

# Agenda

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# 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	<ul style="list-style-type: none"> <li>• Individual Information – Account Access</li> <li>• Entitlements And Access Management – Org identifiers (MPIDs, MSRB, OSO)</li> </ul>
Application entitlements	Entitlements And Access Management

# DEMO

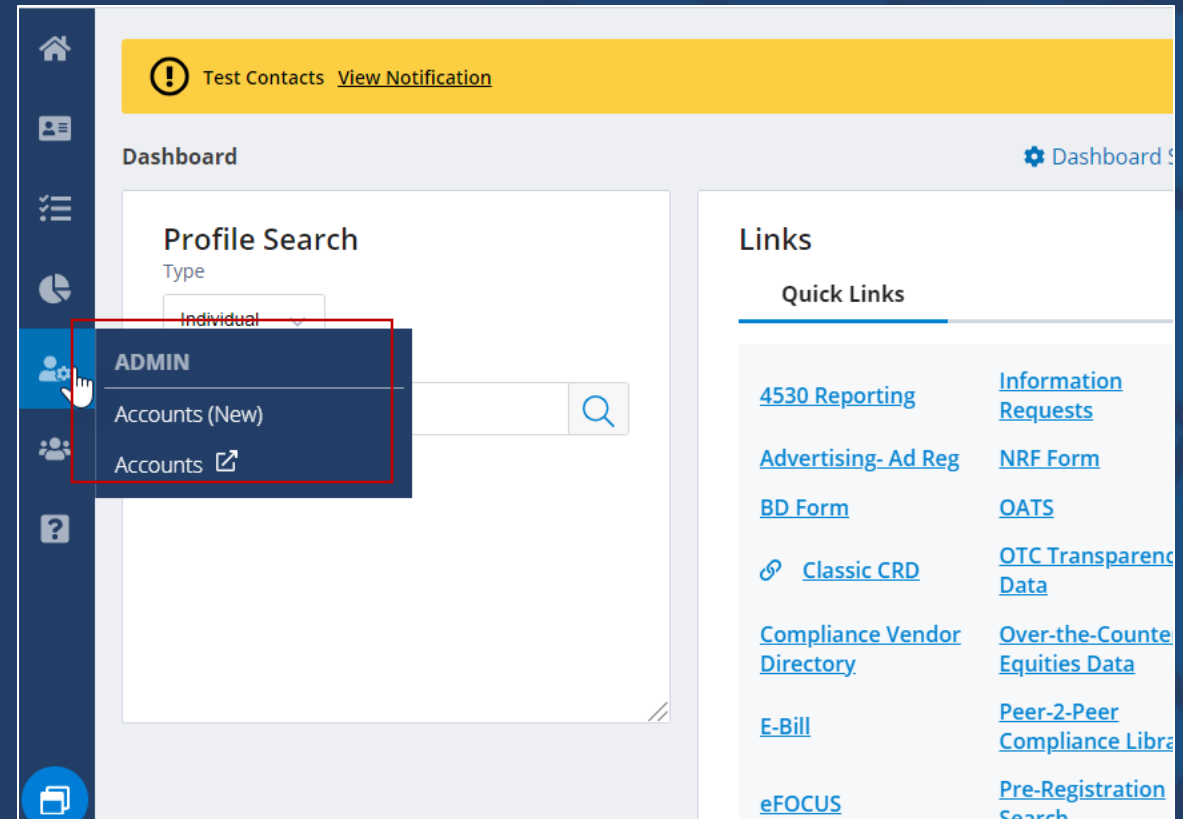
# Access to New FINRA Account Management System

## 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

## 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

The screenshot shows the 'Firm Gateway' interface with a navigation menu including 'Home', 'Compliance Calendar', 'Forms & Filings', and 'User Administration'. A red arrow points to a yellow banner that reads: 'The new **FINRA Account Management** system is now live in FINRA Gateway. [Click Here To Access](#)'. Below the banner is the heading 'Account Management: Start New Search' and instructions: 'To perform a new search, fill in query criteria, then click "Search".' A yellow box provides an example: 'You can use asterisks as wildcards. For example, "j\*o\*" matches "Jason", "John", and "Julio".' At the bottom, there is a search form with fields for 'User ID:', 'Last Name:', 'First Name:', 'Middle Name:', 'Email:', and 'Department:'.

# 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

The screenshot shows the FINRA Web CRD interface. At the top right, there are links for 'Account Management', 'My Account', and 'Log Out'. Below these, the user information is displayed: 'User: saa9888000' and 'Organization: 9888000'. The main navigation bar includes 'CRD Main', 'Forms', 'Individual', and 'Organization'. A banner below the navigation bar reads 'CRD is being transformed. Learn more'. Below the banner, there are tabs for 'Site Map' and 'User Info'. The main content area is divided into three columns: 'CRDMain', 'Forms', and 'Individual'. The 'Forms' column contains links for 'Form U4' and 'Form U5'. The 'Individual' column contains links for 'View Individual', 'Individual Search', 'Disclosure Only Individual', 'Non-Filing Info', 'NFI Individual Search', and 'SIE'. The 'CRDMain' column contains links for 'Info', 'Link Forms', 'Release Notes', 'Jurisdiction Fee and Setting Schedule', 'Recommended Browsers', 'Certified EFS Vendors', and 'Comments'. A red arrow points to the 'Account Management' link in the top right corner.

# Accounts Demo – Search accounts

## Current System

**User Administration**

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

### 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:

TRACE MPIDs:

Equity MPIDs:

MSRB Numbers:

OSO:

Account Management:

Report Center:

Finra Order Form:

Finra New Issue Form:

FINRA ADDS:

CAT - Reporter Portal:

## New Account Management System

Filters

Saved Views Select ▼
**CREATE NEW ACCOUNT**

Status

Active (6)

Deleted (1)

Org Class

Firm (5)

FTP (1)

User Type

AA (3)

Non-Admin User (2)

SAA (1)

Entitlements

Entitlements

[+ Show More](#)

[X Clear Filters](#)

### Search Account

Search by name, user ID, or email address

Sort By Most Relevant ▼ ↑ Ascending

6 Results

Filters Status (1) ▼

	Name/User ID	Contact Information	Org Info	Entitlements	Identifiers	Last Login	Last Updated
<b>SAA</b>	<b>MFA Enabled</b>						
<input checked="" type="checkbox"/>	Super Account Admin <a href="#">saa9888000</a>	800 555 5000 saa@example.com	Firm (9888000)	<a href="#">166</a>	<a href="#">7</a>	07/21/2021 09:25 PM	07/01/2021 04:32 PM
<b>AA</b>	<b>MFA Enabled</b>						
<input checked="" type="checkbox"/>	John Smith <a href="#">jsmith50</a>	2409999999 john.smith@admin.com	Firm (9888000)	<a href="#">21</a>	<a href="#">2</a>	-	07/21/2021 11:47 AM
<b>AA</b>	<b>MFA Enabled</b>						
<input checked="" type="checkbox"/>	Jane Doe <a href="#">janeadmin988</a>	18005552258 jane.admin@exampl	Firm (9888000)	<a href="#">12</a>	-	-	07/01/2021 12:27 PM



# Accounts Demo – Create accounts

## Current System

User Administration

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

### 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 Fir

Prefix:

First Name (\*):  Save Cancel

Middle Name:

Last Name (\*):

Suffix:

Title:

Department:

Primary Email (\*):

Re-enter Primary Email (\*):

Secondary Email:

Primary Phone (\*):

Secondary Phone:

FAX:

#### Account Profile

Initial Account Status:

Password (\*):  (Generate a password)

#### FINRA Information

## New Account Management System

### Create Account

#### User Information

First Name \*

Middle Name

Last Name \*

Suffix

Email \*

Verify Email \*

Phone Number \*

# Accounts Demo – Edit Account

## Current System

**Account Management**

- Home
- Account Management
  - Create New Account
  - Start New Search
  - Change Account Status
  - Change Password
  - Edit Account
  - Delete Account
  - Clone Account
  - Return to Search Results
- Help
- My Account Information
- Change Password
- Change Security Questions
- Applications & Administrators
- Logout

**My applications**

- My Applications
- Account Management

### Account Management: Edit Account

To edit the account for "JohnAdmin (aajohn9888000)", fill in the following form, then "Save".

Note: (\*) indicates required fields.

#### User Profile

User ID: aajohn9888000

Prefix:

First Name (\*):

Middle Name:

Last Name (\*):

Suffix:

Title:

Department:

Primary Email (\*):

Re-enter Primary Email (\*):

Secondary Email:

Primary Phone (\*):

Secondary Phone:

## New Account Management System

< Go to search
CREATE NEW ACCOUNT

**John Smith** AA

jsmith50 | Firm (9888000)

Name	John Smith	Email	john.smith@admin.com
Phone Number	2409999999	Cell Phone	
Department	accounting	Title	

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Last Updated 07/21/2021 11:47 AM by saa9888000

Account Creation 07/01/2021 03:54 PM by saa9888000

#### Account Settings

#### Credentials

User ID jsmith50

Last Password Reset 07/01/2021 03:54 PM

Failed Password Attempts since last successful attempt 0

Reset Password

Password Expires On 07/01/2021 03:49 PM

# Accounts Demo – Assign/Unassign Entitlements

## Current System

**All Account Privileges** Unselect ALL Select Administrator

**Account Management:**  User Save Cancel

Select All | Unselect All

Edit Account Data:  User

Manage Accounts:  User

Change Password:  User

Manage Identity Provider User id:  User

View TRACE MPIDs:  User

Update TRACE MPIDs:  User

View Equity MPIDs:  User

**Report Center:**  User  Administrator

Select All | Unselect All | Select All Admin

Firm View Equity Report Card:  User  Administrator

Firm View TRACE Quality of Markets Report Card:  User  Administrator

**Finra Order Form:**  User  Administrator

Select All | Unselect All | Select All Admin

Submit/Read All:  User  Administrator

## New Account Management System

Test aa AA enfirmaa2 | Firm (4559) Entitlements (11)

Search by entitlement name   ^ Collapse All

**Account Management**  User  Admin  Privilege Viewer

Provides the capability to access the Account Management application. This application is used to view entitlement privileges for users and, if entitled, to create, edit, delete or certify accounts.

**Edit Account Data**  User  Admin  Privilege Viewer

**Manage Accounts**  User  Admin  Privilege Viewer

**Change Password**  User  Admin  Privilege Viewer

**View TRACE MPIDs**  User  Admin  Privilege Viewer

**Update TRACE MPIDs**  User  Admin  Privilege Viewer

**Account Management (11)**

**Account Management**  User  Admin  Privilege Viewer

**Edit Account Data**  User  Admin  Privilege Viewer

**Manage Accounts**  User  Admin  Privilege Viewer

**Change Password**  User  Admin  Privilege Viewer

**View TRACE MPIDs**  User  Admin  Privilege Viewer

**Update TRACE MPIDs**  User  Admin  Privilege Viewer

How can we help?

# 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](mailto:feedbackfinragateway@finra.org)