Agenda

Introduction

The new FINRA Account Management System will replace the current Account Management application. It is used by Administrators to manage access to FINRA systems. The new system is integrated with the FINRA Gateway portal, thereby offering firms a one stop shop, along with other significant enhancements:

- Improved search capability
- Improved performance
- Inline editing capabilities
- Organization of account information into distinct sections
- Enhanced entitlements navigation
- In-app tutorials for users

These improvements have resulted in an intuitive and a simplified user interface.

New Terminology

Current Terminology	New Terminology
EWS ID	User ID
TRACE & EQUITY MPIDs, MSRB & OSO number	Org Identifiers
User Profile	Individual information - Summary
Account profile	Individual information - Account settings
FINRA information	• Individual Information – Account Access • Entitlements And Access Management – Org identifiers (MPIDs, MSRB, OSO)
Application entitlements	Entitlements And Access Management

DEMO

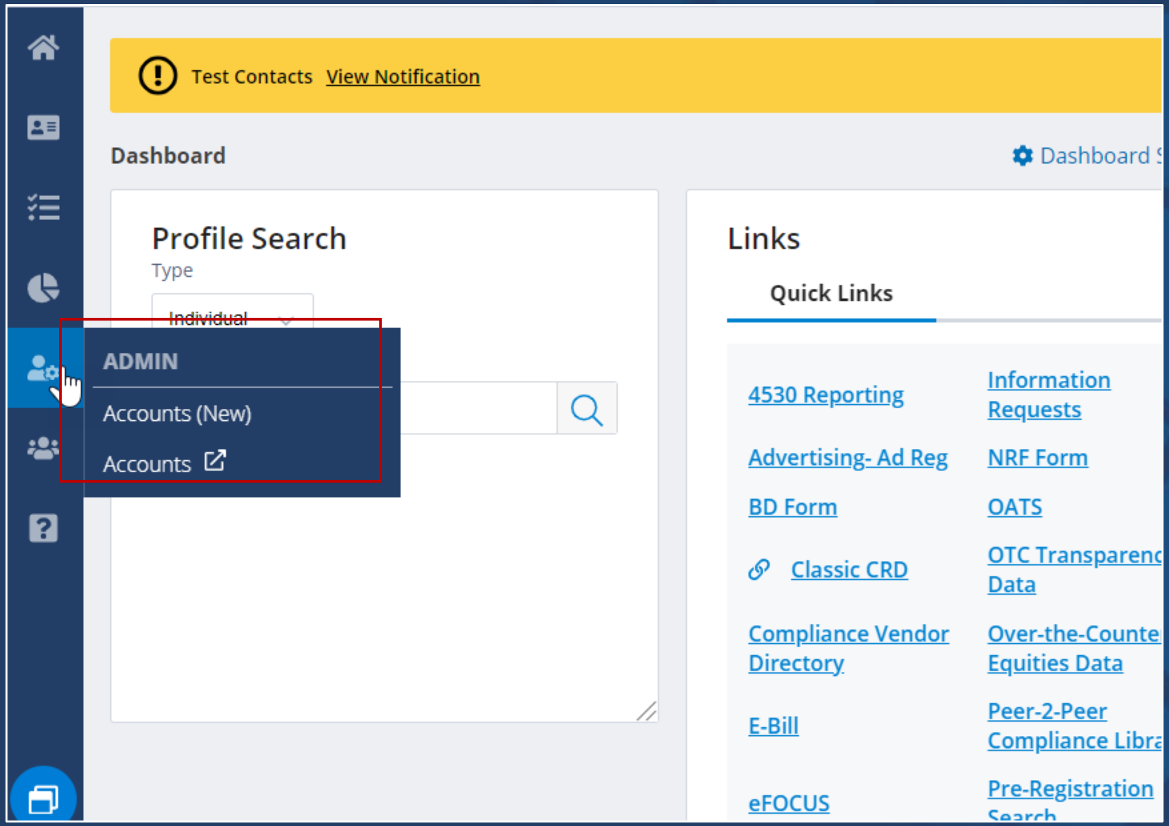
Access to New FINRA Account Management System

Access through FINRA Gateway

If you are a BD, IA or BD/IA firm

- Open FINRA Gateway using the following link: http://gateway.finra.org
- On the landing page select the Admin icon from the side menu bar
- If you are a certified or newly onboarded firm, then you will see the "Accounts (New)" link for the New FINRA Account Management system and the Accounts legacy link for the current system
- If you have not certified, you will only see Accounts Legacy link for the current system

Screenshot



Access to New FINRA Account Management System

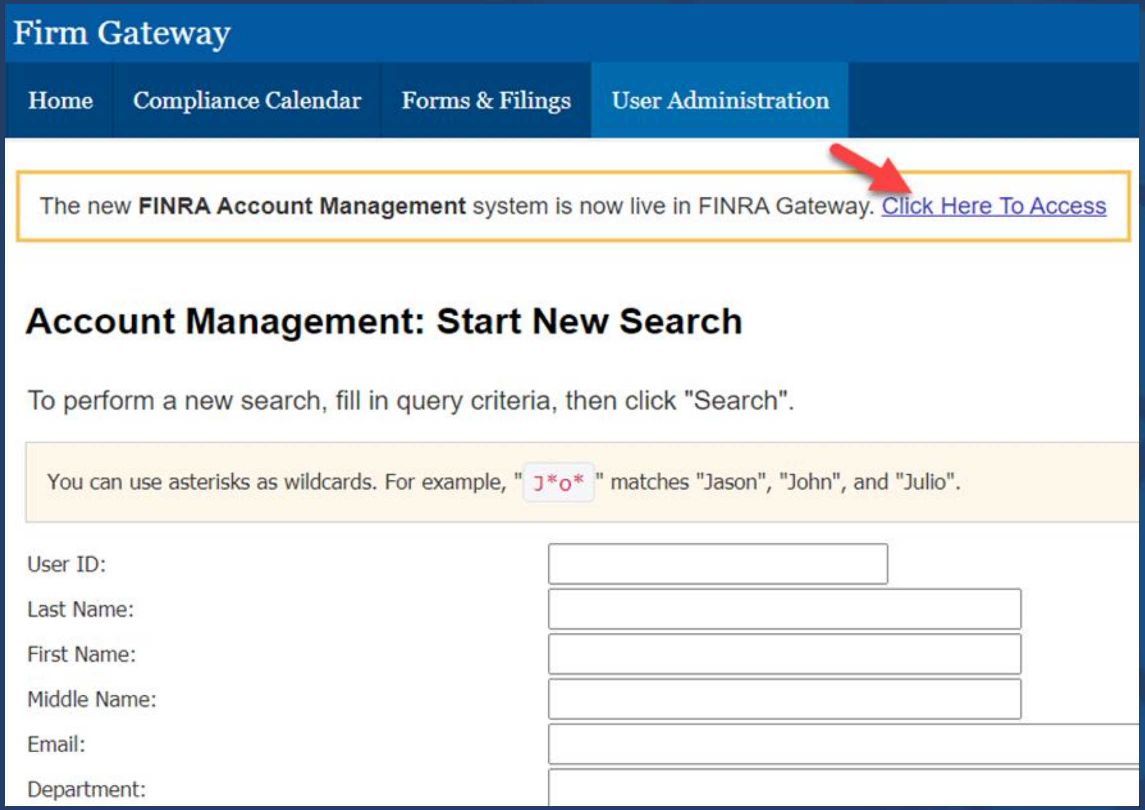
FINRA

Access through Firm Gateway

If you are a firm that are accessing FINRA Systems via Firm Gateway Portal:

- Open Firm Gateway using the following link: https://firms.finra.org
- On the Landing page, select User Administration, which will open the current Account Management System
- If you are a certified or a newly onboarded firm, on top of the page you will see a banner with a link for the new FINRA Account Management System
- This link will open a tab with the new FINRA Account Management System

Mockup



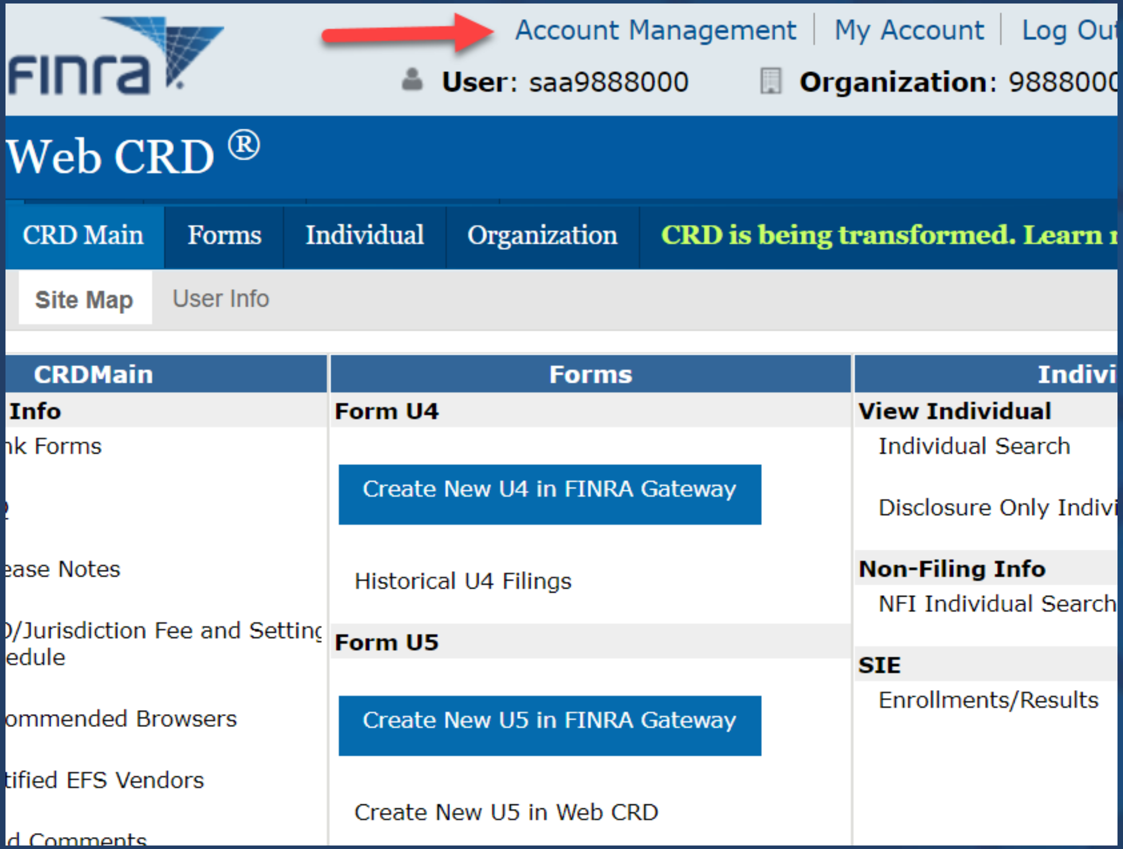
Access to New FINRA Account Management System

Access through CRD

If you are a firm that are accessing Account Management via CRD:

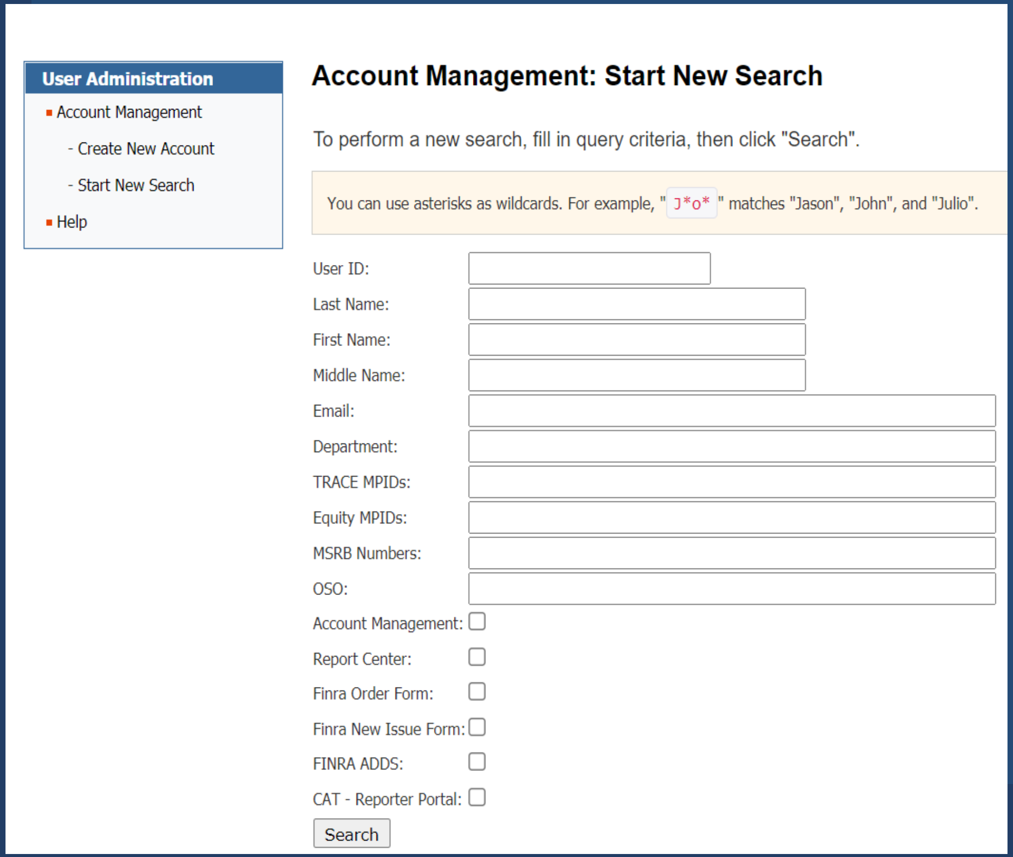
- Open CRD using the following link: https://crd.finra.org
- Select the Account Management link on the top right-hand section of the page, which will open the existing Account Management System
- If you are a certified or a newly onboarded firm, on top of the page you will see a banner with a link for the new FINRA Account Management System
- This link will open the new FINRA Account Management System

Mockup

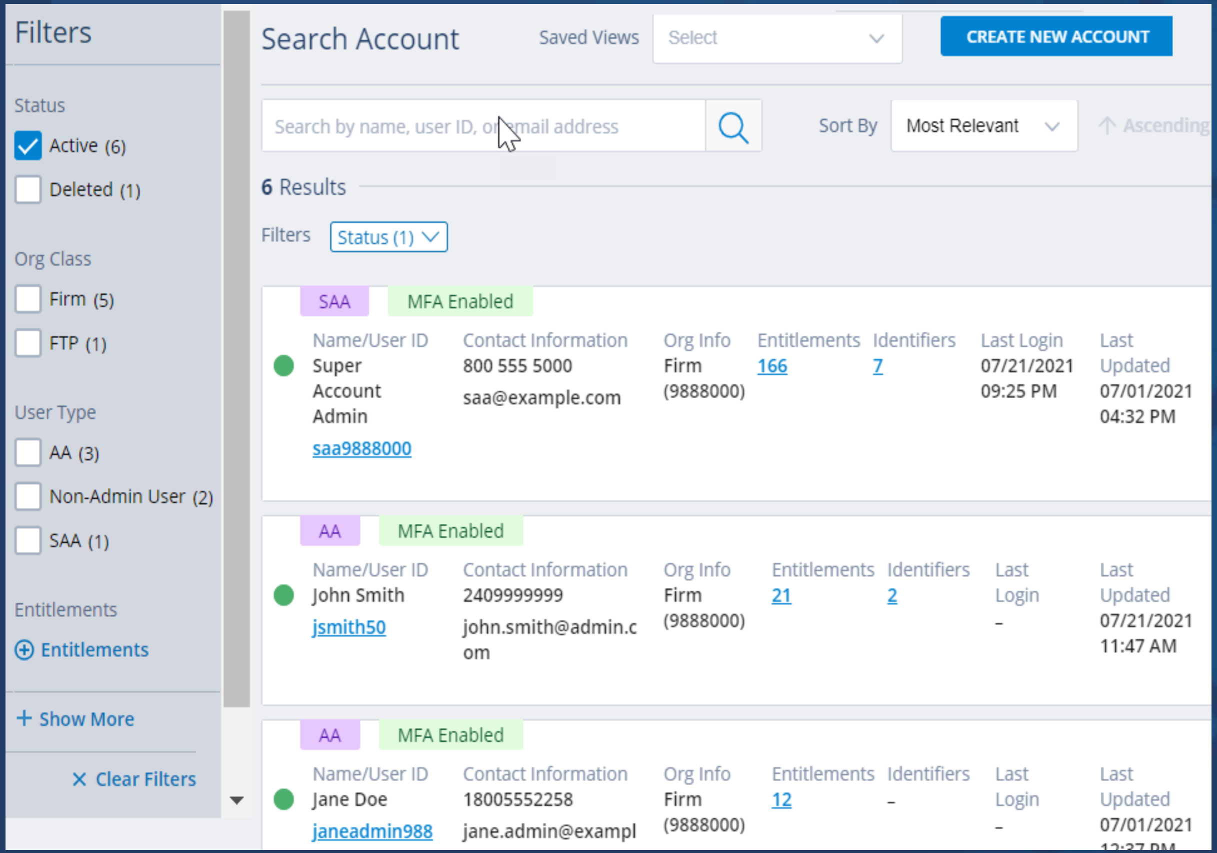


Accounts Demo – Search accounts

Current System



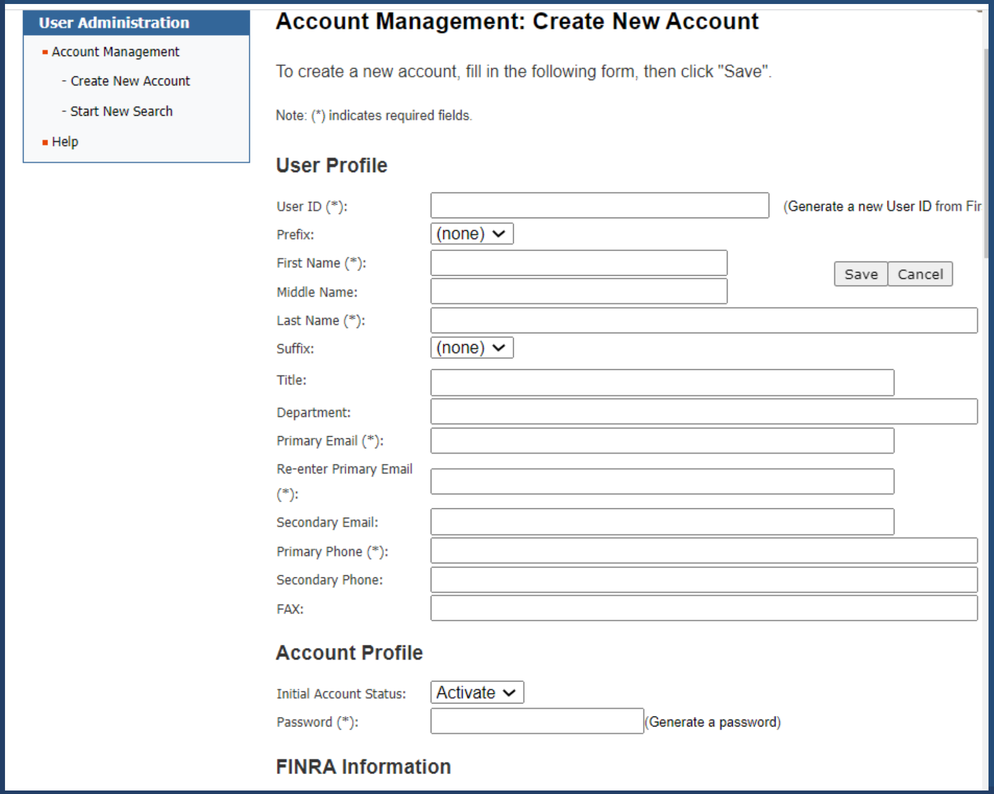
New Account Management System



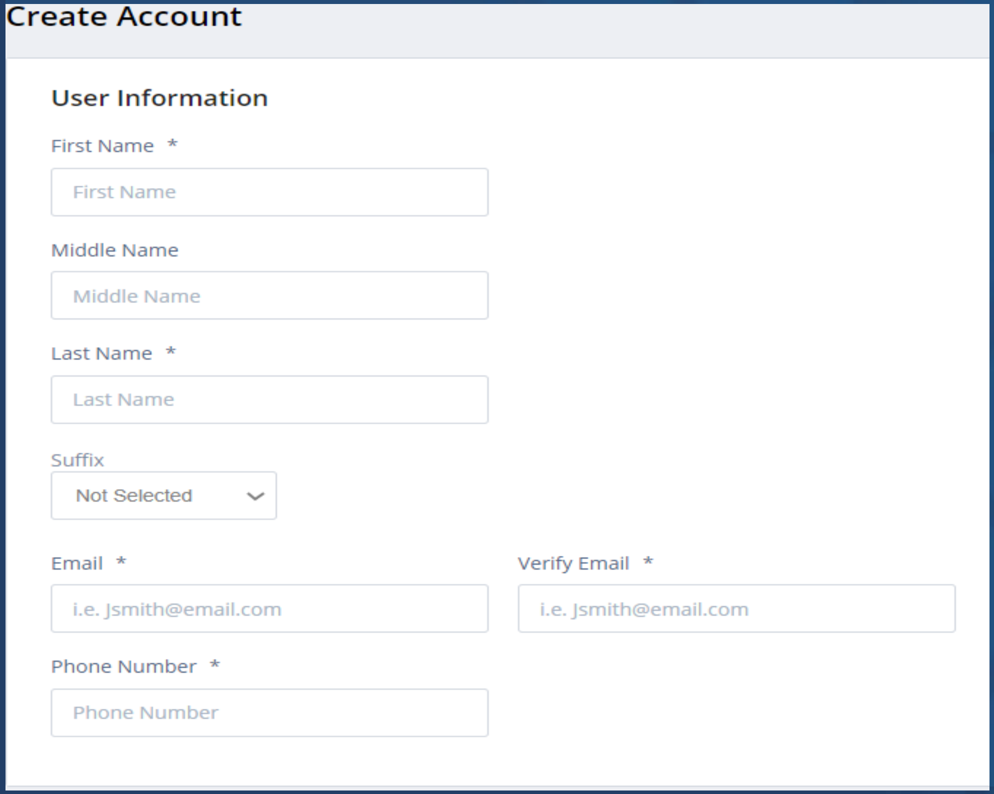
Accounts Demo – Create accounts

FINRA

Current System

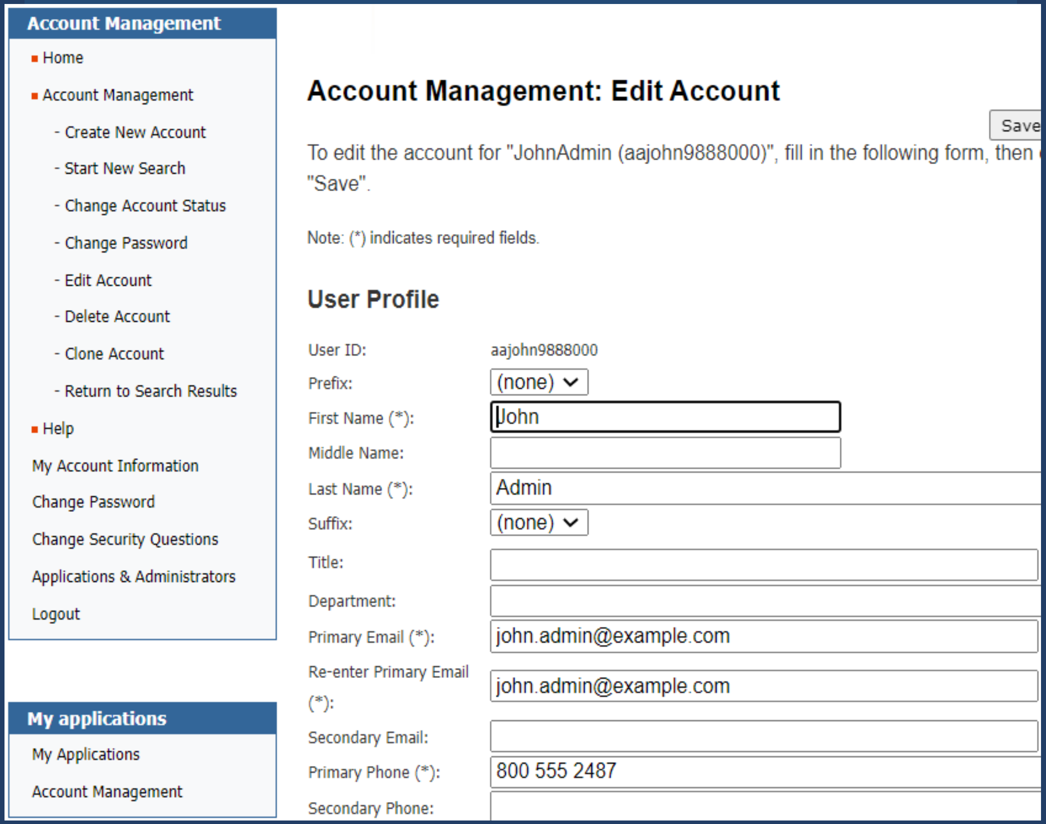


New Account Management System

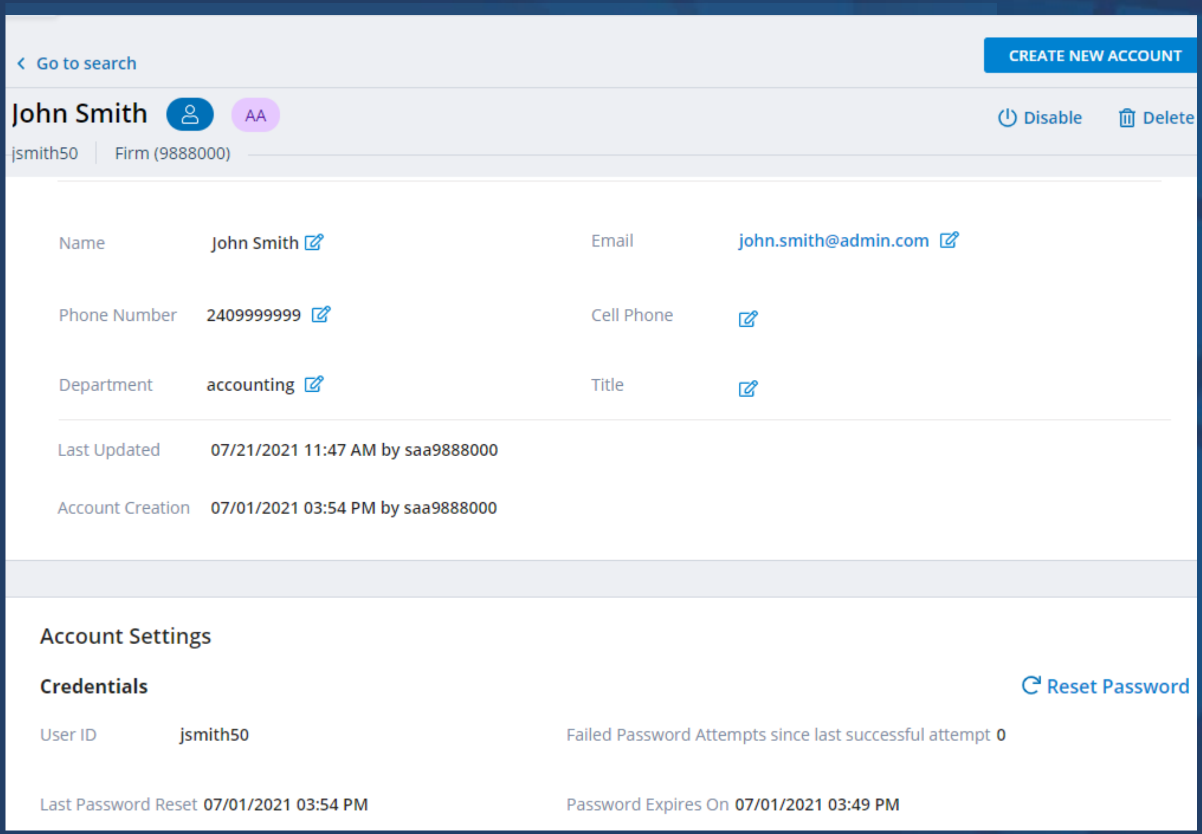


Accounts Demo – Edit Account

Current System



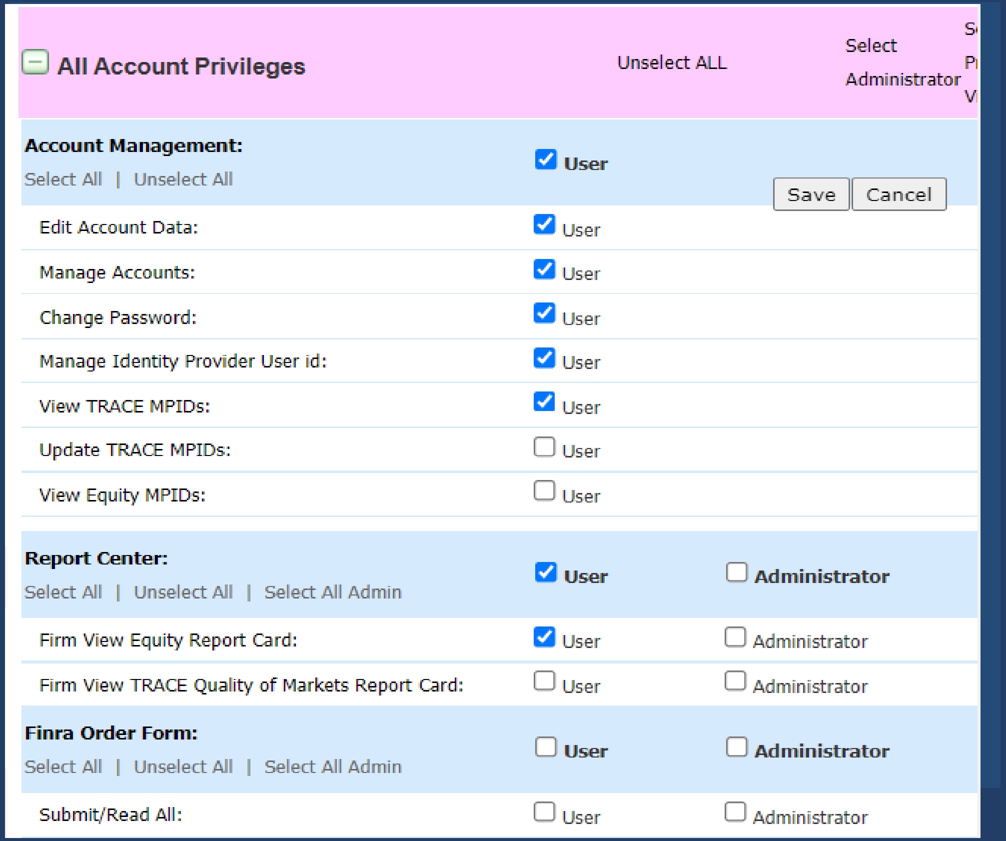
New Account Management System



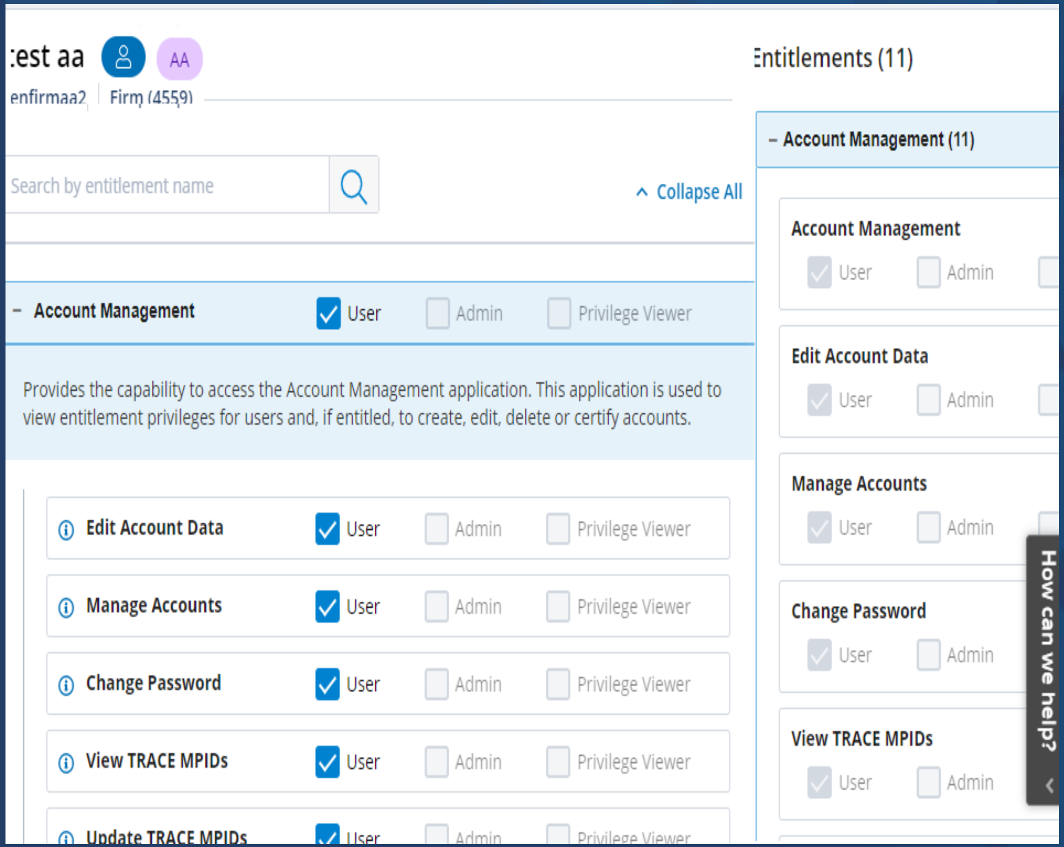
Accounts Demo – Assign/Unassign Entitlements

FINRA

Current System



New Account Management System



Next Steps

1. On August 1st, 2021, if your firm has completed the 2021 FINRA Entitlement User Accounts Certification or if you are a newly onboarded firm, then
   - ➢ If an administrator logs into FINRA Gateway, they can select the Admin icon on the left and will see
     - Accounts (New)

     and
     - Accounts (Old)
   - ➢ If an administrator logs into Firm Gateway, they will see
     - A banner with a link for New FINRA Account Management System application on the User Administration application
   - ➢ If an administrator logs into CRD, they will see
     - A banner with a link for New FINRA Account Management System application when they open the Account Management link
2. The current "Accounts" link will remain and help bridge any functional gaps that exist between the current and the new system. Currently, there are two known features that exist in the current system but not in the new:
   - Clone Account
   - Export search results

FINRA Account Management System Information

- Information on the new FINRA Account Management System:

https://www.finra.org/filing-reporting/entitlement/finra-account-management-system

- Detailed product guide on how to use the system:

https://www.finra.org/sites/default/files/2021-07/finra-account-management-system-guide.pdf

- Questions/Contact for the FINRA Gateway team:

  feedbackfinragateway@finra.org