

## FINRA Entitlement Program: New FINRA Login Security Feature

Effective late July, 2013, 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 identity. This new security feature is similar to those used by financial websites as an additional safeguard against unauthorized access.

This user guide is designed to assist users in navigating through the new FINRA Login Security feature.

### Step 1: Login

FINRA applications can be accessed several ways:

- FINRA-registered firms can access applications via the FINRA Firm Gateway at <http://www.finra.org/FirmGateway/login>
- Users can access applications directly (i.e. Web CRD can be accessed directly at <https://crd.finra.org>)

**NOTE:** This guide will step you through accessing applications via Firm Gateway (used by member firms).

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

**Step 2:** Enter your “existing” **User ID**, read the **FINRA Terms and Conditions** and click **I Agree**.

**NOTES:**

- The title of the login screen will vary depending on the URL address that you accessed. The steps for logging in are the same across the different URLs.
- The new security feature, did not change your User ID. Use your current User ID.
- If you do not know your **User ID**, contact your Super Account Administrator or Account Administrator.
- If you do not know your password, click the **Forgot Password** hyperlink. Enter your **User ID, Primary Email** address and click **Submit**. An email with a temporary password will be sent to you.
- Clicking **I Disagree** prevents you from accessing the application.

**FINRA**

## Welcome to Firm Gateway

**New** The Login process has changed. [Learn More](#)

User ID

[Forgot Password?](#)

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To enable you to be employed in certain positions or participate in certain matters or opportunities in the securities industry in the United States, FINRA collects certain personal data from you for identity verification and regulatory purposes. Personal information may include your name, address, phone number, fingerprints, employment history and any other information that identifies or can be used to identify the person to whom such information pertains. FINRA may use your personal information submitted via this Web site for any regulatory purpose.

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By clicking the button below, I certify that I have read and understand all of the terms of the [FINRA Entitlement Program Agreement and Terms of Use](#) and intend to form a binding agreement with FINRA on those terms without modification or amendment thereto. If I am accepting this agreement on behalf of an organization, I certify that I have the authority of that organization to enter into this agreement.

[I Agree](#) [I Disagree](#)

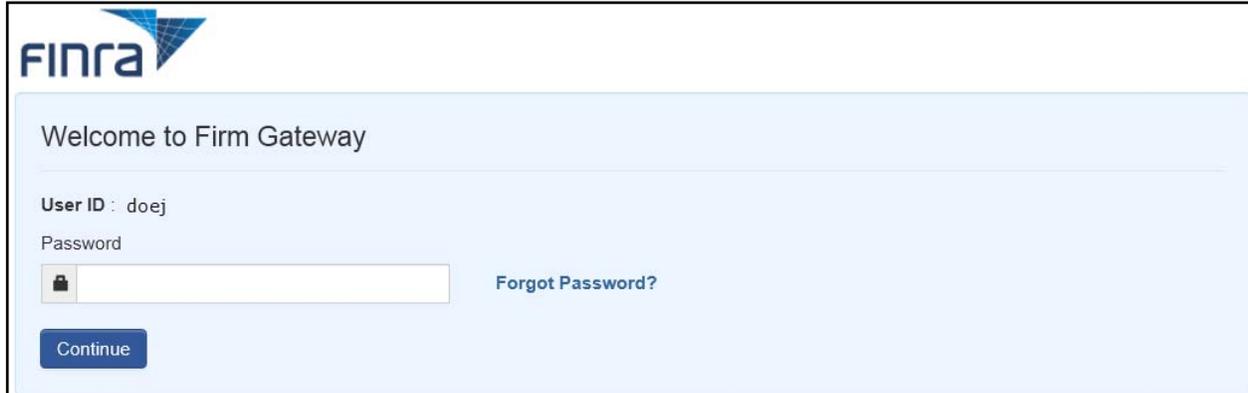
If you are experiencing any difficulties logging into the system, please contact your Administrator for assistance. If you are a Super Account Administrator, contact the [Gateway Call Center at 301-869-6699](#) for Assistance.

Do **NOT** bookmark this page or add it to your favorites. If you would like to create a bookmark or add this application to your favorites, please create the bookmark or add it to your favorites after successfully logging in.

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**Step 3: Enter your Password and click Continue.****NOTES:**

- The new security feature, did not change your Password. Use your existing Password.
- If you do not know your password, click the **Forgot Password** hyperlink. Enter your **User ID, Primary Email** address and click **Submit**. An email with a temporary password will be sent to you.



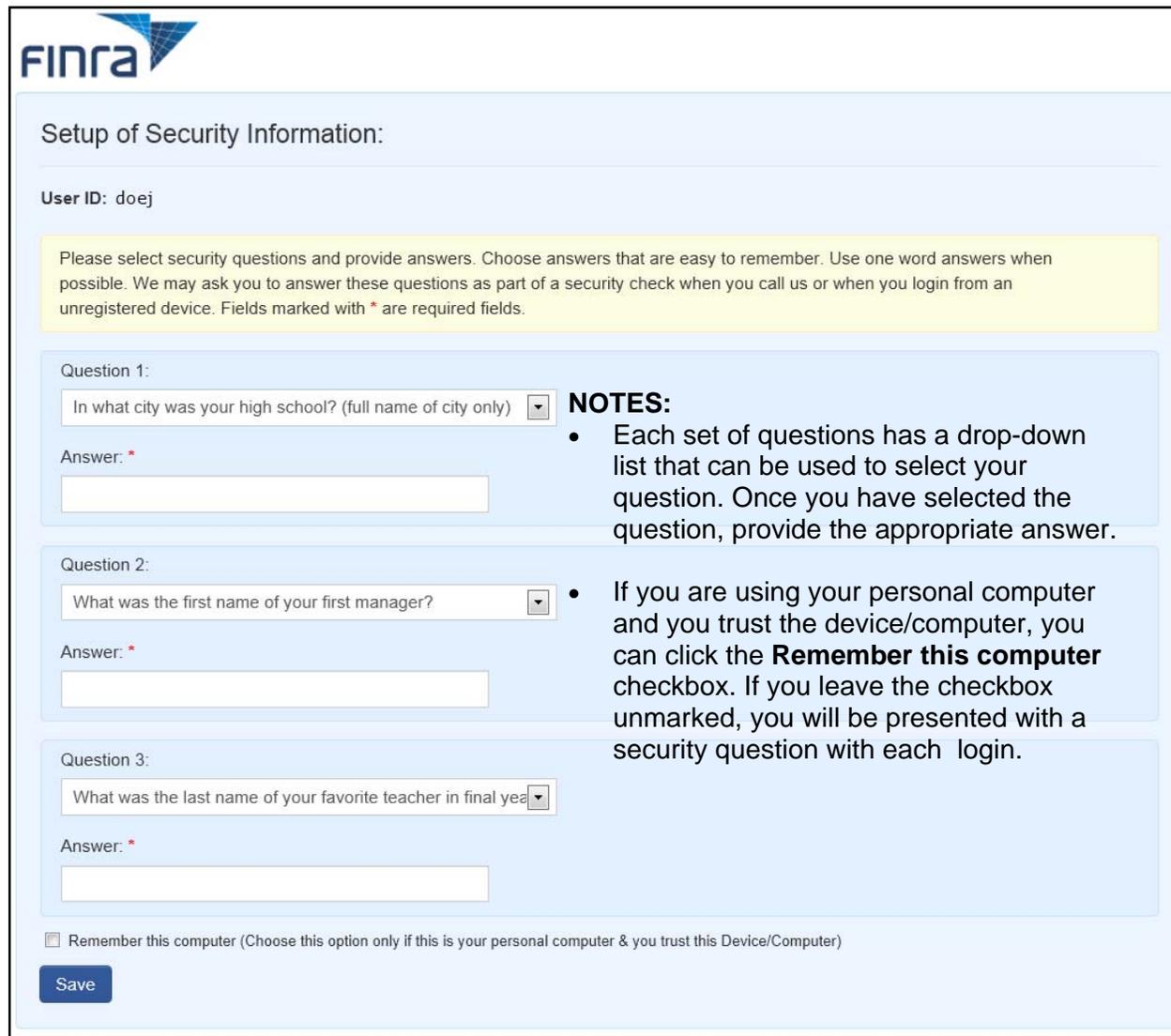
FINRA

Welcome to Firm Gateway

User ID : doej

Password

[Forgot Password?](#)

**Step 4: Select your three Security Questions, enter the appropriate answer for each question and click Save.**


FINRA

Setup of Security Information:

User ID: doej

Please select security questions and provide answers. Choose answers that are easy to remember. Use one word answers when possible. We may ask you to answer these questions as part of a security check when you call us or when you login from an unregistered device. Fields marked with \* are required fields.

Question 1:  
 In what city was your high school? (full name of city only)  **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.

Answer: \*

Question 2:  
 What was the first name of your first manager?

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

Answer: \*

Question 3:  
 What was the last name of your favorite teacher in final year

Answer: \*

Remember this computer (Choose this option only if this is your personal computer & you trust this Device/Computer)

**Step 5:** Navigate to the appropriate application(s) that you have entitlement (i.e. Web CRD, IARD, Report Center, etc).

Firm Gateway

[Home](#) | [Forms & Filings](#) | [Web CRD](#) | [IARD](#) | [Report Center](#) | [User Administration](#)

**CRD Individual Search**  
CRD#, SSN# or Name

[Advanced Search](#)

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**CRD Daily Account Balance**  
Information unavailable at this time,  
[Click here](#) to access the CRD Daily Account Balance page

**Filing Reminders**  
For FOCUS, 4530 Disclosure and Complaints -- Rule 4530(a,b,d), Short Filings, Reg-T, 3012 Claim for Exception, FCS Review, 2711 Certification, and Information Requests.

[My Filings](#) | [Firm Filings](#)

Next Due Date	Filing	Add To Calendar
Filing Reminders data currently unavailable. For this year's regulatory systems filing due dates <a href="#">click here</a>		

The list above does not include all the filing responsibilities of your firm.  
[Filing Due Dates on FINRA.org](#) [Want to know more?](#)

**Resources**

[FINRA Rules](#)  
[Notices](#)  
[Compliance Tools](#)  
[Compliance Resource Providers](#)  
[Industry Issues](#)  
[FINRA BrokerCheck](#)  
[Arbitration Awards Online](#)  
[Apply to be an Arbitrator](#)  
[Education](#)  
[New Member Information](#)  
[Continuing Member Application](#)

**My Quicklinks** [Edit](#)

- [Register a Broker \(U4\)](#)
- [Update Broker Info \(U4\)](#)
- [View Organization Info \(BD\)](#)
- [Request CRD Reports](#)
- [E-Bill View/Pay Invoices and Fund Accounts](#)

**CRD Queues**

Individual CRD Queues	<a href="#">Edit</a>	Total						
There are no queues in your list, click <a href="#">here</a> to configure your queue list								
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 60%;">Organization CRD Queues</th> <th style="width: 10%; text-align: center;"><a href="#">Edit</a></th> <th style="width: 30%; text-align: center;">Total</th> </tr> </thead> <tbody> <tr> <td colspan="3" style="text-align: center;">There are no queues in your list, click <a href="#">here</a> to configure your queue list</td> </tr> </tbody> </table>			Organization CRD Queues	<a href="#">Edit</a>	Total	There are no queues in your list, click <a href="#">here</a> to configure your queue list		
Organization CRD Queues	<a href="#">Edit</a>	Total						
There are no queues in your list, click <a href="#">here</a> to configure your queue list								

[Click here](#) to setup your e-mail notification preferences.

**Upcoming Rule Changes**

Filing ID	Summary
There are no Rule Changes to display.	

**Do you have a question?**

**General technical support**  
Call Center: 301-869-6699

**Common support links**  
[FINRA Entitlement Process](#)  
[Web CRD Payment Methods](#)  
[Renewal program information](#)  
[Current CRD Fees](#)

**FINRA Coordinator**  
Regulatory liaison data not available.  
For a listing of districts [click here](#)

[Home](#) | [Forms & Filings](#) | [Web CRD](#) | [IARD](#) | [Report Center](#) | [User Administration](#)

## NOTES

- Once you have saved your security information, you will periodically be presented with a security question. Or, if you have not selected the **Remember this computer** checkbox, you will be presented with a security question with each login.
- You can change your security information at any time by clicking the **Update Security Information** checkbox that is located on the **Password** screen.
- Five incorrect responses to your security questions will lock your account. You will need to contact your SAA or an Account Administrator.
- Five incorrect entries of your password will lock your account. You will need to contact your SAA or an Account Administrator.
- If you have a user account created after mid-July, you will be prompted to reset your password first and then establish your security questions.
- 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.
- To view **FINRA Login Security FAQs**, click [<here>](#)