



To: Super Account Administrator (SAA) FINRA Entitlement Program
From: FINRA Entitlement Group
Re: SAA Confirmation Packet

Welcome to the FINRA Entitlement Program.

The FINRA Entitlement Program permits authorized users to access participating web-based applications with a single user account.

This Super Account Administrator (SAA) Confirmation Packet contains seven (7) attachments with detailed information to assist you and your organization as a FINRA Entitlement Program participant.

- I. **Minimum Browser Requirements for each Application** - This attachment lists the minimum browser requirements necessary to access and operate any current participating web-based applications.
- II. **Account Management Tool General Overview** - This attachment provides information on features of login screens for SAAs and Users.
- III. **Super Account Administrator's Roles & Responsibilities** - This attachment provides the roles and responsibilities of an SAA using the Account Management Tool and provides Entitlement Tips.
- IV. **Password Change Instructions** - This attachment provides the steps for changing your password and accessing the participating applications.
- V. **Password Change Instructions for Users (Account Administrators & Users)** - This attachment provides the users with the steps necessary to access the participating applications. The attachment also includes important reminders regarding password security. You may distribute this attachment to your users as a reference aid.
- VI. **Entitlement – Firm Download Report** - This attachment provides the benefits and instructions for using the Firm Download Report which enables an SAA and other account administrators to review their users and to validate what access they have.
- VII. **FINRA Entitlement Program Support Information** - This attachment provides a reference of support information available for the FINRA Entitlement Program.

Minimum Browser Requirements

Attachment I

Browsers	
Internet Explorer (IE ¹)	7.0 or greater
FireFox	Latest Version
Chrome	Latest Version

¹ (Javascript enabled)

Once you access the FINRA Entitlement Program, updates on “Recommended Hardware/Software” information can be found within each application.

**For questions about FINRA Entitlement or participating applications,
call the FINRA Gateway Call Center at
301.869.6699 (Broker-Dealers) or 240.386.4848 (Investment Advisers).
For Order Audit Trail System (OATS) specific questions, call 1.800.321.6273.**

Account Management Tool General Overview

Attachment II

The Account Management Tool is the application that enables Super Account Administrators to access and manage accounts for their organization's Administrators and Users.

The following are features of the FINRA Entitlement screens that apply to ALL entitled users (Account Administrators and Users):

1. A uniform FINRA Login Page with Terms and Conditions that all users will access when logging into an application.
2. Password features:
 - One password to access all participating applications.
 - The temporary password that is provided to a new user by an Administrator will need to be changed on first login.
 - Passwords are set to expire and you will be required to change your password when prompted by the system.
 - To comply with FINRA's Corporate Security Policy:
 - Terms & conditions must be accepted by each user
 - Passwords must not be shared and must be changed when prompted by the system or when it is suspected that a password has been compromised.
 - Responses to Security challenge questions must be provided by each user.
 - Administrators must immediately disable/delete accounts of terminated users.
 - All dormant accounts are deleted by FINRA. Users must access at least one application during a consecutive 13-month period from the last password reset or the account will be deleted as it will be considered a "dormant" account. If this should occur, the account will need to be recreated by an Administrator.
3. Users are able to view a list that identifies who their Super Account Administrator is along with all Account Administrators for their Organization. Applications for which the persons are entitled are also listed.
4. Each user must complete 3 Security Challenge questions and provide a response for each. One of the Security Challenge questions will be used to validate identity before an Account Administrator will reset/unlock a password.

Super Account Administrator's Role & Responsibilities

Attachment III

The Account Management Tool offers the Super Account Administrator (SAA) the ability to manage accounts for the users in their organization. All Administrators have access to the Account Management Tool. The tool allows one to:

- Create New Accounts (Account Administrators and users)
- Search for users (Account Administrators and users)
- Change Passwords
- Change Account Status
- Set privileges for application(s)
- Edit Accounts
- Delete Accounts
- Disable Accounts
- Clone Accounts
- Review accounts to determine if access/privileges are required

Super Account Administrator's Responsibilities

1. As a new SAA, you will need to entitle yourself to any "User" privileges for applications you need to perform your job functions. Keep in mind that you will not be able to access any application unless you have marked "User" for that application to your SAA account.
2. Ensure PCs meet minimum browser requirements.
3. Create accounts (Account Administrators and/or users). As the SAA, you may choose to delegate user account set ups to your Account Administrators.
4. Update any existing accounts when appropriate.
5. Provide User ID, initial Password and URL for specific application to each person whose account you created.
6. Explain that each new account will require the initial Password to be reset during the first login. The FINRA Password Policy will be displayed as users create their new passwords.
7. Your users need to know to contact you (or other Account Administrators) for any account administration issues that need to be addressed. Inform your users who their Account Administrators are for each application in your organization. With the FINRA Entitlement Program, users can click on the "Applications & Administrator" link under "My Account" to see who is designated as their SAA, as well as, a list of all their Account Administrators. For Administrators, the SAA designation can also be seen in the Account Management Search Results Screen.
8. Disable or delete a user's account when necessary. Disable or delete a user's account immediately when an individual is no longer with your organization.
9. Periodically monitor users to see if their current jobs/responsibilities require them to have continued access to the applications and/or require them to have the entitlement privileges they have. Use the Entitlement Download Report to review users and their information more easily. See Attachment VI. In the future, SAAs will complete an online certification for their users.
10. Call the FINRA Gateway Call Center when:
 - your account is locked, you have forgotten your password, or you are having difficulties logging in.
 - your firm needs to replace the SAA or update the name or email address of the current SAA. An Authorized Signatory from your firm must contact the Gateway Call Center to request an Update/Replace SAA Form.

FINRA verifies the requestor and will only send the pre-populated form to the Authorized Signatory contact information on file at FINRA. FINRA defines the Authorized Signatory for an Update/Replace SAA Form as:

- For Broker-Dealer firms: An Authorized Signatory is the Chief Compliance Officer (CCO) or authorized officer (or other authorized person) who is listed on Schedule A of the Organization's current Form BD **and** the signer and the designated SAA is not the same person.
- For Investment Adviser firms: An Authorized Signatory is the CCO or Additional Regulatory Contact (ARC) who is listed on the current Form ADV **and** the signer and the designated SAA is not the same person.
 - Note that IA firms that have access to the FINRA Entitlement Program and need to replace their SAA but have not yet filed their initial Form ADV must use the New Organization SAA Form to replace or update their SAA.

FINRA will suspend all accounts if information does not match or is not verifiable.

Requests are made by contacting the Gateway Call Center:

- Broker-dealer firms: (301) 869-6699
- Investment adviser firms: (240) 386-4848

11. Security Challenge Question/Response – To confirm the identity of a user when a user is locked out or needs his/her password reset, FINRA will ask one of the Security Challenge questions to ensure the response matches what the user provided.
12. To comply with FINRA's Corporate Security Policy, the FINRA Entitlement Program requires that users access at least one application during a consecutive 13-month period from the last password reset or the account will be deleted as it will be considered a "dormant" account. If this should occur, the account will need to be recreated by an Administrator. An SAA will need to recreate an Account Administrator's account. As an SAA, if your account is deleted, a New Organization SAA Entitlement Form will need to be submitted to FINRA to recreate your SAA account.

Important Entitlement Tips

Review the Super Account Administrator Quick Reference Guide found on the FINRA SAA Entitlement Web Site at <http://www.finra.org/entitlement/saa>.

1. Ensure that your organization has created Account Administrators for each application to which your firm requires access.
2. The SAA is the main contact for any FINRA Entitlement correspondence, emails or phone calls.
3. The SAA should contact the FINRA Gateway Call Center with Entitlement questions or when they need to have their account unlocked.
4. Users can change their passwords as often as they wish.
5. Anyone who forgets their password and/or are locked out from attempting to enter a password more than five times, can click on the **Forgot User ID or Password?** link to request a new password be sent to them via email.
6. You will be prompted to enter your user ID and security challenge response before a new password will be emailed. You will be required to change this new temporary password when you log into the system.
7. The FINRA Entitlement Program functionality allows the SAA to create and maintain all Account Administrator's accounts, but it is the FINRA Entitlement Group's responsibility to create and maintain **all Super Account Administrators'** accounts, including resetting passwords, unlocking SAA accounts, and updating name and email address.
8. Super Account Administrators, Account Administrators and users have many other resources available. For further information on the FINRA Entitlement Program and the tools and applications, refer to the FINRA SAA Entitlement Web Page <http://www.finra.org/entitlement/saa>.

Form, Instructions & Confirmation Packet FINRA SAA Quick Reference Guide Frequently Asked Questions (FAQs)

While you are working in the Account Management Tool, FINRA Entitlement Help is designed to offer assistance on the functionality available. If FINRA Entitlement Help does not address your questions, please contact the FINRA Gateway Call Center at 301.869.6699 (Broker-Dealer Firms), or at 240.386.4848 (Investment Adviser Firms).

Password Change Instructions

Attachment IV

The FINRA Entitlement Program passwords are as sensitive as the PIN number to your bankcard. It is critically important that each user safeguard his/her User ID and Password as carefully as you would your bankcard PIN number.

- A new user to the FINRA Entitlement Program will be required to change the temporary password upon first login. Change your password the FIRST time you login.
- If you are an existing FINRA Entitlement Program user and have requested access to another FINRA web-based application, you will continue to use your existing User ID and Password.
- Passwords are set to expire and you must change your password when prompted by the system or if you suspect your password has been compromised.
- Passwords are case sensitive
- It is a violation of FINRA Corporate Security Policy to share passwords.

FINRA Password Policy

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
- Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)
- Must contain characters from at least three of the following four categories:
 - English uppercase characters (A-Z)
 - English lowercase characters (a-z)
 - Numeric characters (0...9)
 - Special characters ! \$ # @ / ? | < > ~ = { } ; : ' () + [] \ - _ ` . ^ ,

URLs to the FINRA Entitlement Program Participating Applications

Application Name	Production Application URL Entry point
Account Management Tool	https://accountmgmt.finra.org/ewsadmin2/index.jsp
FINRA Firm Gateway	https://firms.finra.org/
Web CRD [®]	https://crd.finra.org
IARD SM	https://crd.finra.org/iad
FINRA Contact System	https://regfiling.finra.org/contacts/ncs_contacts.aspx
Report Center	https://reportcenter.finra.org
e FOCUS	https://firms.finra.org/forms

Visit the [FINRA Entitlement Systems/Applications Information](#) web page for additional applications residing on the FINRA Entitlement platform.

**For questions about FINRA Entitlement or participating applications,
call the FINRA Gateway Call Center at
301.869.6699 (Broker-Dealers) or 240.386.4848 (Investment Advisers).
For Order Audit Trail System (OATS) specific questions, call 1.800.321.6273.**

Password Change Instructions for Users

Attachment V

You have been provided your User ID and temporary Password information for the FINRA Entitlement Program to access the participating applications.

- A new user to the FINRA Entitlement Program will be required to change the temporary password upon first login.
- If you are an existing FINRA Entitlement Program user and have requested access to another FINRA web-based application, you will continue to use your existing User ID and Password.
- Passwords are set to expire and you will need to change your password when prompted by the system or if you suspect your password has been compromised.
- Passwords are case sensitive.
- It is a violation of FINRA Corporate Security Policy to share passwords.

1. Login with the User ID and temporary Password provided.
2. If you are a first time user, you will be taken to the Password Reset screen.
3. On the Password Reset screen, you will need to enter the following information:

Current password: (Temporary Password provided via a phone call from the FINRA Entitlement Group).

The password field is case sensitive.

New password: (refer to the FINRA Password Policy below when creating a new password)

Re-type **new password** to confirm: Enter the new password again to confirm.

FINRA Password Policy

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
 - Cannot contain the character "*", "&", "%", or " " (asterisk, ampersand, percent, or space)
 - Must contain characters from at least three of the following four categories:
 - English uppercase characters (A-Z)
 - English lowercase characters (a-z)
 - Numeric characters (0...9)
 - Special characters ! \$ # @ / ? | < > ~ = { } ; : ' () + [] \ - _ ` . ^ " ,
4. Select your Security Challenge questions and enter Security Responses.
 5. Click **Continue**
 6. After successfully changing the password, you will be taken to a page that displays the following text:
Password Reset: Completed
Your password has been reset. Click "Continue" to log in.
You will then need to log into the application with your user name and the password you created.
 7. Review the FINRA Entitlement Web pages for more information.

URLs to the FINRA Entitlement Program Participating Applications

Application Name	Production Application URL Entry point
Account Management Tool	https://accountmgmt.finra.org/ewsadmin2/index.jsp
FINRA Firm Gateway	https://firms.finra.org/
Web CRD [®]	https://crd.finra.org
IARD SM	https://crd.finra.org/iad
FINRA Contact System	https://regfiling.finra.org/contacts/ncs_contacts.aspx
Report Center	https://reportcenter.finra.org
e FOCUS	https://firms.finra.org/forms

Visit the [FINRA Entitlement Systems/Applications Information](#) web page for additional applications residing on the FINRA Entitlement platform.

User Responsibilities:

1. Change password with first login.
2. Change password when prompted by the system or if you suspect your password has been compromised.
3. Ensure password meets FINRA Security criteria.
4. Know who your Super Account Administrator and Account Administrators are for your organization. You will contact these individuals for any account administration issues (e.g., setting privileges, unlocking accounts, resetting passwords, etc.). With the FINRA Entitlement Program, you can click on the “Applications & Administrator” link under “My Account” to see who is designated as your SAA, as well as, a list of all your Account Administrators.

If you have forgotten your password and/or are locked out from attempting to enter a password more than five times, you can click on the **Forgot User ID or Password?** link to request a new password be emailed to you.

You will be prompted to enter your user ID and security response before a new password will be emailed. You will be required to change this new temporary password when you log into the system.

For questions about the FINRA Entitlement Program or Entitlement, contact your Super Account Administrator or Account Administrator.

Entitlement – Firm Download Report

Attachment VI

The Entitlement – Firm Download Report is a tool available to Administrators (SAA & AAs) that enables them to view their users and their assigned privileges in an easy-to-use download.

Firm Download Report Benefits:

- Provides the capability to monitor your users and permissions on a periodic basis.
- Provides the capability to display determined attributes:
 - User IDs (default)
 - Names
 - Contact Information
 - Account Creation Date
 - Account Creator
 - Applications
 - Permissions (default)
- Provides the capability to save the download to Excel or Access.
- Provides the capability to easily format/sort the data to meet your needs (e.g., sort by privilege).

For instructions on how to Download the Search Results information to your computer, refer to the following screens.

The Firm Download Report is based on the Super Account Administrators or Account Administrator's entitlement and search criteria:

- If the query is limited to only accounts with WebCRD access, that will narrow who appears in the Search Results and download.
- If the query has no specific search criteria, the Search Results will display a list of all accounts within the firm to which the Administrator has access.

Printer Friendly

Account Management: Start New Search

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

You can use asterisks as wildcards. For example, "j*o*n*" matches "Jason", "John", and "Julio".
Selecting multiple permissions below will return accounts that match at least one permission.

User ID:

Last Name:

First Name:

Middle Name:

Email:

Department:

TRACE MPIDs:

Equity MPIDs:

MSRB Numbers:

OSO:

Account Management: ☐

Next Gen New Member Application: ☐

New Member Application: ☐

Account Management

- Home
- Account Management
 - Create New Account
 - Start New Search
- Help
- My Account
 - Change Password
 - Applications & Administrators
 - Logout

My applications

- My Applications
- Account Management
- CRD
- IARD

Step 1. Enter your search criteria and click the "Search" button. To see all users at your firm with access to applications to which you have entitlement, simply click the "Search" button without entering any search criteria.

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

Results 1-6 of 6 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
jdoe	doe	john		john.doe@firm.com					No	Active		
jdoe1	doe	jane		jane.doe@firm.com					Yes	Active		<ul style="list-style-type: none"> Account Management Next Gen New Member Application New Member Application CRD IARD Report Center

Account Management

- Home
- Account Management
 - Create New Account
 - Start New Search
- Help
- My Account
 - Change Password
 - Applications & Administrators
 - Logout

My applications

- My Applications
- Account Management
- CRD

Step 2. After receiving the Search Results, follow the instructions above.

Account Management

- Home
- Account Management
 - Create New Account
 - Start New Search
 - Return to Search Results
- Help
 - My Account
 - Change Password
 - Applications & Administrators
 - Logout

My applications

- My Applications
- Account Management

Account Management: Download Search Results

To download the accounts from your last search:

- Check the fields you wish to download from each account.
- Click "Download" to initiate the download.

☒ User ID
☐ Prefix
☒ First Name
☐ Middle Name
☒ Last Name
☐ Suffix
☐ Title
☐ Primary Email
☐ Secondary Email
☐ Primary Phone
☐ Secondary Phone
☐ FAX
☒ Account Status
☒ Account Created On
☒ Account Created By
☐ Department
☐ TRACE MPIDs
☐ Equity MPIDs
☐ MSRB Numbers
☐ OSO
☐ Individual CRD Number
☐ Legacy User ID
☐ OATS Legacy User ID (PD)
☐ OATS Legacy User ID (CT)
☐ OATS Flag
☐ SAA
☒ Permissions

Download Cancel


Step 3. Select the attributes you wish to download from each user account and click the "Download" button.

☐ Last Name
☐ Suffix
☐ Title
☐ Primary Email
☐ Secondary Email
☐ Primary Phone
☐ Secondary Phone
☐ FAX
☐ Account Status
☐ Account Created On
☐ Account Created By
☐ Department
☐ TRACE MPIDs
☐ Equity MPIDs
☐ MSRB Numbers
☐ OSO
☐ Individual CRD Number
☐ Legacy User ID
☐ OATS Legacy User ID (PD)
☐ OATS Legacy User ID (CT)
☐ OATS Flag
☐ SAA
☒ Permissions


Download Cancel

File Download

Do you want to open or save this file?


Name: FINRAaccounts.csv
Type: Microsoft Office Excel Comma Separated Values Fil...
From: accountmgmt-qc1.finra.org

Open Save Cancel


While files from the Internet can be useful, some files can potentially harm your computer. If you do not trust the source, do not open or save this file. [What's the risk?](#)

Step 4. To open the file in CSV format, click the "Open" button. To open the file and "Save" as Excel or Access, click the "Save" button.

FINRA SAA Entitlement Program Support Information

Attachment VII

Visit the [FINRA Entitlement Program – Super Account Administrator](#) web page at for additional information.

Designate an SAA For Your New Organization

Update/Replace Your SAA

Help & Training Resources

- SAA Quick Reference Guide
- Frequently Asked Questions (FAQs)

Additional Information

- Entitlement Information for FTP/IFT Users
- Systems/Applications Information

Important Phone Numbers

- 301.869.6699 for Broker-Dealer Firms
- 240.386.4848 for IA Firms
- 800.321.6273 for Order Audit Trail System (OATS) specific questions

Application Information

Additional information on each FINRA SAA Entitlement supported web-based application is available at:

Web CRD: www.finra.org/crd

IARD: www.iard.com

Report Center: www.finra.org/reportcenter

The Order Audit Trail System (OATS): www.finra.org/oats

Regulation Filing Applications: <http://www.finra.org/Industry/Compliance/RegulatoryFilings/index.htm>

FINRA Contact System: www.finra.org/fcs