From: FINRA Entitlement Certification <entcertification@finra.org>
Sent: Monday, April 20, 2020 3:05 AM
To: [redacted]
Subject: Annual FINRA Entitlement User Accounts Certification - [redacted]

Start Date: **4/20/2020**
Due Date: **7/20/2020**

The 2020 Entitlement Certification period begins today and must be completed on or before July 20, 2020. FINRA Super Account Administrators (SAAs) are required to manage accounts with access to systems that are part of the FINRA Entitlement Program. This includes setting the appropriate level of entitlement for individuals to perform their job responsibilities, changing access to align with current job functions and/or roles, deleting accounts for individuals who no longer require access or who terminate, as well as periodically reviewing accounts.

SAAs who manage other user(s) and/or administrator accounts: Organizations with SAAs who maintain user/administrator accounts are required to certify. If accounts are not certified by the due date, the capability to create, edit and clone accounts within an organization will be disabled for all administrators and remain disabled until certification is completed. Additionally, failure to certify will result in follow up by the appropriate regulator and suspension of all the organization's FINRA Entitlement Program accounts.

SAAs who do not have other users and/or administrators accounts: This year, organizations with only an SAA account and no other users/administrator accounts have the option to certify but are not required. FINRA and other regulators will not follow up and the SAA's account will not be disabled for failure to certify.

Why is my organization required to certify?
Please visit the Annual Entitlement Certification Process page for complete information on how this review process enhances the security of data your organization accesses or maintains in FINRA-administered systems.

How do I perform the Entitlement Certification?

- Complete your certification through the Account Management System
- Refer to the Annual Entitlement Certification Quick Reference Guide, which also provides instructions on how you can download your user account information into a report to send to other individuals within your organization to confirm individual's appropriate entitlement.
- Review the answers to the FINRA Entitlement Program Frequently Asked Questions.

Need assistance? Contact the FINRA Call Center:

- Brokers-Dealers: (301) 869-6699
- Funding Portals: (301) 590-6500
- Investment Advisers: (240) 386-4848