



### *Annual FINRA Entitlement Certification*

FINRA requires each SEC Registered Investment Adviser or Exempt Reporting Adviser with more than one user, reconfirm access to the FINRA Entitlement Platform for all users and administrators within their organization. Please note that only the SAA can complete this certification on behalf of the organization.

FINRA's User Accounts Certification Process for Super Account Administrators (SAAs) **must be completed by August 31**. During this period, SAAs for firms with more than one user and/or administrator account must certify that authorized users are only entitled to those privileges/roles necessary to perform their job responsibilities on the FINRA Entitlement platform. If an individual no longer requires access, remove the appropriate entitlement(s) or delete their account.

See the [FINRA Entitlement Reference Guide, Section 18](#) for detailed instructions.

This can be completed via the [FINRA Gateway](#), logging in and selecting "Start Certification" in the top left of the page.

If you have any comments on this article, or any questions in general, then please speak to your usual Optima consultant or contact us at [info@optima-partners.com](mailto:info@optima-partners.com)

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