

## Chapter Two: Account Administration

**About this Section** This section contains information pertaining to Account Administration.

**Completion Objectives** At the completion of this section the Account Administrator will be able to:

- Identify and explain the basics of Account Administration
- Create accounts for individuals who will be using IARD and/or Web CRD in his/her organization, including creating User IDs and Initial Passwords for each user
- Perform password administration
- Provide and update privileges (entitlement) for individual users for applications for which you are the Account Administrator
- Disable and/or delete user accounts
- Perform account maintenance to validate active users or delete dormant users

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## About Account Administration

**Account Administration** refers to the management of user accounts in IARD<sup>SM</sup> and Web CRD<sup>®</sup>. FINRA's Entitlement Group and Account Administrators for the IA Firms, States, SROs and the SEC share responsibility for maintaining Investment Adviser user accounts.

There are two classifications of Investment Adviser Firm (IA firm) users:

1. **Individual User:** Any individual who can access IARD or Web CRD.
2. **Account Administrator:** An individual at the organization who manages the accounts for the individual users at the organization. An Account Administrator is also an "Individual User" of IARD and Web CRD. FINRA Entitlement Group acts as the Account Administrator for the organization Account Administrator(s).

All users of IARD and Web CRD require:

- Log-on (User ID) name
- Password; and
- Entitlement privileges

## Account Administration Forms

To set up new IA firm user accounts, two forms must be completed and mailed to FINRA's Entitlement Group:

1. **FINRA Entitlement Agreement (FEA):** Used to verify that anyone designated as an Account Administrator for your organization has the authority to act on your organization's behalf and that you have read FINRA's Entitlement Program Terms of Use.
2. **Account Administrator Entitlement Form (AAEF):** Used to designate the organization's Primary and Alternate Account Administrators and request entitlement for them. A separate AAEF must be submitted for each Account Administrator of each system.
3. **FINRA Entitlement Modification Form:** Used to modify existing Account Administrator personal data, entitlement and/or access.

These forms are located on the IARD Web Page at <http://www.iard.com>. All new IA firms must access the [www.iard.com/GetStarted.asp](http://www.iard.com/GetStarted.asp) Web Site to print the State Registrant Entitlement Packet. The IARD Account Administrator must request and complete an AAEF for FINRA to set their Web CRD privileges. The IA firm Account Administrator is responsible for providing the firm's individual users with Web CRD User IDs and entitlement privileges.

## Account Administration Roles

**FINRA's Entitlement Group can:**

- Create user accounts for Account Administrators.
- Create initial passwords for Account Administrators. Firms that are both Investment Advisers and Broker-Dealers (joint firms) use the same User ID and Password to log into both Web CRD and IARD.
- Set or change the entitlements for Account Administrators.
- Perform account maintenance.

If an Account Administrator forgets his/her password, or has any other account problems, he/she should contact the Gateway Call Center at 240-386-4848.

**The IA firm Account Administrator can:**

- Create accounts for individuals who will be using IARD and/or Web CRD in his/her organization, including creating User IDs and initial passwords for each user. User IDs and passwords can be systematically generated.
- Perform password administration (e.g., creates initial passwords, unlocks accounts, and resets passwords for individual users).  
Note: all users can obtain a new password if they forget their password or their account is locked out as a result of unsuccessfully attempting to log in more than five times.
- Provide and update privileges (entitlement) for individual users.
- Disable and/or delete user accounts when necessary.
- Perform account maintenance to validate active users or delete dormant users.

**The Account Administrator cannot:**

- Reset another Account Administrator's password.
- Change or setup his/her own account privileges (entitlement) to IARD or account privileges to Web CRD for another Account Administrator's account.

## **Passwords**

### ***Password Security Information***

- All initial passwords require the user to create a new password upon log in.
- Passwords are valid for 120 days. Fourteen days prior to expiration, each time a user logs into IARD or Web CRD, a message will inform the user when the password expires. If the 120 days have elapsed, and the user has not changed his/her password, when the user attempts to log in, he/she will be prompted to enter a new password.
- All users can change their password at any time by clicking on **Change Password/Change Account Profile** under Admin Tools on the IARD or Web CRD site map.
- Users who forget their password can click on the **Forgot Password?** link to request a new password. The user will be prompted to enter his/her User ID, primary email address, and security challenge response before a new password will be emailed.
- Users who are locked out from entering a password incorrectly more than five times will be prompted to contact their account administrator to reactivate their account.
- A user cannot reuse a password that has been used within the last 7 password changes.)

### ***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 (\*), percent (%) or caret (^) or space.
- Passwords must use at least three of the following:
  1. An uppercase character (A-Z),
  2. A lowercase character (a-z),
  3. A numeric character (0 - 9), and/or
  4. A special character (e.g., \$ # @ / ? | < > ~ = { } ; : ' ( ) + [ ] \ - \_ ` . ^ ").

## **Entitlement Privileges**

Entitlement privileges for IA firm users in IARD include: Accounting, Reports, Forms, Organization, Firm Queues and View Organization Information. Entitlement privileges for IA-only firm users in Web CRD include: Accounting, Reports, Form Filing (Form Non-Registered Fingerprint and Form BD and BDW are not applicable), Individual Processing (Maintain Registration Comments and View CHRI Information are not applicable) and Organization Processing.

## **Account Administrator Application and Entitlements**

The application(s) and privileges for Create New Account screen and in the Entitlements section listed on the Navigation Bar.

You can grant either **'use'** entitlement or **'(none)'** for any privilege for which you are entitled as an Account Administrator. Selecting **'use'** allows the user access to a specific functionality within IARD or Web CRD that he/she needs to perform his/her 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 must also give him/her entitlement to the "parents" of that privilege.

For example, the **Form ADV and ADVW** and **Submit Forms** privileges are children of the **Forms** privilege, which is a child of the **IARD** privilege. So to entitle a user at your organization with the ability to submit the Form ADV, you would choose **IARD: 'use'**, **Forms: 'use'**, **Form ADV and ADVW: 'use'** and **Submit Forms: 'use'**.

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

## Clone Accounts

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-supported applications and privileges as the existing user is entitled.

Cloning can save you time if 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.

## Viewing Firm Account Administrators and Applications

- Users have two options of viewing their Account Administrators by clicking **Account Administrators** on the navigation panel and selecting the **Please Click here** hyperlink.
- Application Title View (Default View):** Lists the FINRA applications that your organization is entitled to and the designated Account Administrators for the application and their contact information.

**My Account**

- [My Account](#)
- [Change Password](#)
- [Applications & Administrators](#)
- [Logout](#)

**My applications**

- [My Applications](#)
- [Account Management](#)

Printer Friendly

### My Account: Applications & Administrators

The following table lists all FINRA applications available to your organization:

- ✔ indicates applications for which you currently have permissions
- ⊘ indicates applications for which you do not have permissions

This view is sorted by *application title*. To sort by *administrator name*, [please click here](#).

Please contact the listed Account Administrator if you wish to change your permission status for any of these applications.

Application	Description	Account Administrator - Phone (click for email)
✔ CRD	Web CRD is the central licensing and registration system for the U.S. securities industry and its regulators. It contains the registration records for registered broker-dealers and the qualification, employment, and disclosure histories of more than 660,000 actively registered individuals.	Doe, John, A - 555-555-5555 Doe, Jane - 444-444-4444 Doe, John, B - 333-333-3333
✔ IARD	The Investment Adviser Registration Depository (IARD) is an electronic filing system that facilitates investment adviser registration, regulatory review, and the public disclosure information of investment adviser firms. The system is operated by FINRA and sponsored by the Securities and Exchange Commission (SEC) and the North American Securities Administrators Association (NASAA).	Doe, John, A - 555-555-5555

- Administrator Name View:** Lists Account Administrators alphabetically with details on the applications they administer and their contact information. Green checks marks indicate the applications to which you are entitled. The red circles indicate the applications to which you are not entitled.

**My Account**

- [My Account](#)
- [Change Password](#)
- [Applications & Administrators](#)
- [Logout](#)

**My applications**

- [My Applications](#)
- [Account Management](#)

Printer Friendly

### My Account: Account Administrators

The following table lists all FINRA applications available to your organization:

- ✔ indicates applications for which you currently have permissions
- ⊘ indicates applications for which you do not have permissions

This view is sorted by *administrator name*. To sort by *application title*, [please click here](#).

Please contact the listed Account Administrator if you wish to change your permission status for any of these applications.

Account Administrator	Email (click for email)	Phone	Applications Administered
Doe, John, A	<a href="mailto:john.doe@securitiesfirm.com">john.doe@securitiesfirm.com</a>	555-555-5555	<ul style="list-style-type: none"> <li>• CRD <span style="float: right;">✔</span></li> <li>• IARD <span style="float: right;">✔</span></li> </ul>
Doe, Jane	<a href="mailto:jane.doe@securitiesfirm.com">jane.doe@securitiesfirm.com</a>	444-444-4444	<ul style="list-style-type: none"> <li>• CRD <span style="float: right;">✔</span></li> </ul>
Doe, John, B	<a href="mailto:j.b.doe@securitiesfirm.com">j.b.doe@securitiesfirm.com</a>	333-333-3333	<ul style="list-style-type: none"> <li>• CRD <span style="float: right;">✔</span></li> <li>• Web IR <span style="float: right;">⊘</span></li> </ul>

**Steps for Setting Up Your Account:**

**Request Initial Accounts**

1. Complete and sign the **FEA** and **AAEF** forms. For information regarding account administration forms, see About Account Administration, page 2-2.
2. If you are a new firm or a firm requesting IARD as a new application, mail the **FEA** and **AAEF** (with original signature) to the following address (regular mail or overnight services):
 

FINRA Entitlement Group  
9509 Key West Avenue  
Rockville, MD 20850
3. Once the firm is entitled to IARD, fax the **AAEF** if you are requesting an initial Alternate Account Administrator, replacing the Primary Account Administrator or requesting an Alternate Account Administrator.
4. Fax FINRA's **Entitlement Modification Form** to modify an existing Account Administrator account.

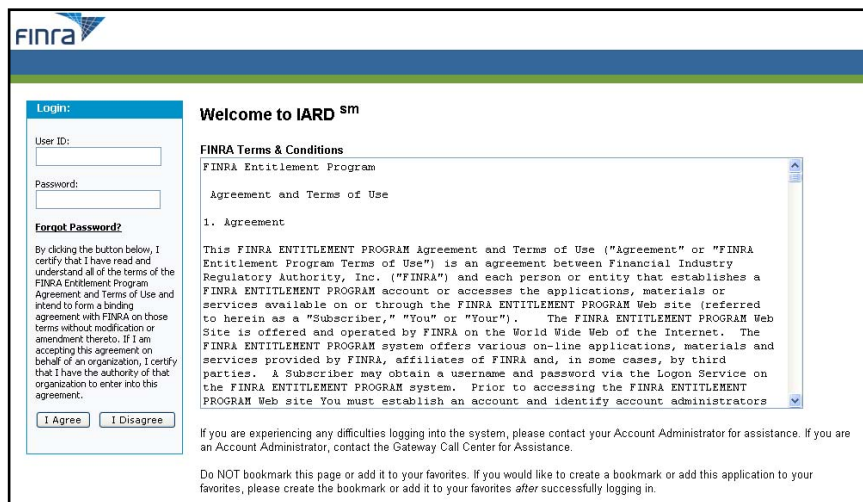
**NOTE:** The **AAEF** and **Modification** form may be faxed to FINRA's Entitlement Group at (240) 386-4669, upon receipt of the original **FEA**.

Upon receipt of the **FEA** and **AAEF**, FINRA's Entitlement Group creates the Primary and Alternate Account Administrators at your organization. FINRA's Entitlement Group also sets up privileges for the Primary and Alternate Account Administrators. A call will be made to the Primary and Alternate Account Administrators to provide them with their User IDs and initial Password. FINRA's Entitlement Group will send an email to Primary and Alternate Account Administrators to confirm their email addresses and provide them with a link to the web page that includes FINRA's Entitlement Confirmation package information.

**NOTE:** FINRA must have a fully executed FINRA Entitlement Agreement (FEA) on file for your organization prior to processing an FINRA Entitlement Modification Form for any FINRA Entitlement application.

5. Upon receipt of the phone call and confirmation email, the Account Administrator should log into IARD.

**[Result:]** The *Welcome to IARD* screen displays.



**NOTE:** Users who forget their password and/or are locked out from unsuccessfully entering a password more than five times can click on the **Forgot Password?** link to request a new password. The user will be prompted to enter his/her User ID, email address and security challenge response before a new password will be emailed.

**Set Up Your Account**  
(Continued)

6. Enter the User ID and Password provided to you by FINRA's Entitlement Group into the fields, read FINRA's Terms and Conditions and click the **I Agree** button.

**NOTE:** Clicking the **I Disagree** button prevents you from accessing the application.

**[Result:]** The *Password Reset* screen displays.

7. Enter the password provided by FINRA's Entitlement Group into the **Current Password** field and enter a new Password into the **New Password** and **Re-type new password to confirm** fields. Select a **Security Challenge** question from the drop-down list, provide a **Security Response**, and click **Continue**.

**NOTE:** The **Security Challenge** question and **Security Response** are used to verify your identity if you call the IARD Hotline to request assistance with your account. The options for **Security Challenge** question are: father's middle name, favorite cartoon character, favorite teacher's last name, mother's maiden name, name of your favorite pet and favorite sports team.

**[Result:]** The *Password Reset: Completed* screen displays.

8. Click the **Continue** button.

**NOTE:** Your account is now active. Enter your User ID and new Password, read FINRA's Terms and Conditions, and click the **I Agree** button to log into IARD and begin creating user accounts for users at your organization who require entitlement to IARD and/or Web CRD.

**Steps for Accessing the Account Management Site:**

**Access Account Management**

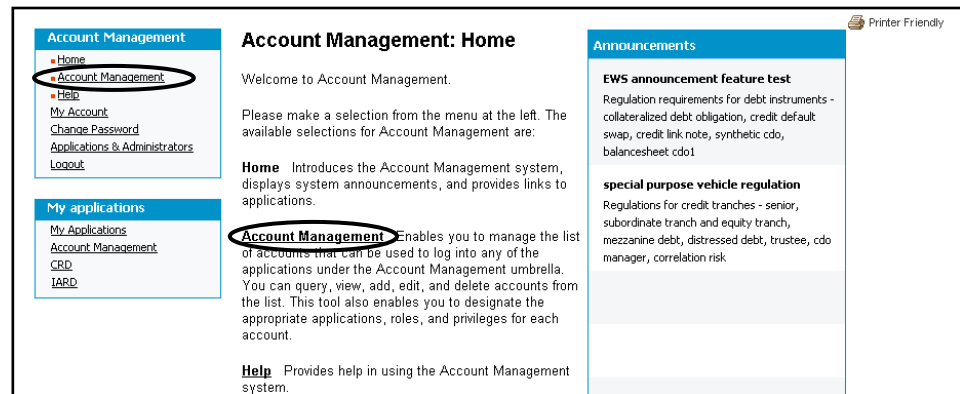
1. Click **Account Administration** from the **Admin Tools** section of the IARD Site Map.

**OR**

1A. You can also access **Account Management** by logging into the following URL:  
<https://accountmgmt.finra.org/ewsadmin2/index.jsp>.



**[Result:]** The **Account Management** site opens in a second browser.



2. Click **Account Management** from the **Home** screen or Navigation Bar to search for an existing account or create a new account.

## Steps for Creating a User Account:

### Create a User Account

1. Access the Account Management Site (see page 2-7) and click **Account Management** from the **Home** screen or Navigation Panel.

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

**Account Management: Start New Search** Printer Friendly

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

User ID:

Last Name:

First Name:

Middle Name:

Email:

Department:

TRACE MPIDs:

Equity MPIDs:

MSRB Numbers:

OSO:

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

**NOTE:** It is recommended you search the system first to verify that the individual does not already have an account with your organization.

2. Click **Create New Account** from the Navigation Panel.

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

**Account Management: Create New Account** Printer Friendly

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 first and Last Name)

Prefix:

First Name (\*):

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**

**Create a User Account**  
(Continued)

3. Enter the appropriate information into the fields in the **User Profile**, **Account Profile**, and **FINRA Information** sections of the **Create New Account** screen. All fields marked with an asterisk (\*) must be completed to create a new user account. To systematically generate a User ID, type the user's first and last names into the appropriate fields and click the **generate a new User ID** hyperlink. Newly created user ids cannot exceed 20 characters. To systematically generate a password, click the **generate a password** hyperlink.

**NOTE:** A new account automatically defaults to an **Initial Account Status** of **Activate**. The user can access IARD as soon as he/she resets his/her expired initial password. If you change the status to **Disable**, the user cannot access IARD until you activate it. The **Legacy User ID** is a read-only field except for FINRA Account Administrators.

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

<b>IARD:</b>	<input checked="" type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant
Primary Account Admin:	<input checked="" type="radio"/> None	<input type="radio"/> Read				
Investment Adviser Applications:	<input checked="" type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant
IA Organization:	<input checked="" type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant
IA Non-Filing Information:	<input checked="" type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant
Firm Queues:	<input checked="" type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant
Forms:	<input checked="" type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant


Save Cancel

**NOTE:** If you are an Account Administrator for other applications, the other applications and corresponding privileges will appear listed under the **Application Entitlements** heading as well. See page 2-4 for additional information on Account Administrator Entitlements.

**Create a User Account**  
(Continued)

**[Result:]** The new user account has been saved.

5. Take note of the new User ID and Password, or highlight the bar to copy the User ID and Password, paste it into a document, and provide that information to the user. He/she can now access IARD and/or Web CRD.

 Printer Friendly

### Account Management: Account Saved

The account has been saved for "John Doe (johndoe)".

You can copy-and-paste password notification data from the following bar:

johndoe    Doe, John    Today123

#### User Profile

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

#### Account Profile

Account Status:	Active
Account Created on:	2008.08.13 15:09 EDT
Account Created by:	adminuser1

#### FINRA Information

**NOTE:** 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 IARD or Web CRD for the first time, with the User ID and Password you have provided to him/her, he/she will immediately be directed to change his/her password and answer a **Security Challenge** question and **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.

## Steps for Searching for and Viewing a User Account:

### Search/View a User Account

1. Access the Account Management Site (see page 2-7) and click **Account Management** from the **Home** screen or Navigation Panel.

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

2. Enter the appropriate information to search for the user and click the **Search** button.

**[Result:]** The *Account Management: Search Results* screen displays.

User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	Account Status	Applications Administered
<a href="#">johndoe1</a>	Doe	John	A	john.a.doe@firm.com						Active	
<a href="#">johndoe2</a>	Doe	John	B	john.b.doe@firm.com						Active	
<a href="#">janedoe1</a>	Doe	Jane	A	jane.a.doe@firm.com						Active	
<a href="#">janedoe2</a>	Doe	Jane	B	jane.b.doe@firm.com						Active	<ul style="list-style-type: none"> <li>• New Member Application</li> <li>• CRD</li> <li>• IARD</li> <li>• Report Center</li> </ul>

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

## Steps for Cloning a User Account:

### Clone a User Account

1. Search for and view the user's account (see page 2-11, **Steps for Searching for and Viewing a User Account**) that you want to clone.
2. Click **Clone Account** from the Navigation Panel.

<div data-bbox="500 472 717 814"> <p><b>Account Management</b></p> <ul style="list-style-type: none"> <li>■ <a href="#">Home</a></li> <li>■ <b>Account Management</b> <ul style="list-style-type: none"> <li>- <a href="#">Create New Account</a></li> <li>- <a href="#">Start New Search</a></li> <li>- <a href="#">Change Password</a></li> <li>- <a href="#">Change Account Status</a></li> <li>- <a href="#">Edit Account</a></li> <li>- <a href="#">Delete Account</a></li> <li>- <a href="#">Clone Account</a></li> <li>- <a href="#">Return to Search Results</a></li> </ul> </li> <li>■ <a href="#">Help</a></li> <li><a href="#">My Account</a></li> <li><a href="#">Change Password</a></li> <li><a href="#">Applications &amp; Administrators</a></li> <li><a href="#">Logout</a></li> </ul> </div> <div data-bbox="500 840 717 955"> <p><b>My applications</b></p> <ul style="list-style-type: none"> <li><a href="#">My Applications</a></li> <li><a href="#">Account Management</a></li> <li><a href="#">CRD</a></li> <li><a href="#">IARD</a></li> </ul> </div>	<div data-bbox="743 472 1388 1360"> <p><b>Account Management: View Account</b></p> <p>This page shows the account for "John Doe (johndoe1)".</p> <p><b>User Profile</b></p> <p>User ID: johndoe1</p> <p>Prefix: _____</p> <p>First Name: John</p> <p>Middle Name: _____</p> <p>Last Name: Doe</p> <p>Suffix: _____</p> <p>Title: _____</p> <p>Department: _____</p> <p>Primary Email: john.a.doe@firm.com</p> <p>Secondary Email: doej@firm.com</p> <p>Primary Phone: 555-555-5555</p> <p>Secondary Phone: _____</p> <p>FAX: _____</p> <p><b>Account Profile</b></p> <p>Account Status: Active</p> <p>Account Created on: 2007.05.23 14:05 EDT</p> <p>Account Created by: Adminuser1</p> <p><b>FINRA Information</b></p> <p>TRACE MPIDs: _____</p> <p>Equity MPIDs: _____</p> <p>MSRB Numbers: _____</p> <p>OSO: _____</p> <p>Legacy User ID: _____</p> </div>
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**Clone a User Account**  
(Continued)

**[Result:]** A new account opens with blank fields in the **User Profile**, **Account Profile**, or **FINRA Information** sections, and the same privileges that Norm Filing had: **'use'** for IARD, Investment Adviser Applications, IA Organization, and IA View Organization Information and **'(none)'** for IA Non-Filing Information and Transitions.

Printer Friendly

### 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:

First Name (\*):

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**

Individual CRD Number:

Legacy User ID:

OATS Legacy User ID (PD):

OATS Legacy User ID (CT):

**Application Entitlements**

Use: The ability to use the functionality as defined by the privilege.  
Read: The ability to view the privilege assigned to your organization's users from the EWS Account Management Application.  
Grant: The ability to assign the privilege to other users.

CRD:	<input type="radio"/> None	<input type="radio"/> Use	<input type="radio"/> Read	<input checked="" type="radio"/> Use/Read	<input type="radio"/> Read/Grant	<input type="radio"/> Use/Read/Grant
Primary Account Admin:	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organization:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
View Organization Information:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Organization Non-Filing Information:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Maintain Contact (BD Only):	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
Maintain Firm Notification:	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

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, type the user's first and last names into the appropriate fields and click the **generate a new User ID** hyperlink. Newly created user ids cannot exceed 20 characters. To systematically generate a password, click the **generate a password** hyperlink.

4. To add any additional applications and/or privileges to a user's account, click the radio button next to the privilege and change the privilege from **'(none)'** to **'use'**.

**OR**

4a. To remove a privilege that the new user will not need, click the radio button next to the privilege and change the privilege from **'use'** to **'none'**.

5. Click the **Save** button.

## Steps for Changing a User's Password and Account Status:

### Change a User's Password/Account Status

1. Search for the user's account (see page 2-11, **Steps for Searching for and Viewing a User Account**).
2. View and evaluate the user's **Account Status**:

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".

Results 1-4 of 4 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	Account Status	Applications Administered
<a href="#">johndoe1</a>	Doe	John	A	john.a.doe@firm.com						Active	
<a href="#">johndoe2</a>	Doe	John	B	john.b.doe@firm.com						Active	

If the Account Status is:	Recommended Action:
<b>Active</b>	Reset the user's password ( <i>see page 2-14</i> ).
<b>Password Lockout</b>	Reset the user's password and reactivate the account. User was locked out after entering an incorrect password more than 5 times.
<b>Disabled by Security Challenge</b>	Reset the user's password and reactivate the account. User was locked out after entering an incorrect security question response more than 5 times.
<b>Disabled by non-FINRA Account Administrator</b>	Check with the Account Administrators at your organization to confirm that you should reactivate this account. If allowed, reactivate the account ( <i>see page 2-14</i> ). You may wish to change the user's password at this time as well.
<b>Disabled by FINRA Administrator</b>	Do NOT reset this user's password. Contact the IARD Hotline at 240-386-4848 for more information on why this account has been disabled. This account status can only be changed by FINRA's Entitlement Group.

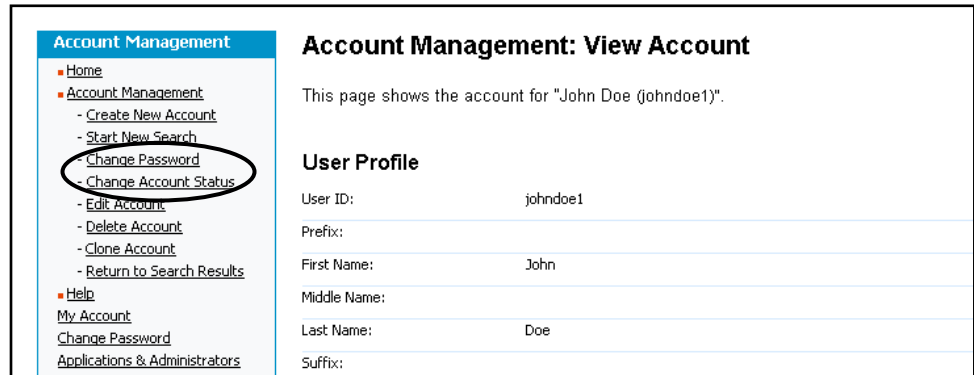
3. Click the **User ID** hyperlink to access the user's *Account Management: View Account* screen.

Results 1-4 of 4 Select any header to sort, select again to reverse the sort.

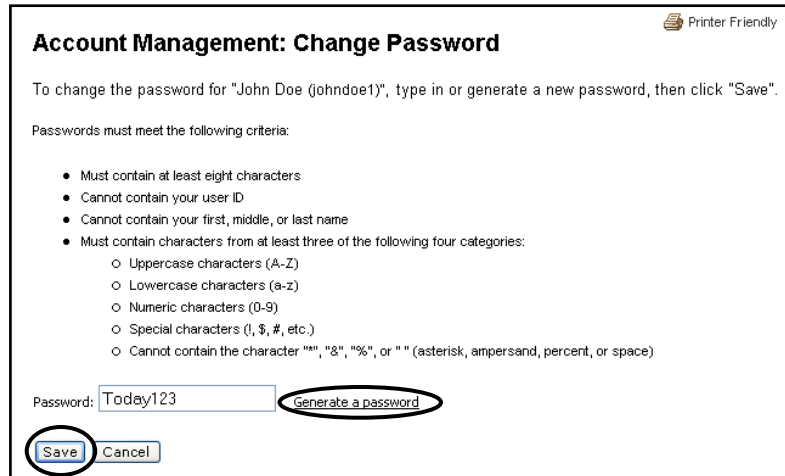
User ID	Last Name	First Name	Middle Name	Email	Department	TRACE MPIDs	Equity MPIDs	MSRB Numbers	OSO	Account Status	Applications Administered
<a href="#">johndoe1</a>	Doe	John	A	john.a.doe@firm.com						Active	
<a href="#">johndoe2</a>	Doe	John	B	john.b.doe@firm.com						Active	

**Change a User's Password/Account Status**  
(Continued)

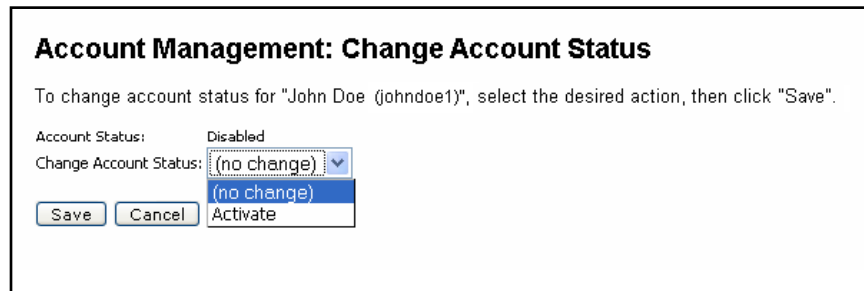
[Result:] The *Account Management: View Account* screen displays.



4. Click **Change Password** from the Navigation Panel.
5. Enter a new password for the user, or click **generate a password** to systematically generate a new password for the user, and click the **Save** button.



6. Click **Change Account Status** from the Navigation Panel.
7. Click the drop-down arrow in the **Change Account Status** field, select **Activate**, and click the **Save** button.



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

## Steps for Editing a User Account:

### Edit a User Account

1. Search for and view the user's account (see page 2-11).
2. Click **Edit Account** from the Navigation Panel.

**Result:]** The *Account Management: Edit Account* screen displays.

**Account Management: Edit Account** Printer Friendly

To edit the account for "John Doe (johndoe1)", fill in the following form, then click "Save".

Note: (\*) indicates required fields.

**User Profile**

User ID: johndoe1  
 Prefix: (none)   
 First Name (\*): John   
 Middle Name:   
 Last Name (\*): Doe   
 Suffix: (none)   
 Title: (unknown)   
 Department:   
 Primary Email (\*): john.doe@securitiesfirm.com   
 Re-enter Primary Email (\*): john.doe@securitiesfirm.com   
 Secondary Email:   
 Primary Phone (\*): 555-555-5555   
 Secondary Phone:   
 FAX:

**Account Profile**

Account Status: Active  
 Account Created on: 2008.08.13 15:09 EDT  
 Account Created by: adminuser1  
 Change Account Status: (no change)

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

**OR**

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

**OR**

- 3b. To add a privilege to a user's account, click the radio button next to the privilege and change the privilege from **'(none)'** to **'use'**.

**OR**

- 3c. To remove a privilege that the user no longer needs, click the radio button next to the privilege and change the privilege from **'use'** to **'(none)'**.

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 in another Account Administrator's account.

## Steps for Deleting a User Account:

### Delete a User Account

1. Search for and view the user's account (see page 2-11).
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.

3. Click the **Delete** button.

**[Result:]** The *Account Management: Account Has Been Deleted* screen displays with a message confirming the user account was deleted.



## Tips for Account Administration:

- The **AAEFs** may be faxed to FINRA's Entitlement Group at 240-386-4669, upon receipt of the original **FEA**.

### Performing a Search

- If you check only **IARD** and click **Search**, you will receive a list of all of the IARD users in your organization.
- To view a list of all users at your organization, leave all fields blank and click **Search**. If your organization has a large number of entitled users, this search may take a long time.
- You can use asterisks (\*) as wildcards to assist you with 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 **Search**.
- If your search returns more than one result, you can sort your search results by clicking the column titles. For example, if you would like to sort the list alphabetically by last name, you would click the **Last Name** hyperlink.

### Passwords

- You must change your initial password immediately after logging onto the system for the first time.
- Passwords are valid for 120 days. Fourteen days prior to expiration, each time a user logs into IARD or Web CRD, a message will inform the user when the password expires. If the 120 days have elapsed, and the user has not changed his/her password, when the user attempts to log in, he/she will be prompted to enter a new password.
- 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 5 times and has been locked out.  
**NOTE:** Users who forget their password and/or are locked out from attempting to enter a password more than five times can click on the **Forgot Password?** link located on the IARD or Web CRD log in page. The user will be prompted to enter his/her User ID and security challenge response before a new password will be emailed.
  - He/she has been disabled intentionally, either by a firm's Account Administrator or by FINRA's Entitlement Group.
- If an Account Administrator has any other account problems, he/she should contact the IARD Hotline at 240-386-4848.

### Account Deletions

- 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. Edit the user's account and change that application and its corresponding privileges from '**use**' to '**(none)**'.
- When an individual leaves the firm, or if for any reason an individual should no longer have access to IARD or Web CRD, remember to delete that individual's user account.