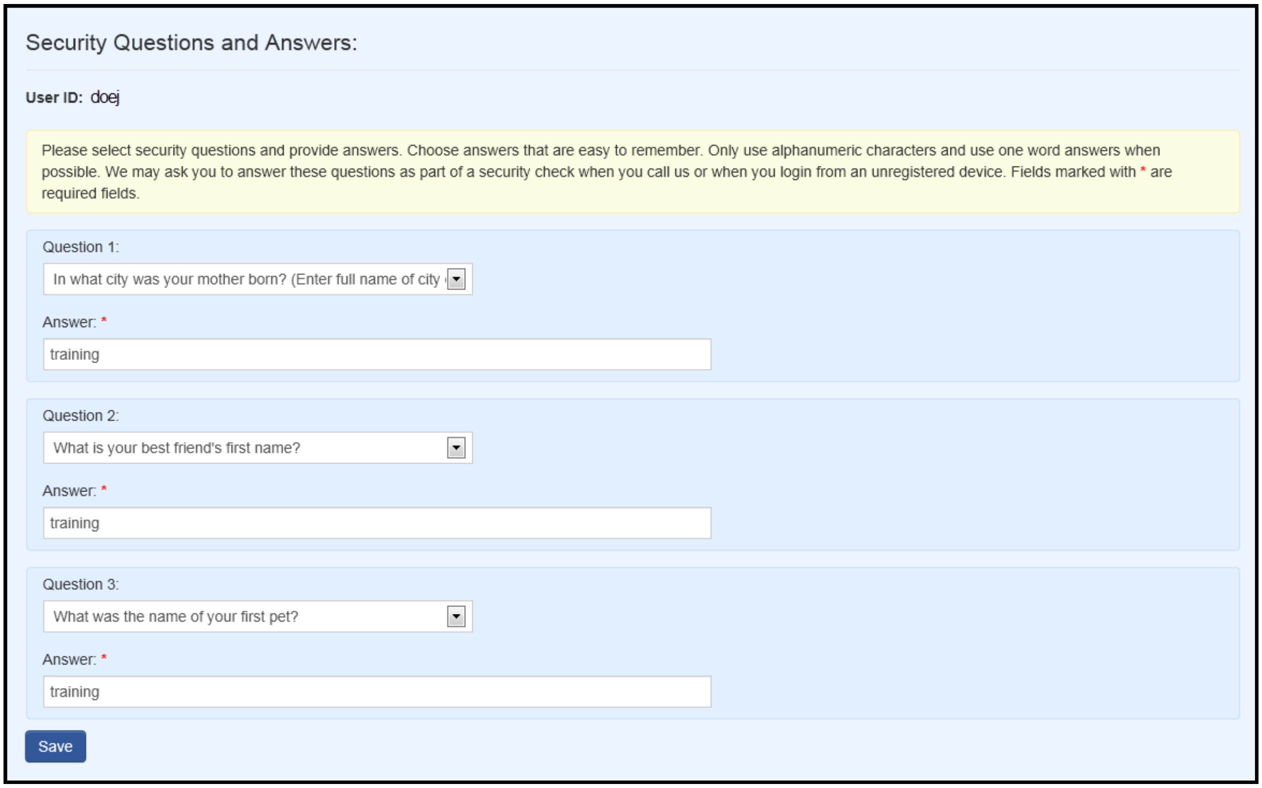


Step 6: Enter your newly created **Password** and click **Continue**.



Accessing Your AA Account using FINRA Firm Gateway (used by member firms)

Step 7: Select your **Security Information** questions, provide the appropriate **Answers** and click **Save**.



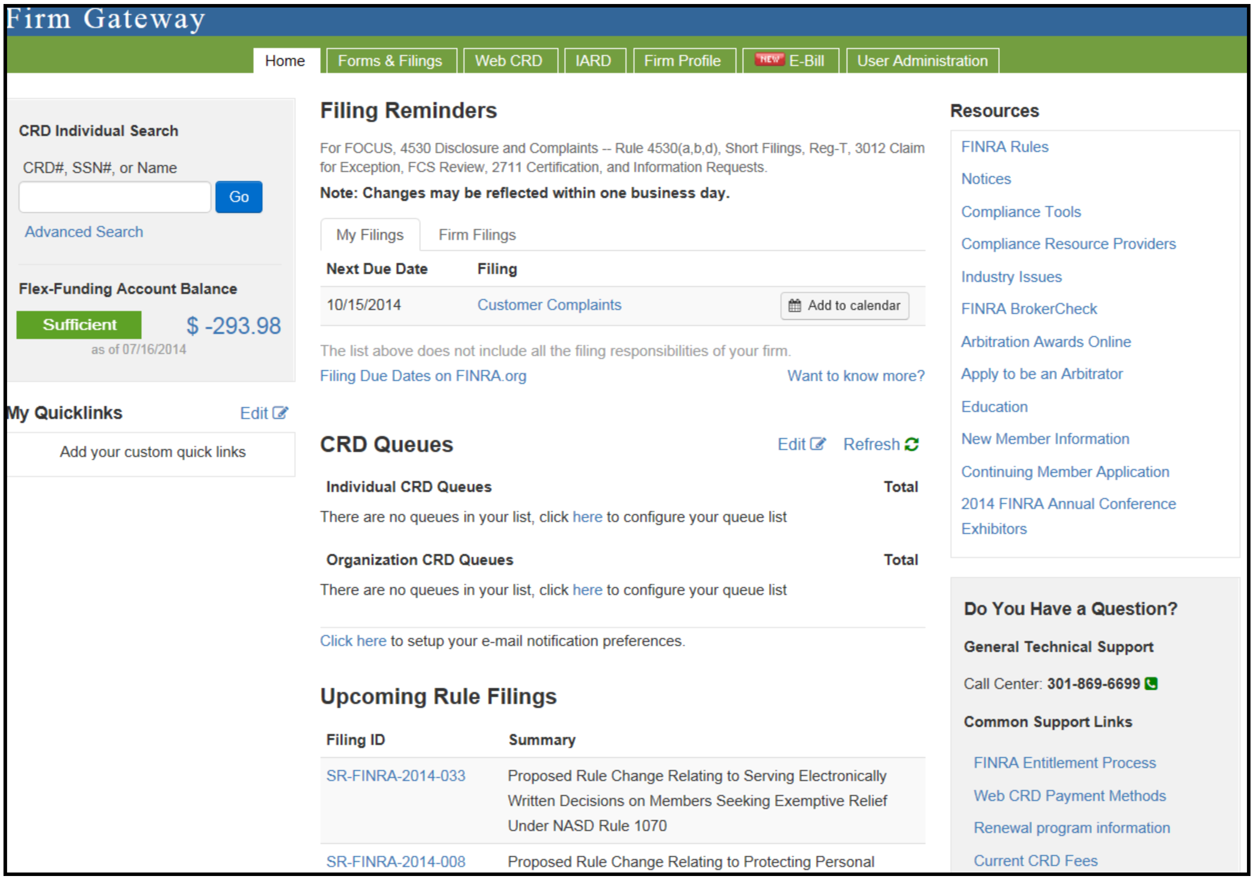
NOTES:

- Each set of questions has a drop-down list that can be used to select your question. Once you have selected the question, provide the appropriate answer.

- If you are using your personal computer and you trust the device/computer, you can click the **Re-member this computer** checkbox. If you leave the checkbox unmarked, you will be presented with a security question with each login.

Accessing Your AA Account using FINRA Firm Gateway (used by member firms)

NOTES: Upon completion of password reset and security information, the Firm Gateway Home screen appears. Your account is now active and you can navigate through the application as needed. You can begin creating user accounts for users at your organization who require entitlement to FINRA.



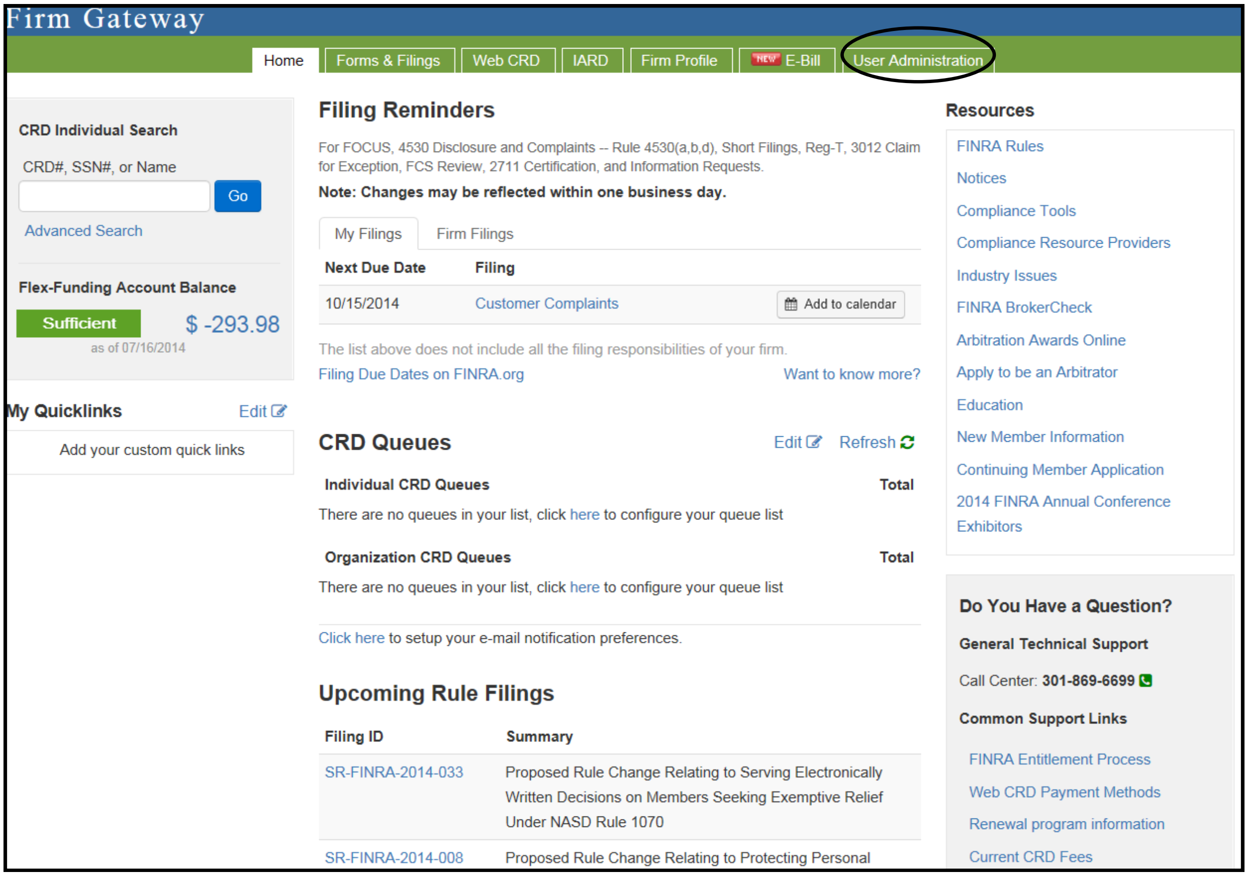
ADDITIONAL NOTES:

- Once you have saved your security information, you will periodically be presented with a security question when you login. Or, if you have not selected the **Remember this computer** checkbox, you will be presented with a security question with each login.
- Five incorrect entries of your password will lock your account. You will need to contact your SAA.
- To view the new **FINRA Login Security FAQS**, click **<here>**

How to Access the Account Management Site using FINRA Firm Gateway (used by member firms)

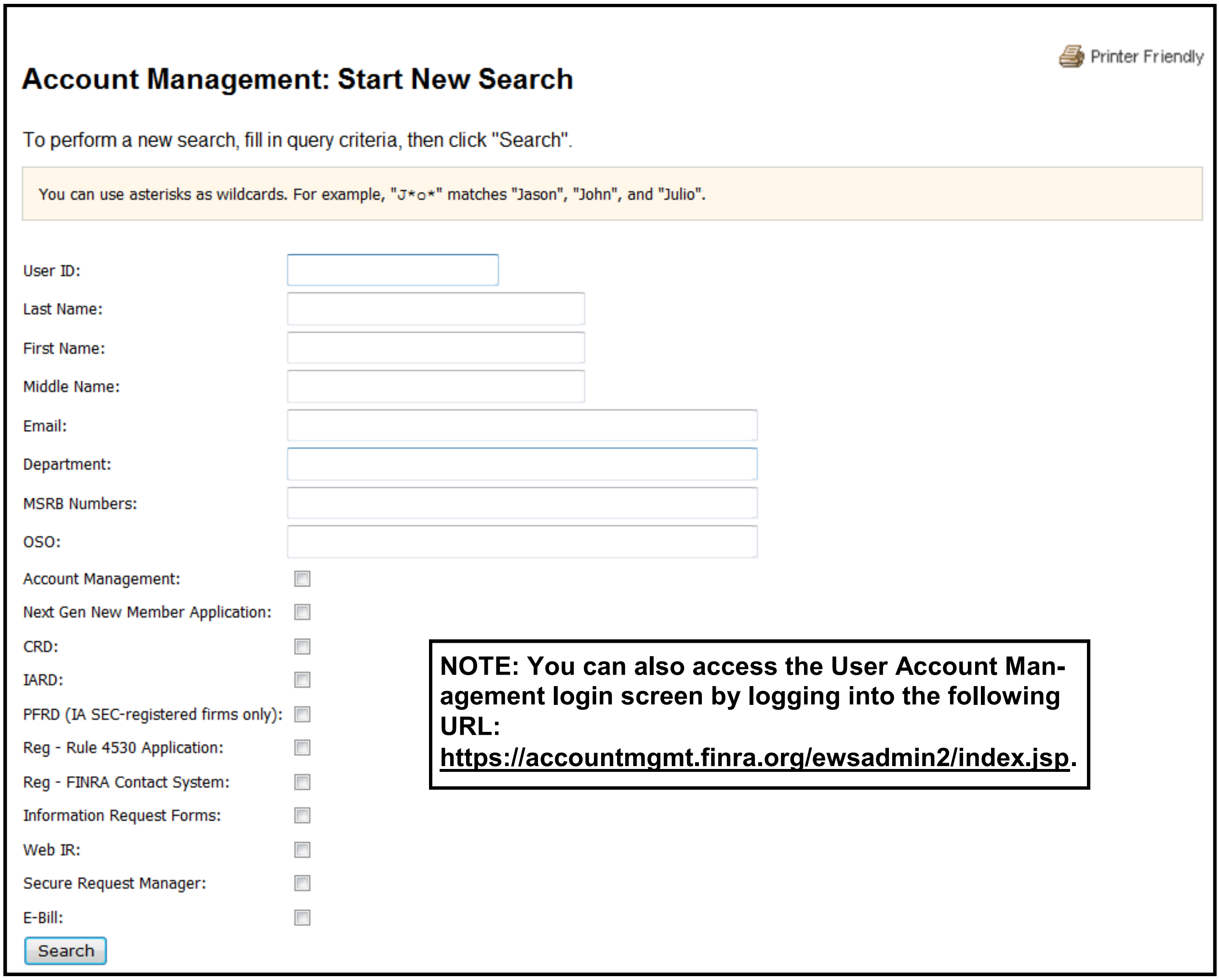
As an Account Administrator, you are responsible for managing the accounts of users at your organization who require entitlement to FINRA regulatory systems.

Step 1: Access the FINRA Firm Gateway site and click the **User Administration** tab on the top **Menu**.



How to Access the Account Management Site using FINRA Firm Gateway (used by member firms)

Result: The *Account Management: Start New Search* screen opens.



Printer Friendly

Account Management: Start New Search

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

You can use asterisks as wildcards. For example, "J*o*" matches "Jason", "John", and "Julio".

User ID:

Last Name:

First Name:

Middle Name:

Email:

Department:

MSRB Numbers:

OSO:

Account Management:

Next Gen New Member Application:

CRD:

IARD:

PFRD (IA SEC-registered firms only):

Reg - Rule 4530 Application:

Reg - FINRA Contact System:

Information Request Forms:

Web IR:

Secure Request Manager:

E-Bill:

Search

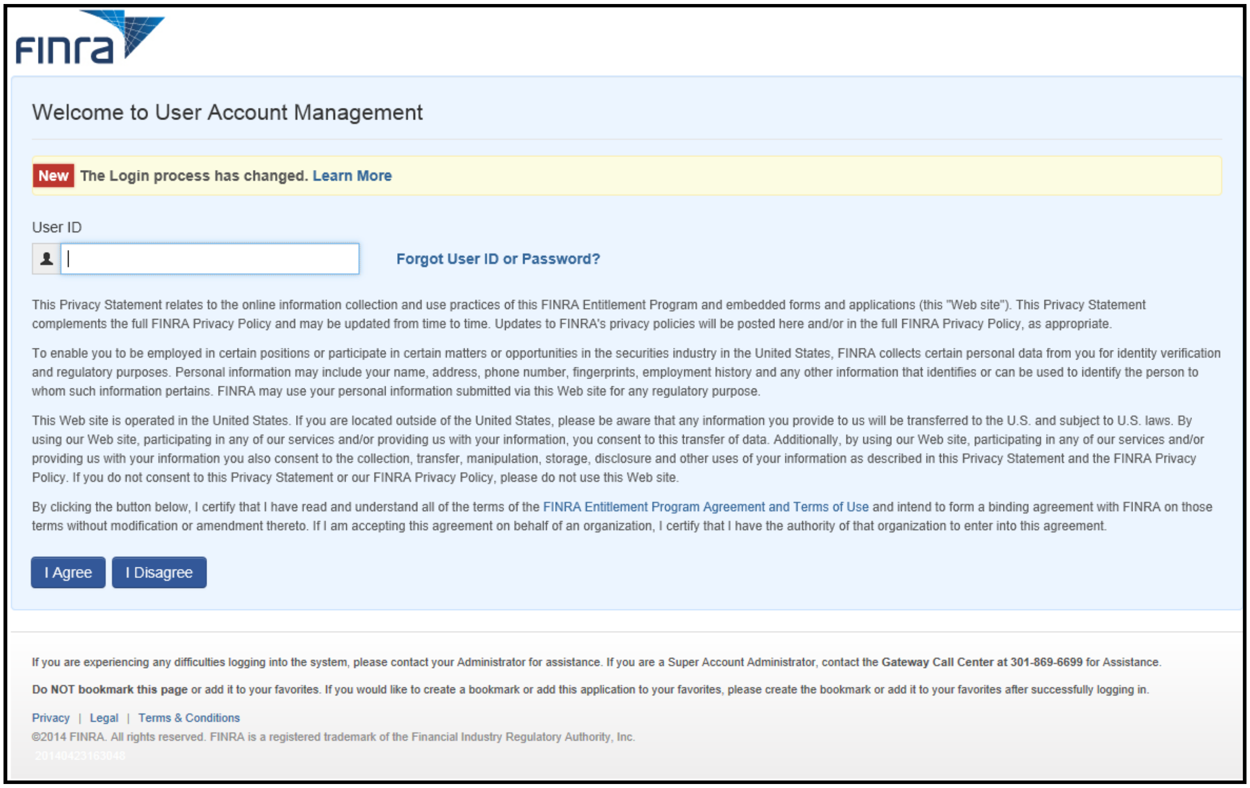
NOTE: You can also access the User Account Management login screen by logging into the following URL: https://accountmgmt.finra.org/ewsadmin2/index.jsp.

Accessing Your AA Account using the Account Management URL Address (must be used by non-securities organizations and regulators)

When you receive your User ID and initial password, you must first log into the application, change your password, and establish your security information.

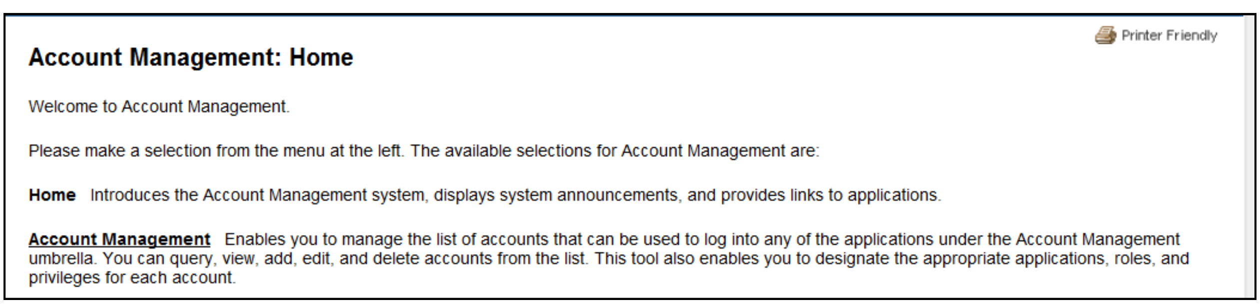
Step 1: Access Account Management at:
https://accountmgmt.finra.org/ewsadmin2/index.jsp

See pgs. 4 - 6 and follow Steps 2 - 7.



NOTES:

- Clicking **I Disagree** prevents you from accessing the application.
- 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 a your User ID or a temporary password will be sent to you.
- Upon completion of password reset and security information, the Account Management: Home screen appears. Your account is now active and you can navigate through the application as needed. You can begin creating user accounts for users at your organization who require entitlement to FINRA *(see pg. 7 for ADDITIONAL NOTES).*

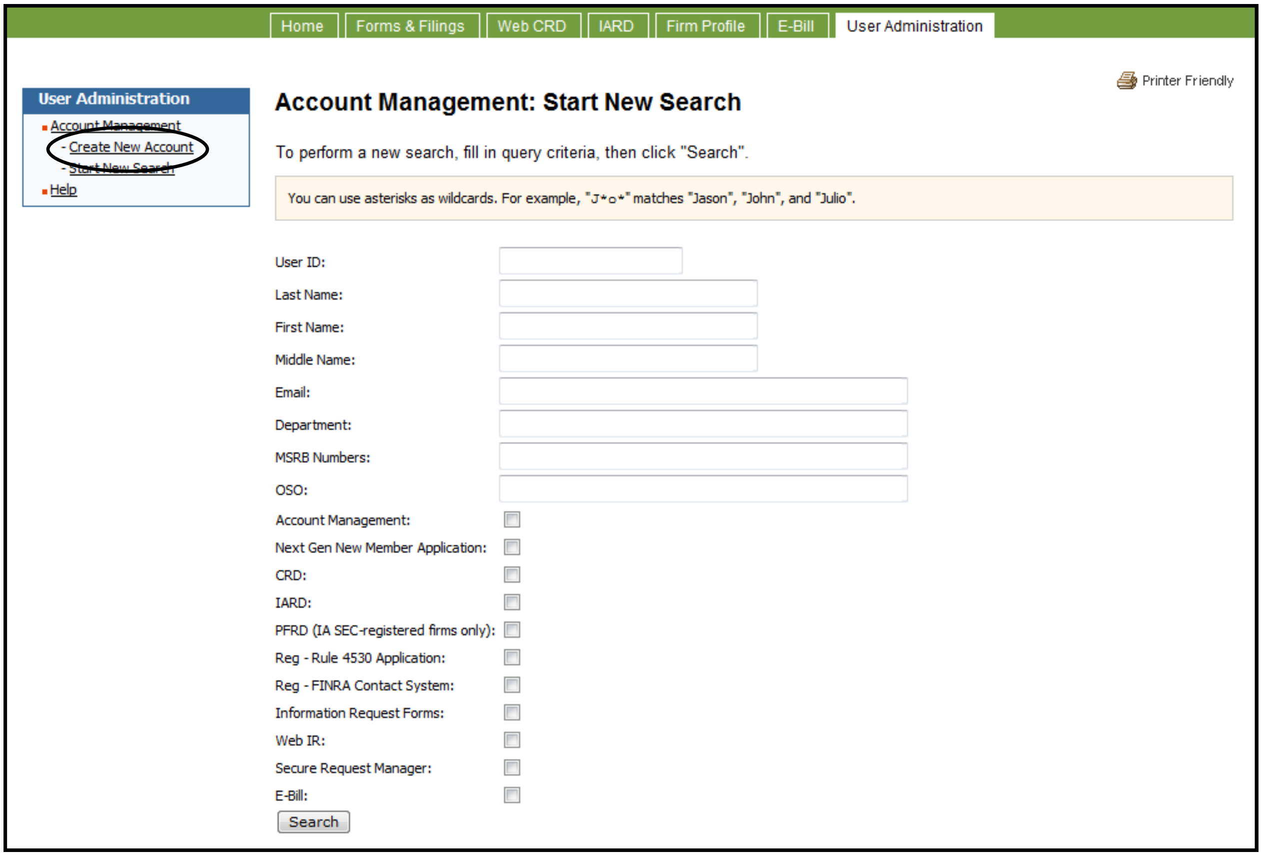


How to Create a User Account

As an AA or SAA, you are responsible for managing the accounts of users at your organization.

Step 1: Access the Account Management site *(see pg. 8 or 9).*

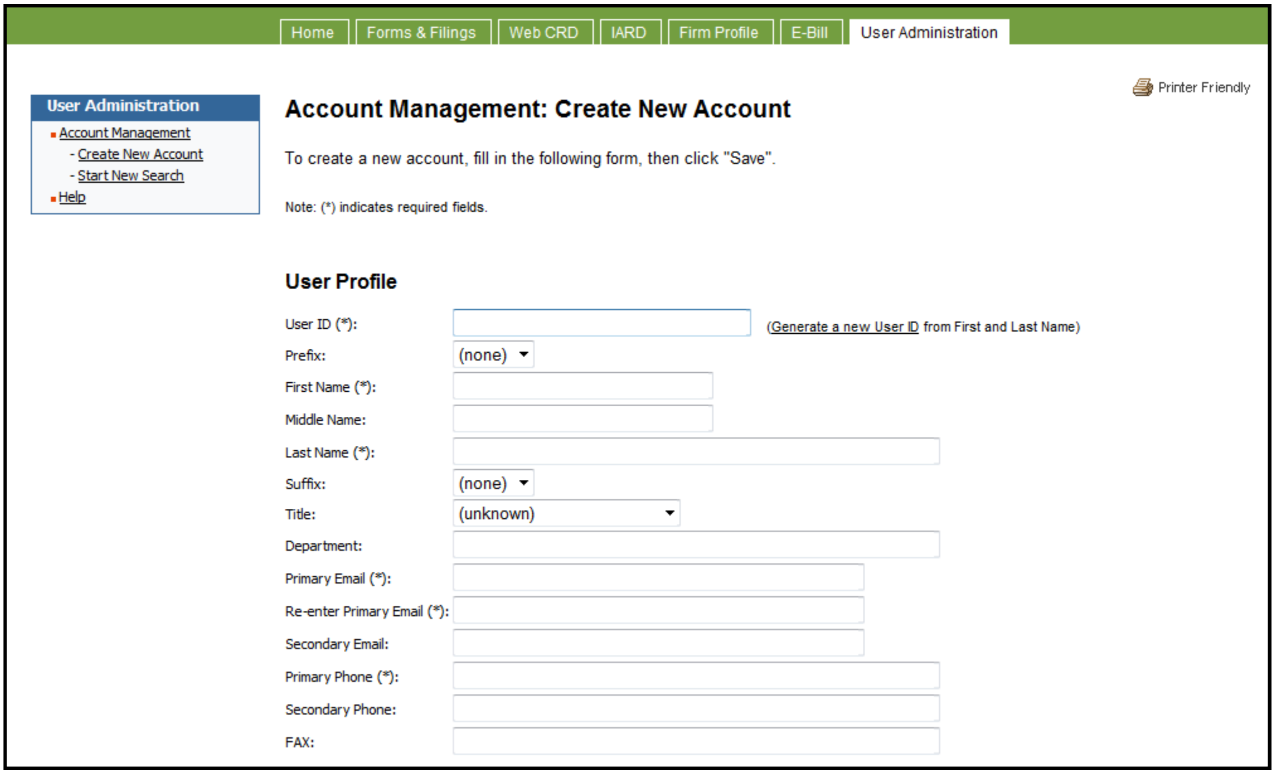
Result: The **Start New Search** screen appears. It is recommended you search the system first to verify that the individual does not already have an account with your organization.



Step 2: Click **Create New Account** from the navigation panel.

How to Create a User Account (cont.)

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



Step 3: Enter the appropriate information into the fields in the **User Profile**, **Account Profile, FINRA Information,** and **Application Entitlements** sections of the **Create New Account** screen.

NOTES:

- 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.
- A new account automatically defaults to an **Initial Account Status** of **Active**, meaning the user can access the appropriate 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.

How to Create a User Account (cont.)

The application(s) and privileges for which you are an Account Administrator are listed below the **User Profile**, **Account Profile**, and **FINRA Information** sections of the **Create New Account** screen.

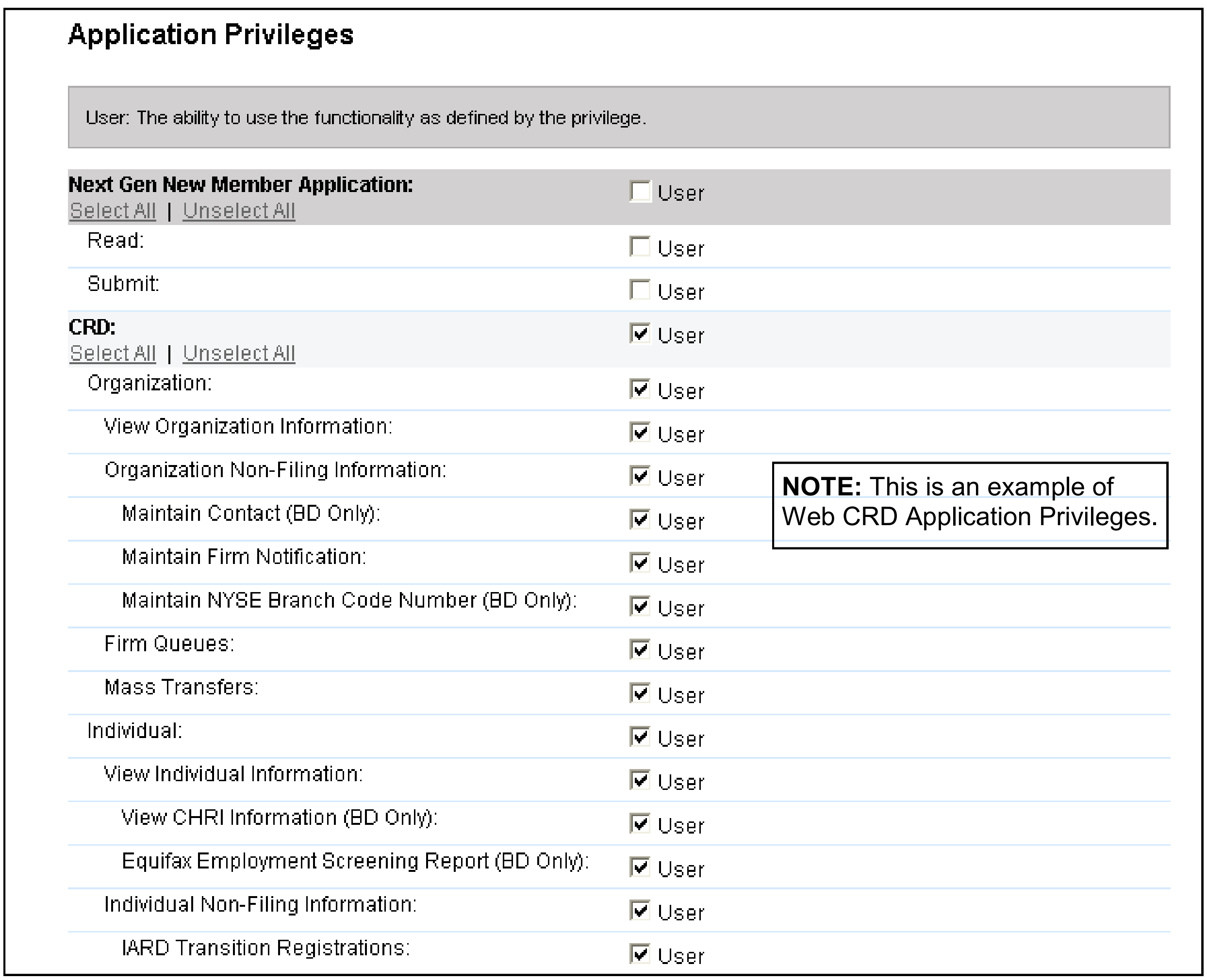
You can grant **User** entitlement for any privilege for which you are entitled as an Account Administrator. Selecting **User** allows the user access to a specific functionality of the applicable application needed to perform their job.

Privileges are organized in a hierarchy, and referred to as "parent" privileges and "child" privileges. If you wish to give a user entitlement to a "child" privilege, you should also give him/her entitlement to the "parent" of that privilege.

For example, the View Organization Information privilege is a child of the Organization parent privilege, which is also a child privilege of the CRD parent privilege. To entitle a user at your organization with the ability to have View Organization Information, you would select CRD User, Organization: User, and View Organization Information: User.

If you select **User** for a "child" privilege and forget to select **User** for the "parent" privilege(s) for that "child," the system will automatically choose **User** for the "parent" privilege(s) when you save the privileges.

Step 4: Select **User** for all privileges the user needs to perform his/her job responsibilities and click the **Save** button to create the new user account.


Application Privileges

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

Next Gen New Member Application: Select All | Unselect All	☐ User
Read:	☐ User
Submit:	☐ User
CRD: Select All | Unselect All	☑ User
Organization:	☑ User
View Organization Information:	☑ User
Organization Non-Filing Information:	☑ User
Maintain Contact (BD Only):	☑ User
Maintain Firm Notification:	☑ User
Maintain NYSE Branch Code Number (BD Only):	☑ User
Firm Queues:	☑ User
Mass Transfers:	☑ User
Individual:	☑ User
View Individual Information:	☑ User
View CHRI Information (BD Only):	☑ User
Equifax Employment Screening Report (BD Only):	☑ User
Individual Non-Filing Information:	☑ User
IARD Transition Registrations:	☑ User

NOTE: This is an example of Web CRD Application Privileges.

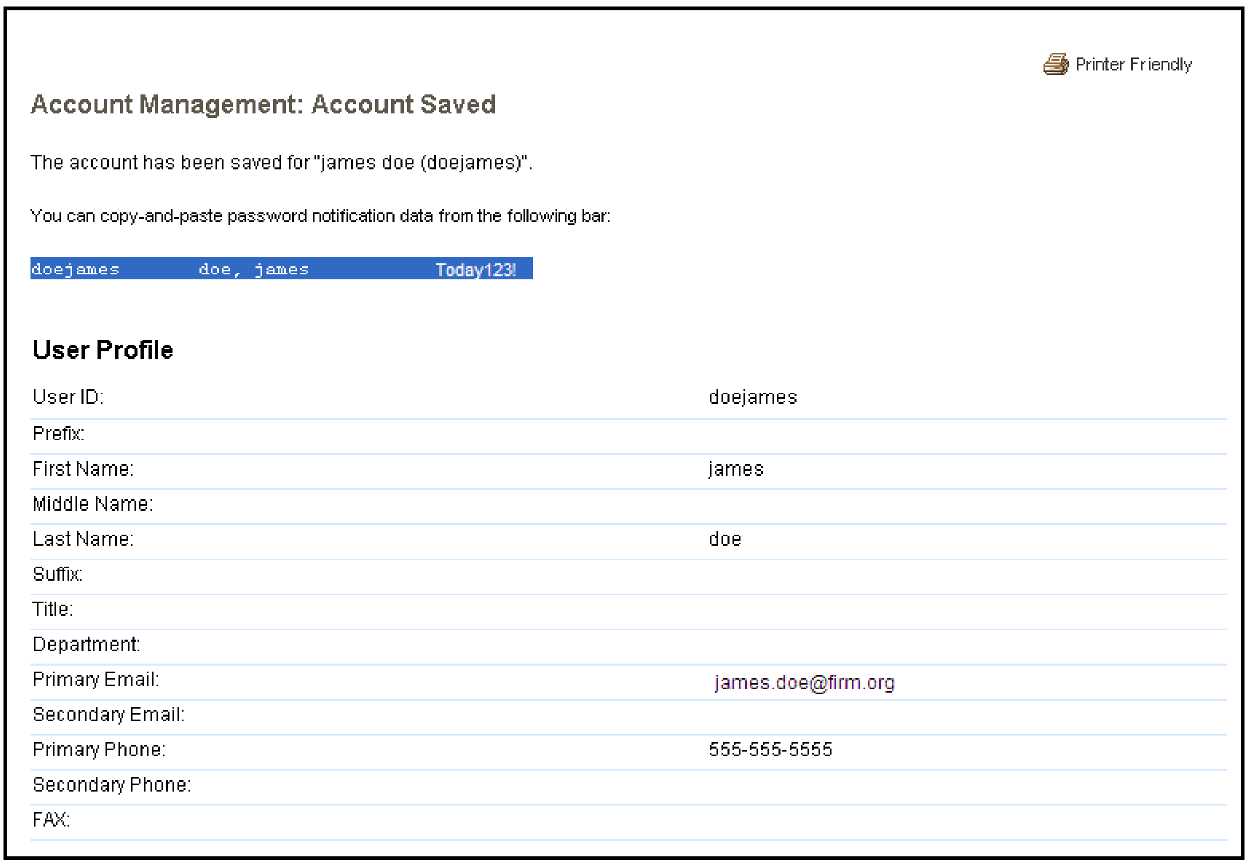
How to Create a User Account (cont.)

NOTES:
- To add all privileges for an application, click the **Select All** hyperlink.
- If you are an Account Administrator for other applications, the other applications and corresponding privileges will appear on this page. Each application has its own section within this page.

Result: The new user account is now ready.

Step 5: Take note of the new User ID and Password, or highlight the bar to copy the User ID and Password and paste it into a document, and provide that information to the user. He/she can now access the entitled system(s).

NOTES:
- 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 entitled system for the first time with the User ID and password you have provided, they will immediately be directed to change their password and select a **Security Question** and enter a **Security Response**.
- 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”.

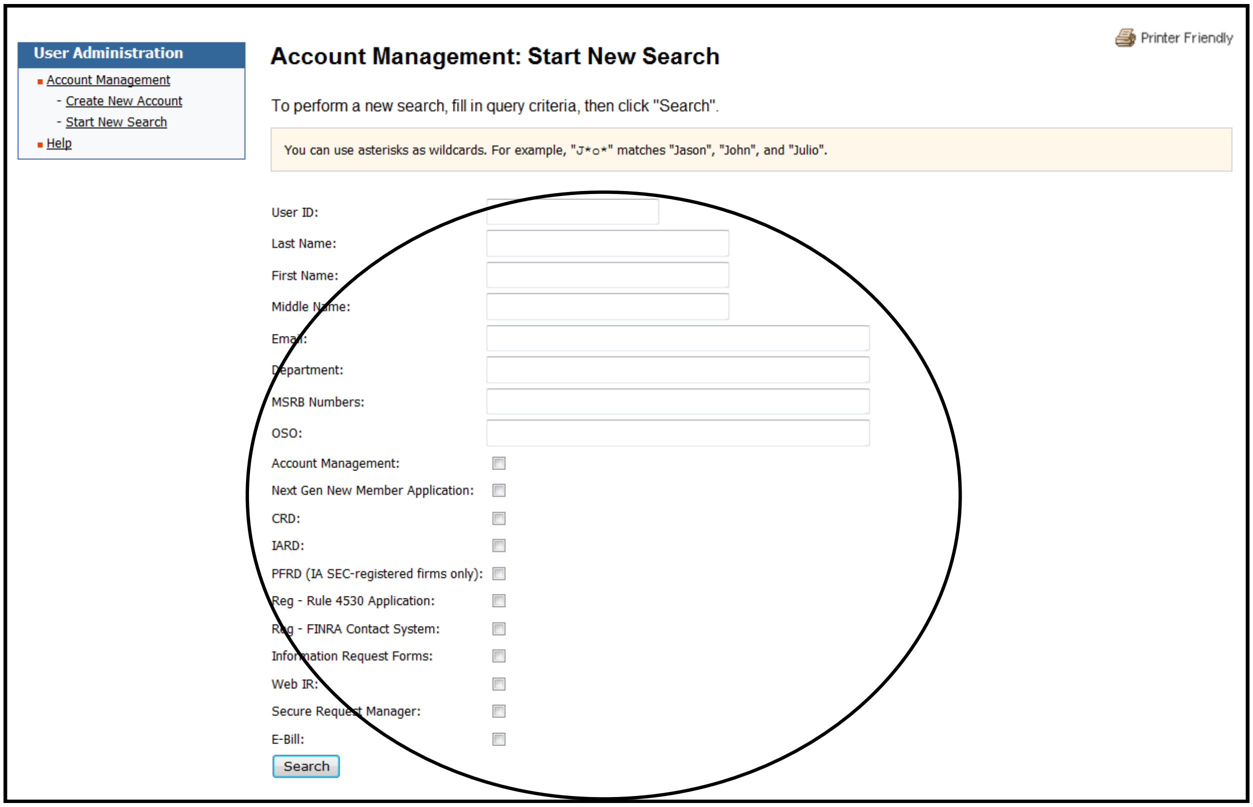


How to Search for and View a User Account

As an Account Administrator, you are responsible for managing your users' accounts. You must first search for the accounts you need to edit or delete.

Step 1: Access the Account Management site *(see pg. 8 or 9).*

Result: The **Account Management: Start New Search** screen displays.


User Administration
Account Management
- Create New Account
- Start New Search
Help

Printer Friendly

Account Management: Start New Search

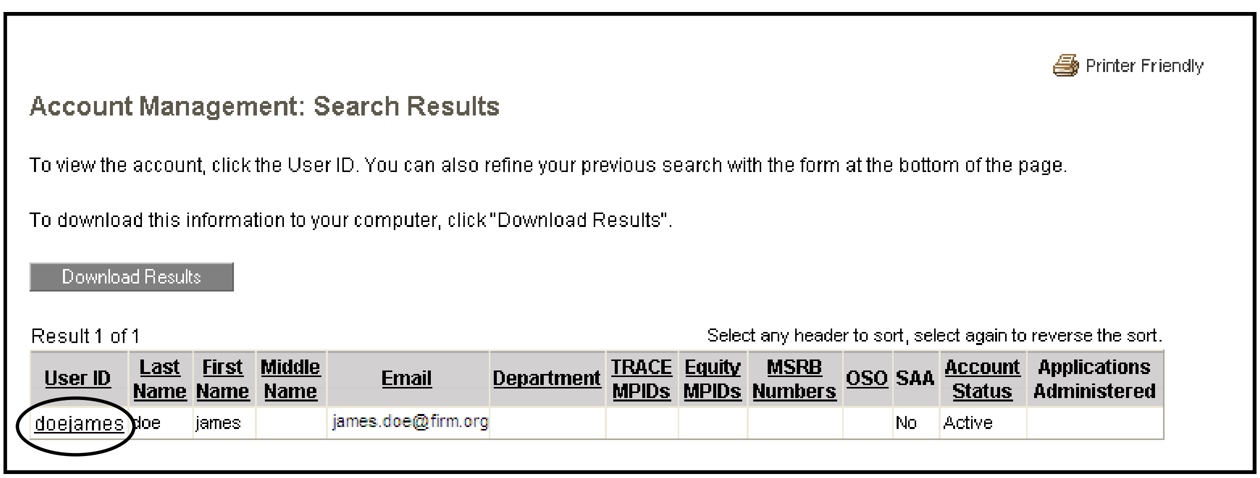
To perform a new search, fill in query criteria, then click "Search".

You can use asterisks as wildcards. For example, "J*o*" matches "Jason", "John", and "Julio".

User ID:
Last Name:
First Name:
Middle Name:
Email:
Department:
MSRB Numbers:
OSO:
Account Management:
Next Gen New Member Application:
CRD:
IARD:
PFRD (IA SEC-registered firms only):
Reg - Rule 4530 Application:
Reg - FINRA Contact System:
Information Request Forms:
Web IR:
Secure Request Manager:
E-Bill:
Search

Step 2: Enter the appropriate information to search for the user.

Result: The **Search Results** screen displays.


Printer Friendly

Account Management: Search Results

To view the account, click the User ID. You can also refine your previous search with the form at the bottom of the page.

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

Download Results

Result 1 of 1

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

User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
doejames	doe	james		james.doe@firm.org						No	Active	

Step 3: Click the hyperlink in the **User ID** column to view the user's account.

Tips for Performing a Search

- To view a list of users in your organization for a specific application, check the box next to the appropriate application and click the **Search** button.
- To view a list of all users at your organization, leave all fields blanks and click the **Search** button. **NOTE:** if your organization has a large number of entitled users, the search may take time.
- You can use asterisks (*) as wildcards to assist your search. For example, if you want to search for all users at your organization whose first names start with A, type **A*** in the **First Name** field and click the **Search** button.
- If your search displays more than one result, you can sort your search results by clicking the column titles. For example, if you want to sort the list alphabetically by last name, you would click the **Last Name** hyperlink.
- You can view up to 10 users at a time. If there are more results, click the **Next** button to display the next set of 10.

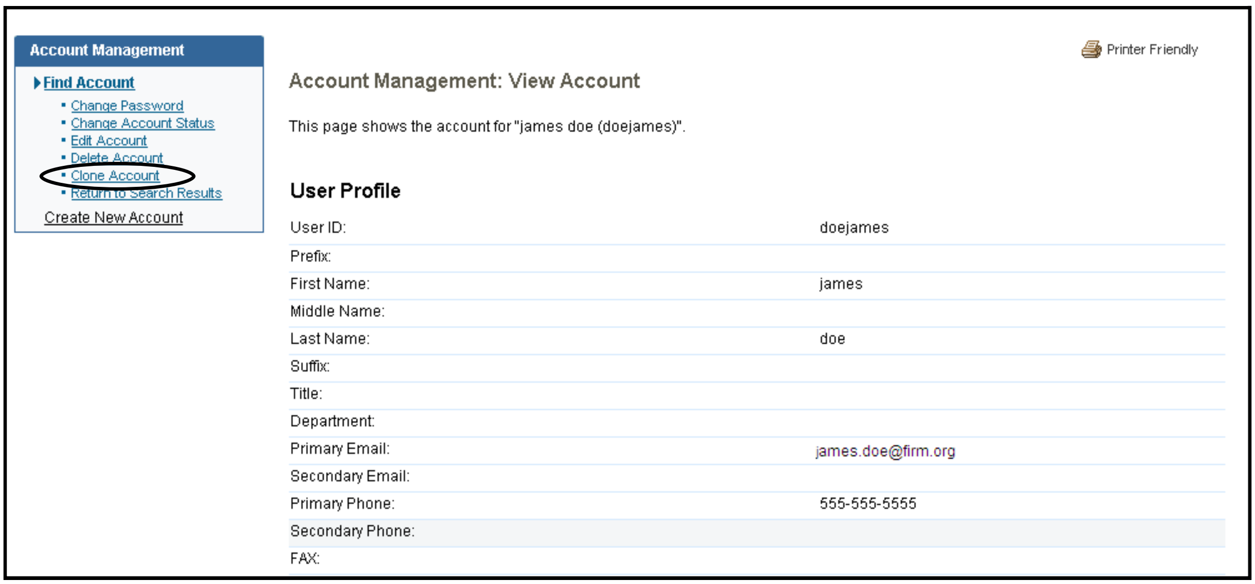
How to Clone a User Account

Cloning an account is the process of creating a new user account by duplicating an existing user's account. This enables the new user to be entitled to the same participating FINRA Entitlement applications and privileges as the existing user is entitled.

Cloning saves time when you have several users at your organization who use the same applications and privileges. You can access an existing user's account and clone that user (i.e., copy that user's privileges) for each individual who requires the same applications and privileges. You can also add or modify any applications or privileges to the new user's account during the cloning process.

Step 1: Search for and view the user's account you want to clone *(see pg.15)*.

Example: This user, John Doe, has **User** for CRD, Organization, View Organization Information, and Firm Queues and **no privileges** for Organization Non-Filing Information, Maintain Contact (BD ONLY) and Maintain Firm Notifications.



Step 2: Click **Clone Account** from the navigation panel.

Result: A new user account opens with the **User Profile**, **Account Profile** or **FINRA Information** fields blank, and the same privileges that "John Doe" had, i.e., **User** for CRD, Organization, View Organization Information and Firm Queues and **no privileges** for Organization Non-Filing Information, Maintain Contact (BD ONLY) and Maintain Firm Notifications.

How to Clone a User Account (cont.)

Step 3: Enter the appropriate information into the **User Profile**, **Account Profile**, and **FINRA Information** fields. All fields marked with an asterisk (*) must be completed 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.

Step 4: To add an additional application(s) and/or privileges to a user's account, click **User**.

OR

Step 4a: To remove a privilege that a user no longer needs click **'User'**. This will uncheck the box next to the privilege that is not needed

Step 5: Click the **Save** button.

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Account Management: Clone Account

To create a new account as the clone of an existing account, fill in the following form, then click "Save".

Note: (*) indicates required fields.

User Profile

User ID (*): (Click here to 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

NOTE: **"**Firm" and "Other" Organization classes do not have the ability to clone a File Transfer Protocol/Internet File Transfer (FTP/IFT) account. The FINRA Entitlement Group are the only users that can create FTP/IFT accounts.

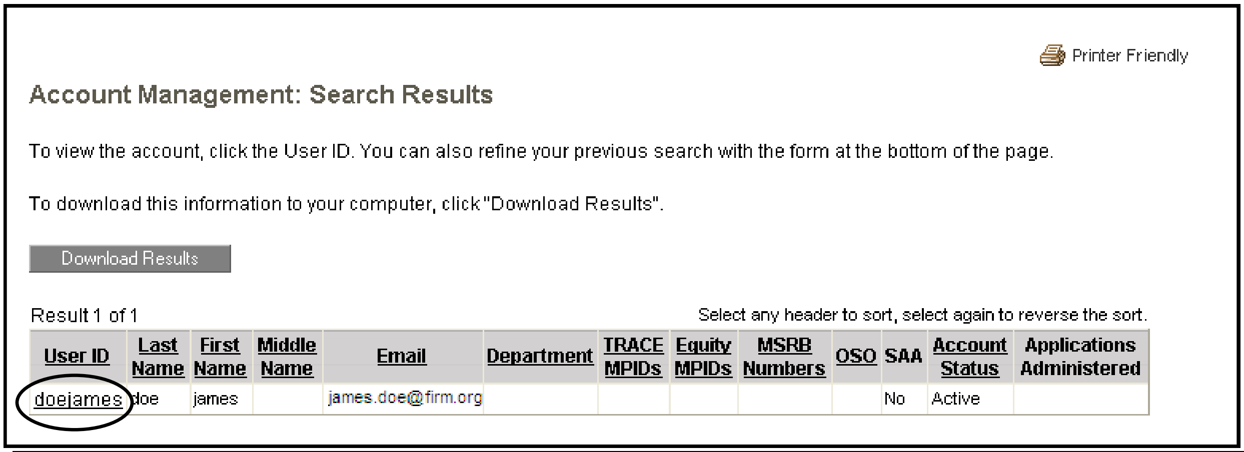
How to Change a User's Password and Account Status

If a user has problems logging into his/her account, it may be because:

- He/she has forgotten the password or the password has expired.
- He/she has unsuccessfully entered his/her password more than five times and has been locked out.
- He/she has unsuccessfully entered his/her security questions more than five times and has been locked out.
- He/she has been disabled intentionally, either by a firm Account Administrator or by the FINRA Entitlement Group.

Step 1: Search for the user's account *(see pg.15)*
Step 2: View and evaluate the user's **Account Status**

Step 3: Click the **User ID** hyperlink to access user's *Account Management: View Account* screen.



Printer Friendly

Account Management: Search Results

To view the account, click the User ID. You can also refine your previous search with the form at the bottom of the page.

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

Download Results

Result 1 of 1

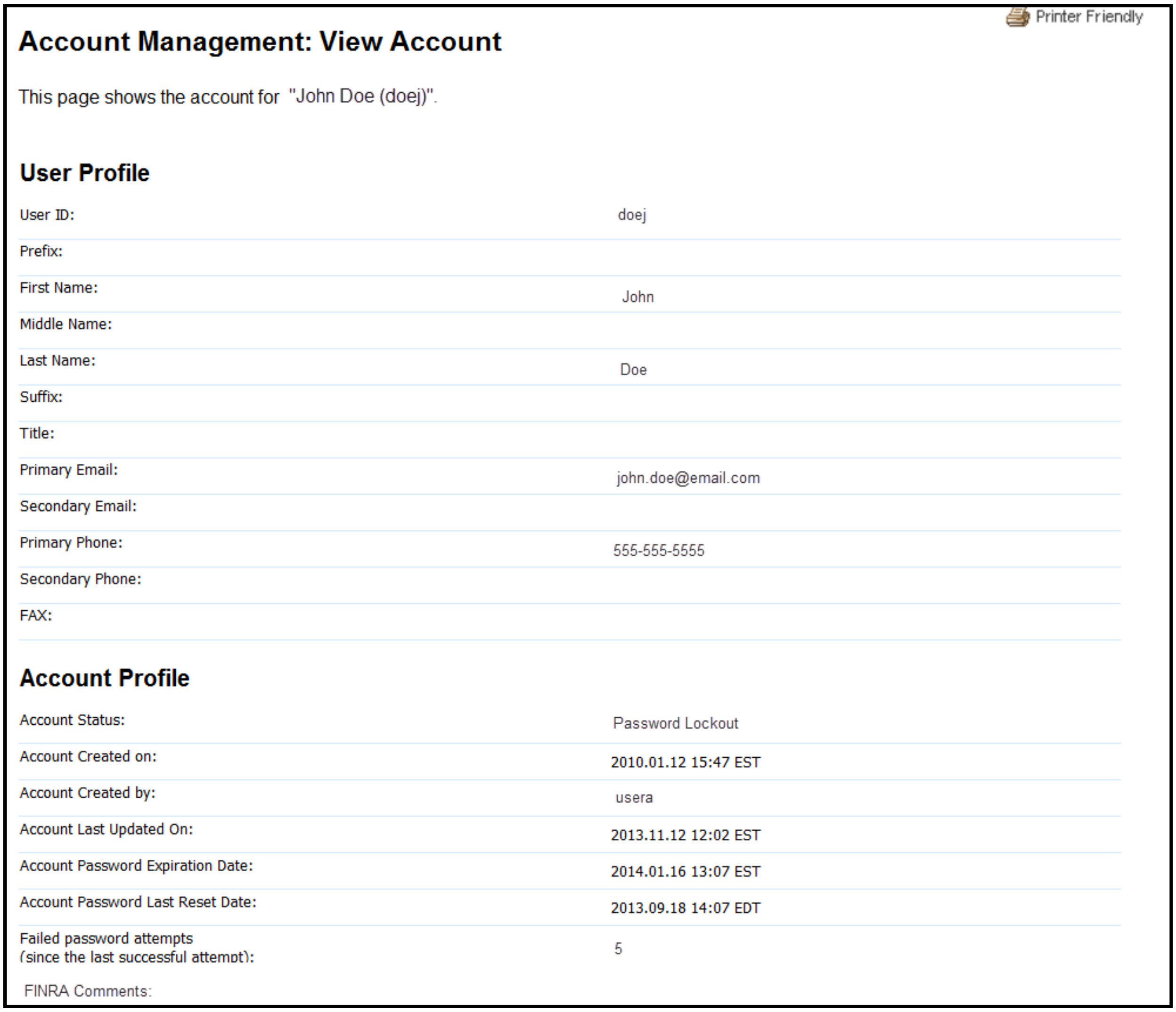
Select any header to sort, select again to reverse the sort.

User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
doejames	doe	james		james.doe@firm.org						No	Active	

Account Status	Recommended Action:
Active	Advise the user to click the **Forgot Password?** hyperlink located on the login screen. You also have the option to reset the user's password *(see pg. 20).*
Password Lockout	Reset the user's password and reactivate the account (*see page 20*).
Security Questions Lockout	Change the Account Status to Activate and Reset the Security Questions. **Note:** Users who forget their security information and are locked out, need to re-establish their security information *(see pg. 27).*
Disabled by non-FINRA Account Administrator	Check with the Super Account Administrator or Account Administrators at your firm to confirm that you should reactivate this account. If allowed, reactivate the account *(see pg. 20)*. You may wish to change the user's password at this time as well.
Disabled by FINRA Administrator	Contact the FINRA Gateway Call Center at 301-896-6699 for more information on why this account has been disabled.

How to Change a User's Password and Account Status (cont.)

NOTE: You can view and evaluate the status of the User's **Account Profile.**



Printer Friendly

Account Management: View Account

This page shows the account for "John Doe (doej)".

User Profile

User ID:	doej
Prefix:	
First Name:	John
Middle Name:	
Last Name:	Doe
Suffix:	
Title:	
Primary Email:	john.doe@email.com
Secondary Email:	
Primary Phone:	555-555-5555
Secondary Phone:	
FAX:	

Account Profile

Account Status:	Password Lockout
Account Created on:	2010.01.12 15:47 EST
Account Created by:	usera
Account Last Updated On:	2013.11.12 12:02 EST
Account Password Expiration Date:	2014.01.16 13:07 EST
Account Password Last Reset Date:	2013.09.18 14:07 EDT
Failed password attempts (since the last successful attempt):	5

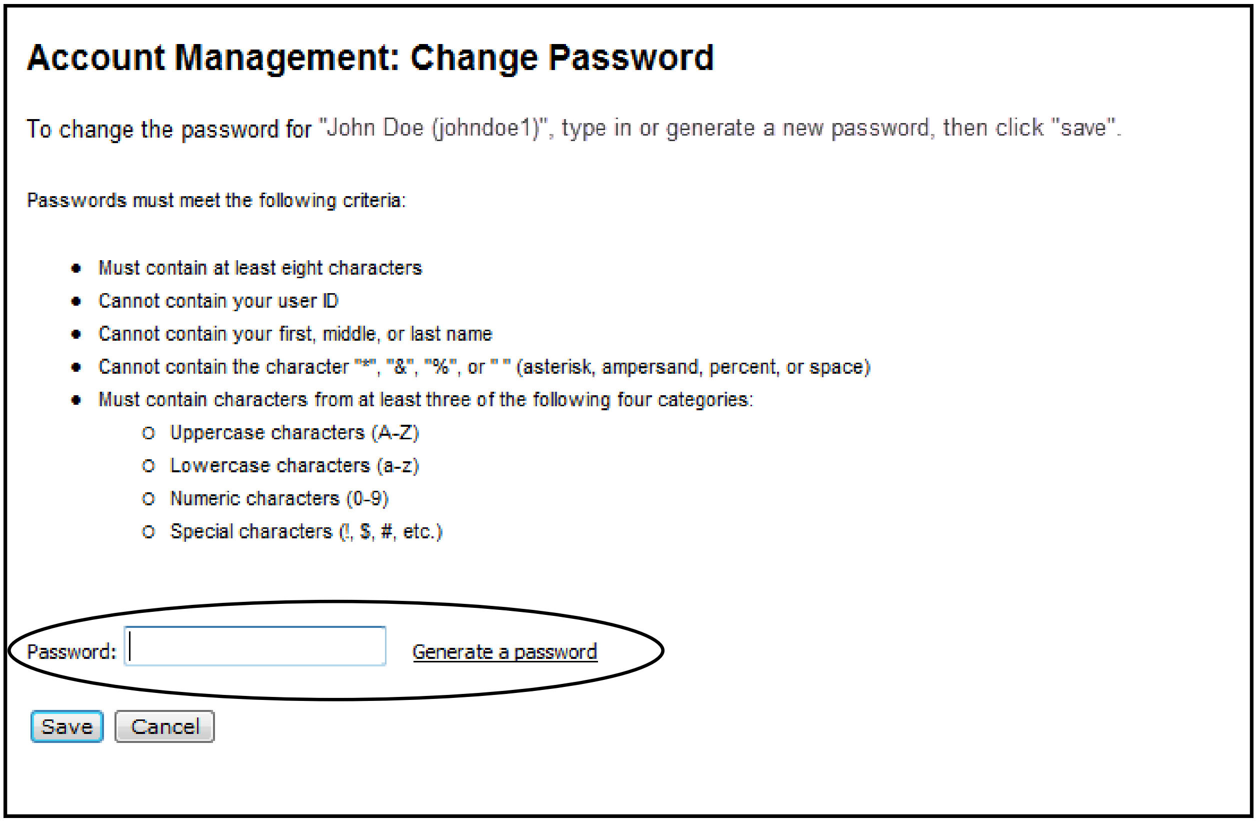
FINRA Comments:

Step 4: Select **Change Password** from the navigation bar.

How to Change a User's Password and Account Status (cont.)

Step 5: Enter a new password for the user, or click **Generate a password** to systematically generate a new password for the user. Click the **Save** button.

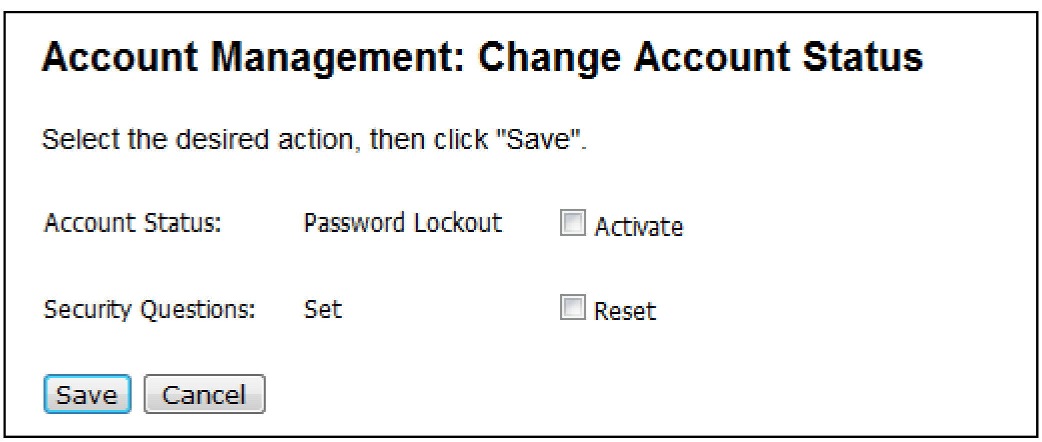
NOTE: The password generated is a temporary password; the user will have to change the password the next time they log into the application. Changing a user's password does not automatically reactivate the account.



Step 6: Select **Change Account Status** from the navigation panel.

Step 7: Click **Account Status: Activate** and select **Save**.

Result: The user's account has been reactivated. Provide the user with his/her new temporary password.



NOTE: You can also unlock a user's account via the **Edit Account** functionality. Select **Activate** from the drop-down menu in the Change Account section.

FINRA Security Questions Feature

The first time a user logs onto a FINRA Entitlement application/system (e.g., Web CRD, IARD, Report Center, etc.) the user will be required to select three security questions and provide responses to each question. On subsequent logins, a user may be asked to provide the responses to the security questions he/she selected in order to further verify the user's identity. This security feature is similar to those used by financial websites as an additional safeguard against unauthorized access.

Once users have saved their security information, they will be periodically presented with a security question. Or if they have not clicked the **Remember this computer** checkbox, they will be presented with a security question each time they login.

As the AA or SAA, you may need to assist your users if the following occurs:

- Five incorrect responses to security questions will lock their accounts. They will need to contact an SAA or AA..
- Five incorrect entries of their password will lock their account. They will need to contact an SAA or AA.
- To view the FAQS on the new FINRA Login Security Feature, click **<here>**

Account Profile

Account Status:	Password Lockout
Account Created on:	2014.04.25 10:44 EDT
Account Created by:	SAAJ
Account Last Updated on:	2014.11.19 15:53 EST
Account Last Updated by:	SAAJ
Account Password Expiration Date:	2014.11.19 15:46 EST
Account Password Last Reset Date:	2014.11.19 15:51 EST
Failed password attempts (since the last successful attempt):	5

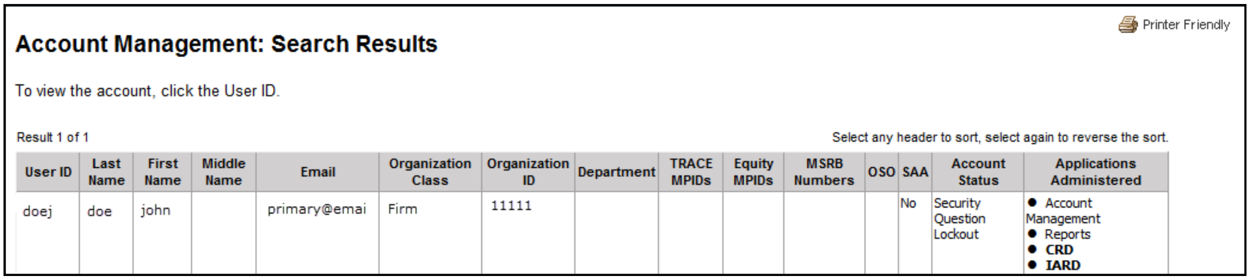
(Example of Password Lockout on the Account Management/View Account screen)

How to Reset a User’s Account due to Security Questions Lockout

If a user locks their account due to five incorrect responses to their security questions it is suggested that you Unlock the account and reset the Security Questions. Resetting the Security Questions forces the user to select and respond to a new set of security questions.

Step 1: Search for and view the user’s account *(see pg. 15).*

NOTE: The **Account Status** should read: **Security Question Lockout.**


Printer Friendly

Account Management: Search Results

To view the account, click the User ID.

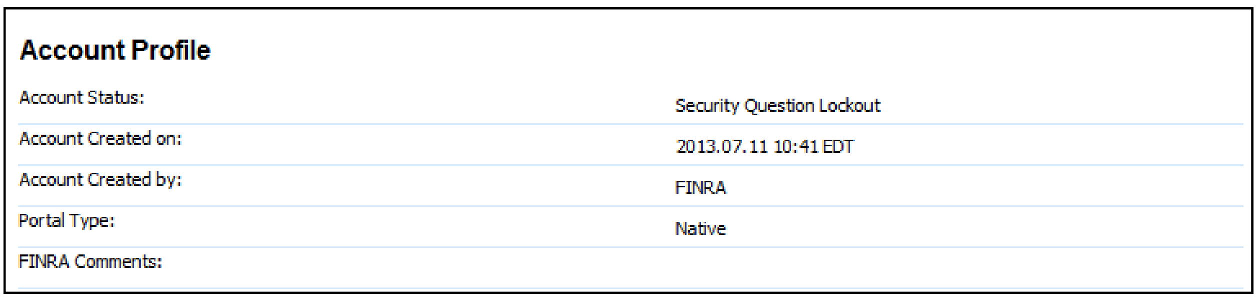
Result 1 of 1

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

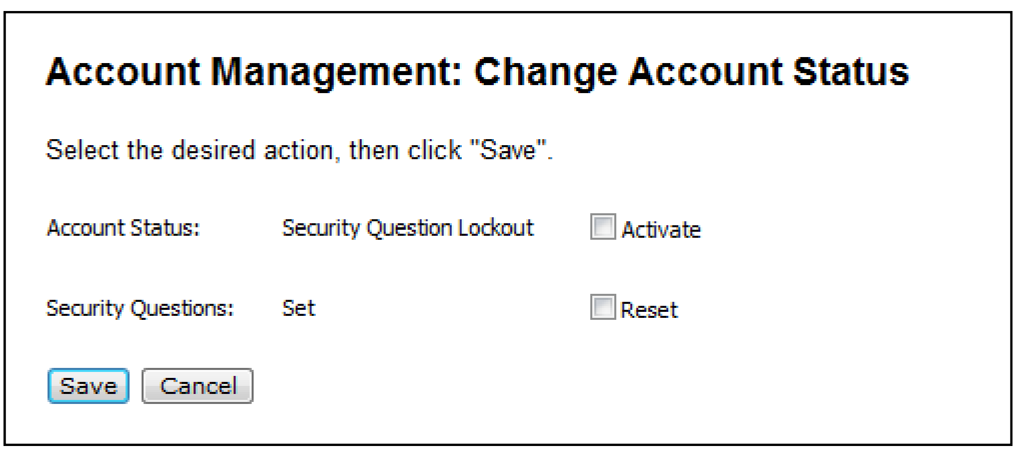
User ID	Last Name	First Name	Middle Name	Email	Organization Class	Organization ID	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	SAA	Account Status	Applications Administered
doej	doe	john		primary@emai	Firm	11111						No	Security Question Lockout	• Account Management • Reports • CRD • IARD

Step 2: Click on the **User ID** hyperlink.

NOTE: The **Account Status** should read: **Security Question Lockout.**



Step 2: Click **Change Account Status** from the navigation panel.



Step 3: Click **Account Status: Activate**.

Step 4: Click **Security Questions: Reset.**

Step 5: Select **Save**.

How to Reset a User's Account due to Security Questions Lockout (cont.)

NOTES:

- The Account Status Changed screen no longer displays the New Security Questions because you have indicated that they must be reset.
- Upon completion of these steps, the user can log in with their original password, but will need to select a new set of security questions and answers.

Account Management: View Account

The account status has been changed for " John Doe (doej)".

User Profile

User ID:	joej
Prefix:	
First Name:	john
Middle Name:	
Last Name:	doe
Suffix:	
Title:	
Primary Email:	primary@email.com
Secondary Email:	
Primary Phone:	555-555-5555
Secondary Phone:	
FAX:	

Account Profile

Account Status:	Active
Account Created on:	2010.01.12 15:47 EST
Account Created by:	usera
Account Last Updated On:	2013.11.04 10:49 EST
Account Password Expiration Date:	2014.01.16 13:07 EST
Account Password Last Reset Date:	2013.09.18 14:07 EDT
Failed password attempts (since the last successful attempt):	0
FINRA Comments:	

New Security Questions have been removed.

FINRA Information

NOTE: You can also unlock a user's account via the **Edit Account** functionality. Select **Activate** from the drop-down menu in the Change Account Status section. You will not have access to reset the Security Question from this screen.

How to Change Your Security Questions and Answers

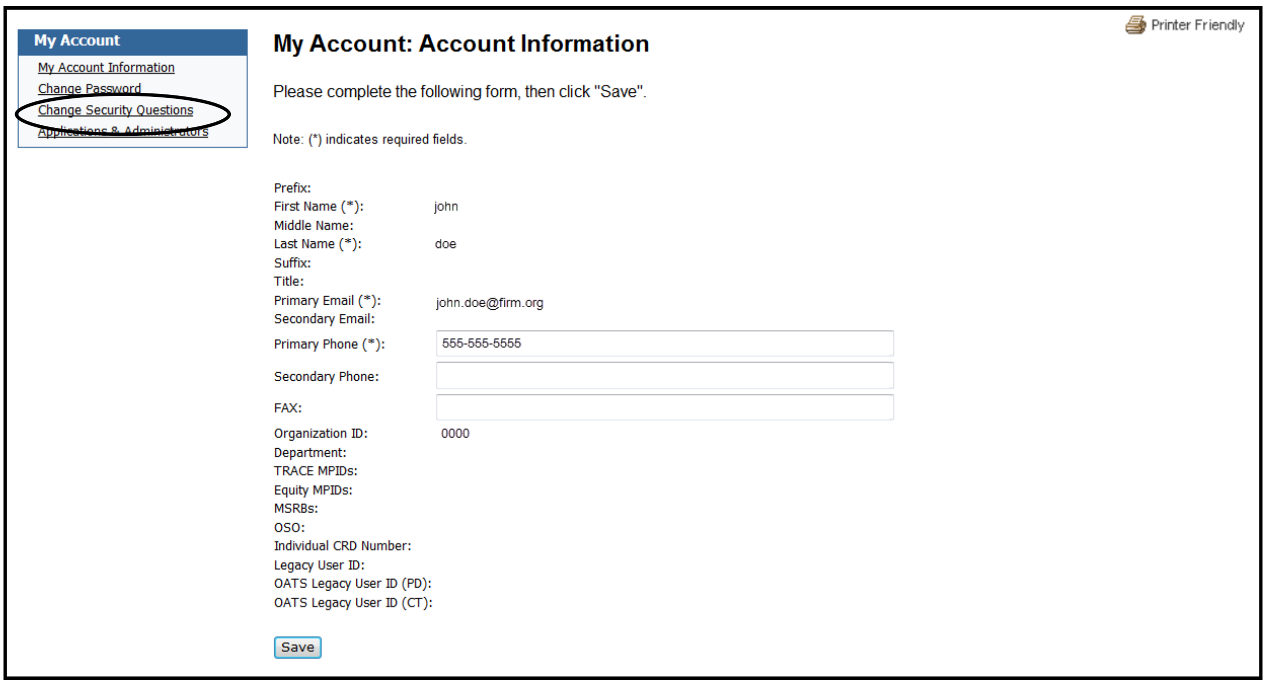
The **Security Questions and Answers** can be change by clicking the **Edit Security Questions** checkbox that is located on the **Password screen.**

OR

Step 1: Access the Account Management site *(see pg. 4 or 10)*.

Step 2: Select **My Account** from the header section of the screen.
Result: The *Applications & Administrators* screen appears.

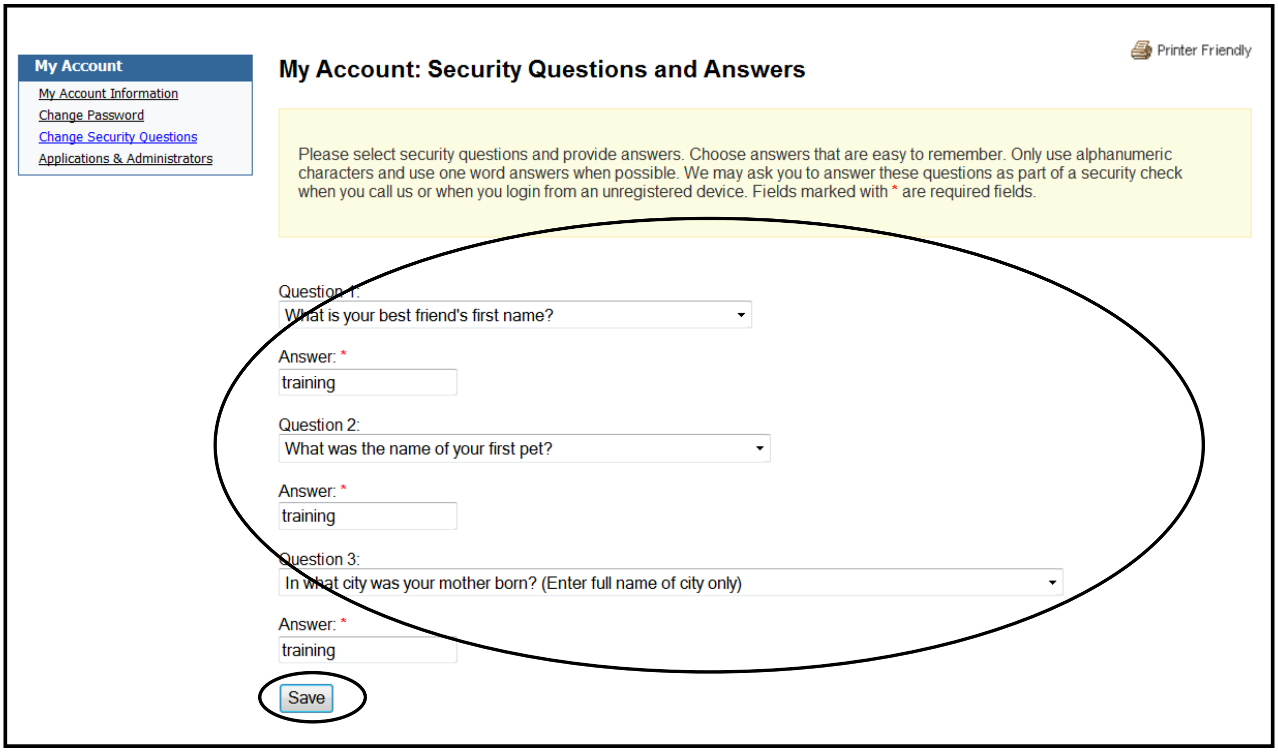
Result: The *My Account: Account Information screen* appears.



Step 3: Select **Change Security Questions** located on the navigation bar located on the left side of the screen.

How to Change Your Security Questions and Answers (cont.)

Result: The *My Account: Security Questions and Answers* screen appears.



Step 4: Change your **Security Questions and Answers** as desired and click **Save**.

How to Edit a User Account

Step 1: Search for and view the user's account *(see pg.15)*.

Step 2: Click **Edit Account** from the navigation panel.

Step 3: Update any necessary information in the **User Profile** and/or **FINRA Information** fields.

OR

Step 3a: To disable or reactivate a user's account, click the drop-down arrow in the **Change Account Status** field and change the status to **Disable** or **Activate**, as appropriate.

OR

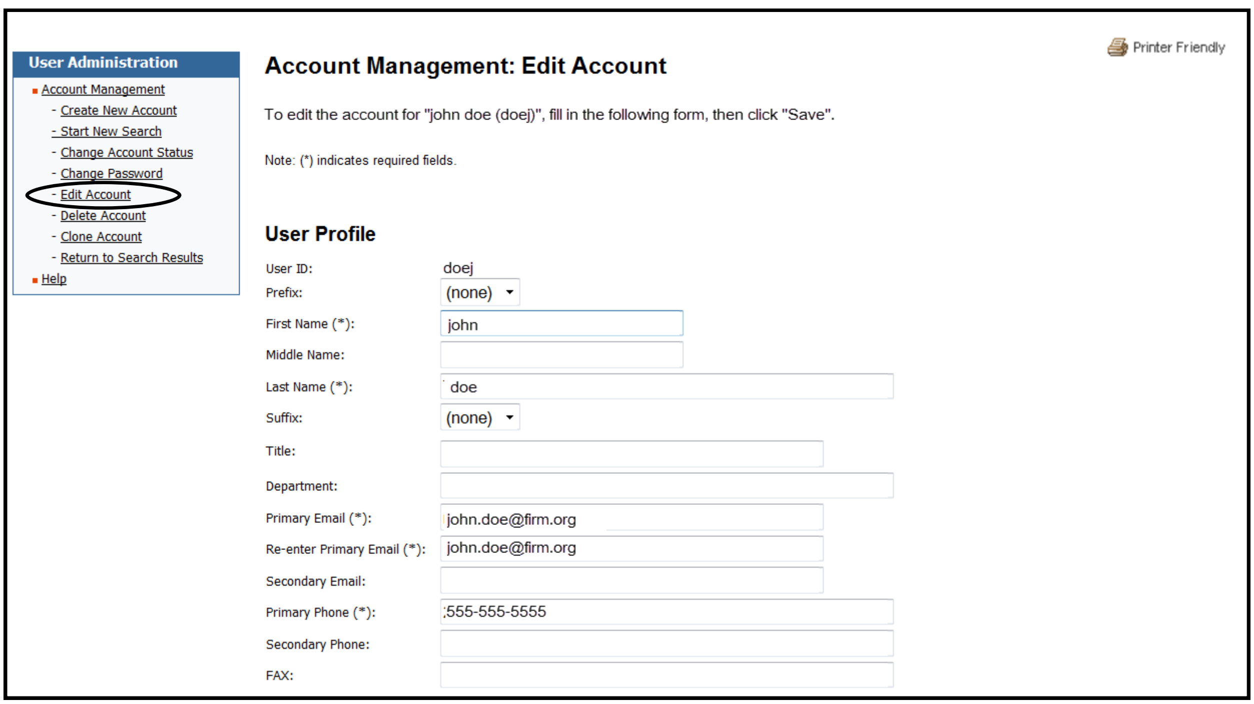
Step 3b: To add a privilege to a user's account click **User** next to the appropriate privilege.

OR

Step 3c: To remove a privilege that a user no longer needs click 'User'. This will uncheck the box next to the privilege that is no longer needed.

Step 4: Click **Save**.

NOTE: You cannot edit the **User ID** or **Legacy User ID** fields. You can only see and edit the applications and privileges for which you are an entitled Account Administrator. Also, you cannot edit any information for another Account Administrator's account.



How to Delete a User Account

If a user is no longer employed at your firm, or if a user no longer needs access to any participating FINRA Entitlement applications, the Account Administrator can delete the user's account. As an Account Administrator, it is your responsibility to perform regular housekeeping on your firm's users, by periodically reviewing accounts to determine which accounts should be deleted.

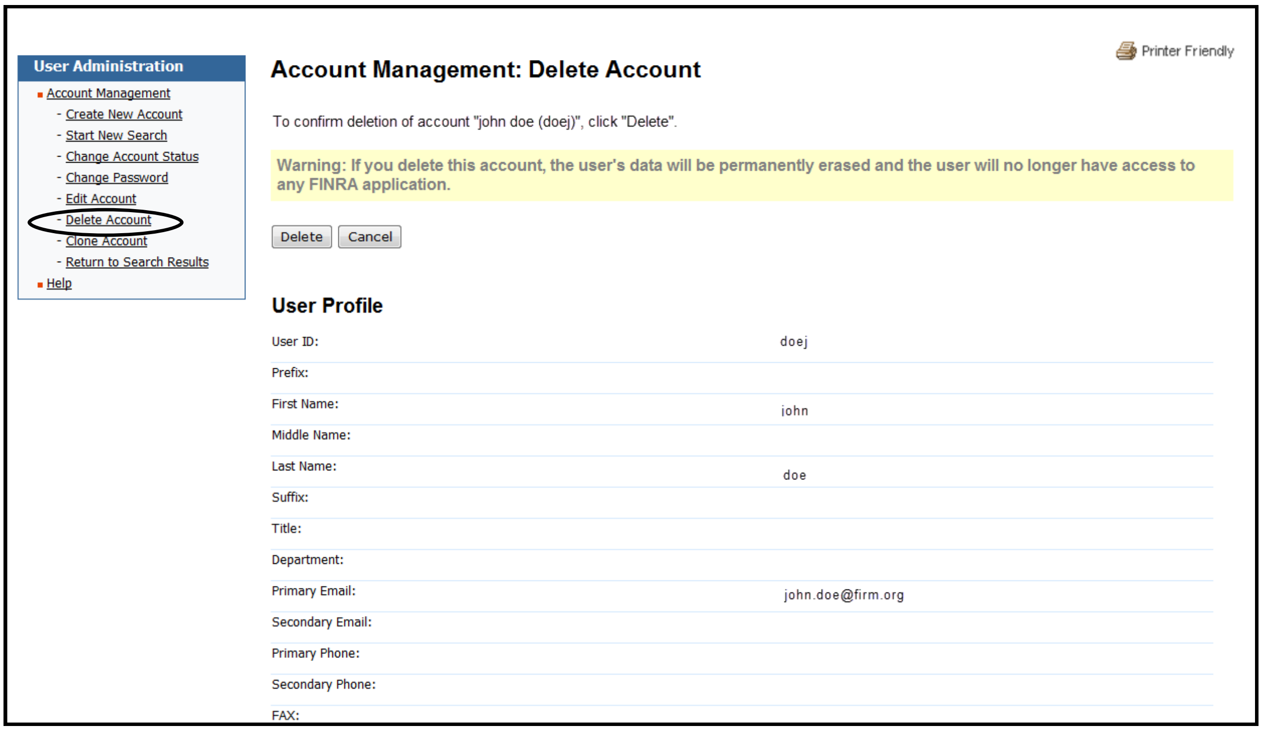
Step 1: Search for and view the user's account *(see pg.15).*

Step 2: Click **Delete Account** from the navigation panel.

Result: A warning message displays reminding you that the individual's data will be permanently deleted and the user will not be able to access any participating FINRA applications.

Step 3: Click the **Delete** button.

Result: A confirmation message displays letting you know that the account has been deleted.



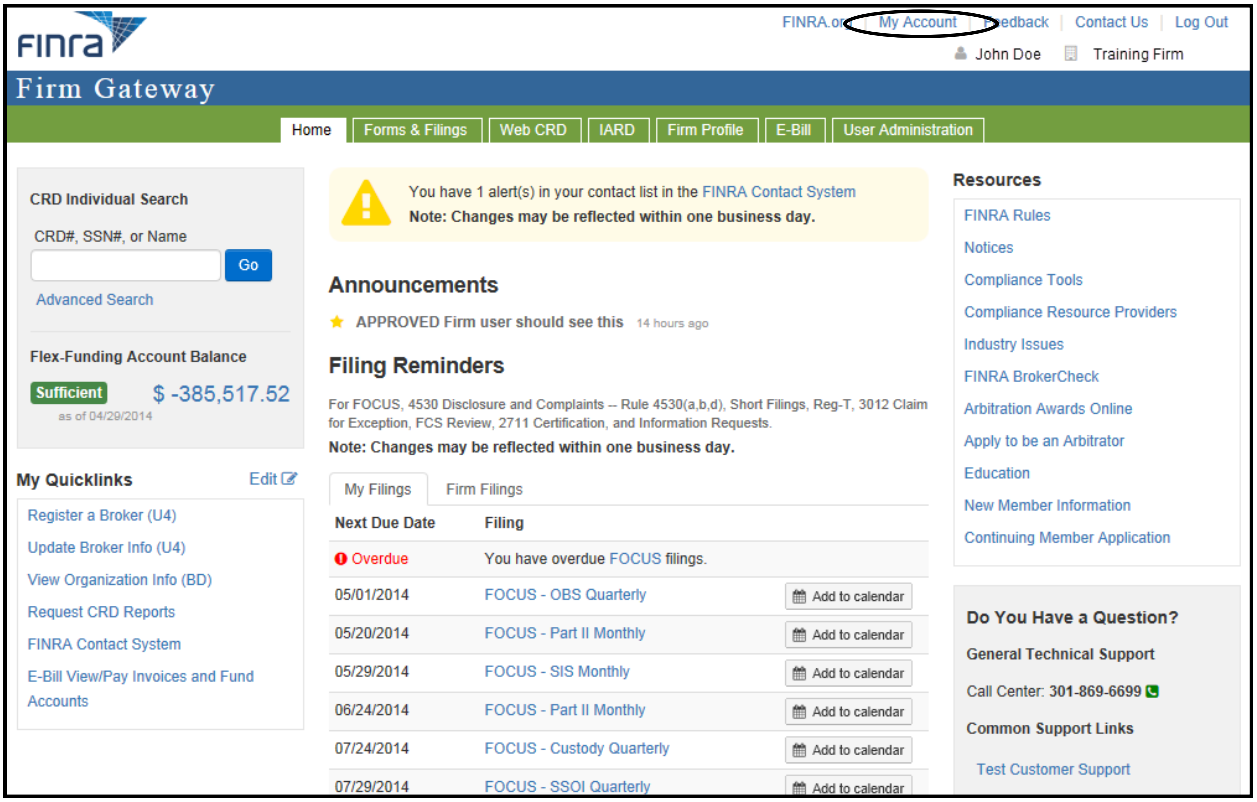
IMPORTANT TIPS WHEN DELETING USER ACCOUNTS

- It is important not to delete a user in error, because the user will lose access to all participating FINRA Entitlement applications.
- If you delete a user in error, create a new account for the user and entitle him/her to any applications and privileges he/she needs.
- If a user is entitled to more than one application (e.g., Web CRD, IARD, and FINRA Report Center) and he/she no longer needs access to one of those applications, DO NOT delete the user's account. Instead, remove all privileges for an application, by clicking the **Unselect All** hyperlink.

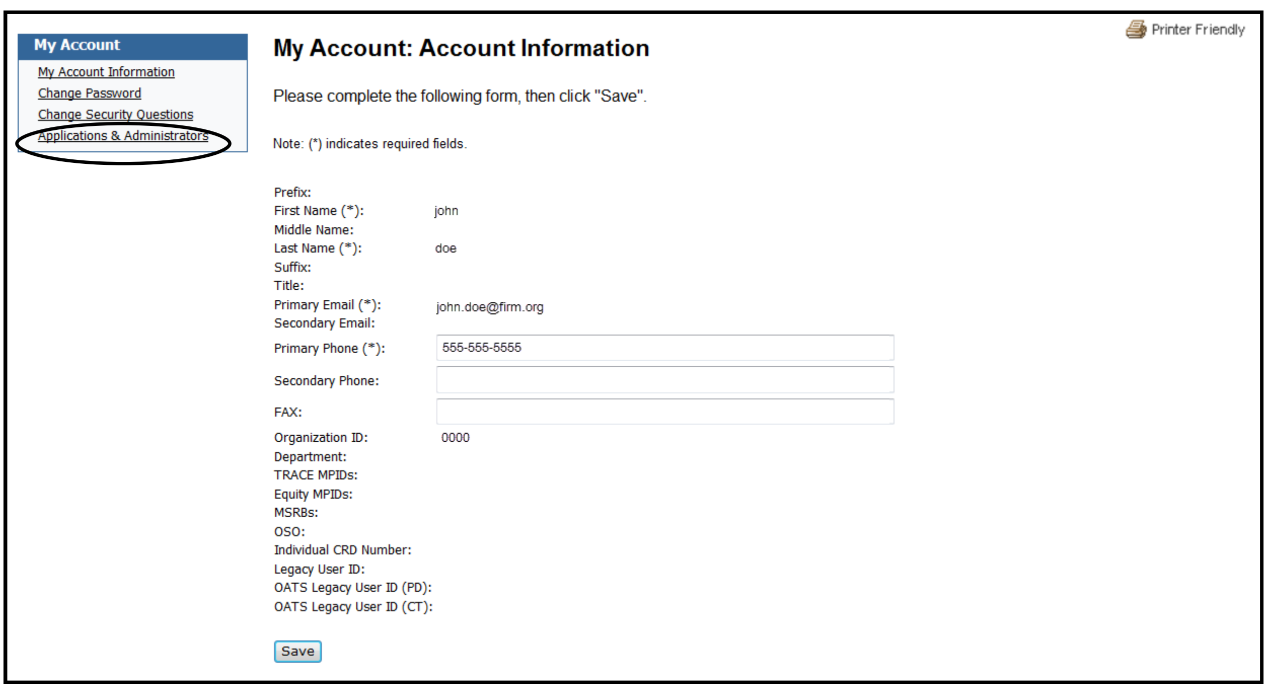
How to Find the Super Account Administrator or Account Administrator (used by member organizations)

All user's can view a list of their firm's Super Account Administrator, Account Administrators and the list of **all** FINRA applications available to your organization.

Step 1: Access the FINRA Firm Gateway site and click **My Account** located at the top of the screen.



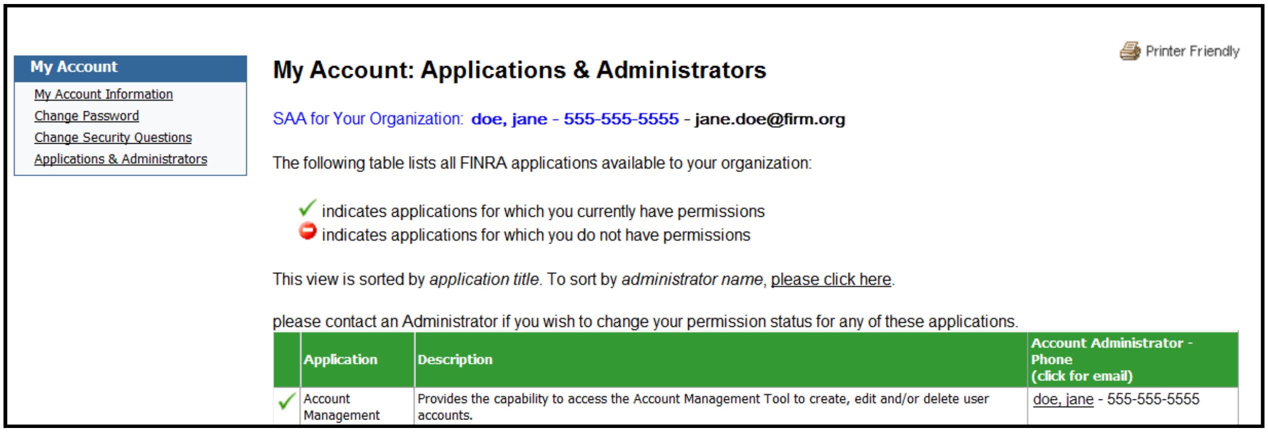
Result: The **My Account: Account Information** displays.



Step 2: Click **Applications & Administrators** from the navigation panel.

How to Find the Super Account Administrator or Account Administrator (cont.)

Result: The **My Account: Applications & Administrators** screen displays.

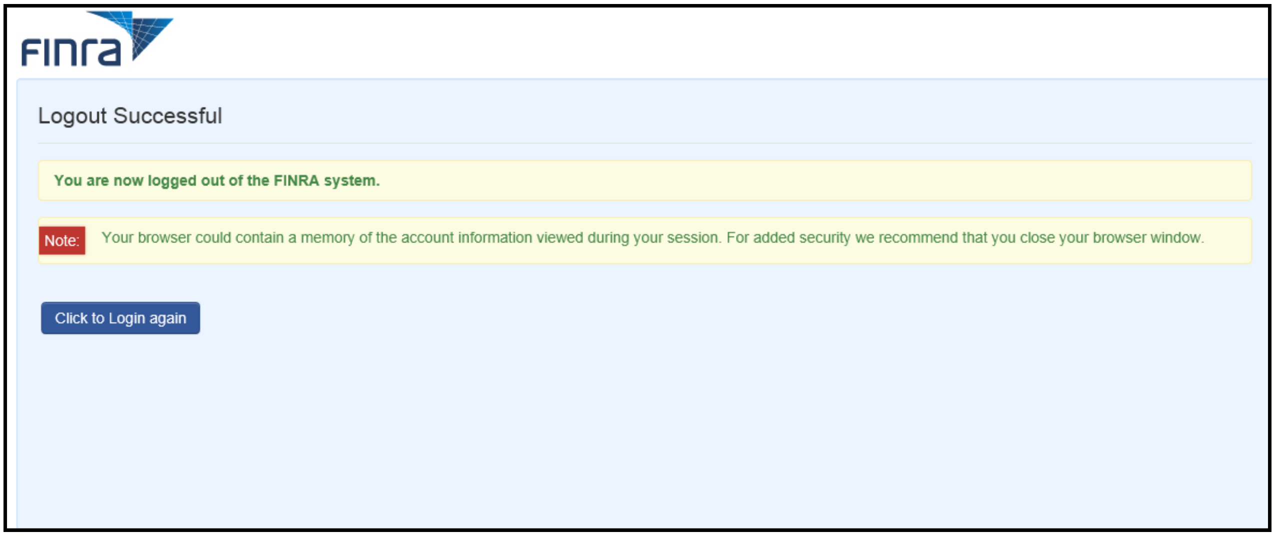


- The SAA 's information appears at the top of the screen beneath **My Account: Applications & Administrators**.
- The AA's information appears in the last column of the table.
- Green check marks indicate the applications for which you are entitled. The red circles indicate the applications for which you are not entitled.

How to Log Out

Select Log Out from the top right portion of the screen.

The **Logout Successful** screen will display. To log back in, select the **Click to Login again** button. Follow the prompts to log back in.



NOTE: When you log out, your browser could contain a memory of the account information viewed during your session. For added security we recommend that you close your browser window.