
Separation of Production and Test Accounts

Industry Member Training - July 1, 2020

CAT Entitlement Update – effective July 13, 2020

- CAT provides a production environment and a test environment.
- Beginning on **July 13, 2020 (Day 1)**, each user account with CAT access will be required to have a CAT Access designation of Production, Test, or both.

FINRA Information

MFA Enabled: No

Legacy User ID:

Identity Provider User ID:

CAT Access Test: Yes

CAT Access Production: Yes

Application Entitlements

User = The ability to use the functionality as defined by the privilege.

Privilege Viewer = The ability to view the privilege assigned to your organization's users from the EWS Account Management Application.

Day 1 – Organizations with Production Access

- Users will be given both **Production and Test** access automatically.
 - The Super Account Administrator (SAA) will have the ability to manage Test and Production access for all CAT Reporter Portal users.
 - Any CAT Account Administrator (AA) will be able to manage both Test and Production access for their CAT Reporter Portal users.
 - Users with CAT Reporter Portal access will automatically have access in both Test AND Production.
 - SFTP accounts with CAT access will have access to Test and Production.

Day 1 – Organizations with Test Access Only

- All accounts with CAT access will be set to Test. This includes:
 - Super Account Administrator
 - Any Account Administrator with CAT access
 - Users with CAT access
 - SFTP Accounts with CAT access

Post Day 1 – Organizations with Production Access

- SAAs and properly entitled AAs may *remove* environment access for existing users who were automatically granted Production and Test access, if necessary.
- Existing SFTP accounts may be modified via the CAT Entitlement SFTP form, available via <https://www.catnmsplan.com/registration>.
- When creating a new CAT user or giving a user CAT access for the first time, the Administrator will need to indicate whether the user's account should have access to Test, Production, or both. SAAs also need to set their own accounts to Test or Production if they also have CAT user access.
- When requesting a SFTP account, indicate on the form whether the SFTP account should have the ability to submit to Test, Production, or both.

Post Day 1 – Organizations with Test Access Only

- When creating a new CAT user or giving a user CAT access for the first time, the Administrator will only be able to select Test.
- **Once the organization is certified for Production access:**
 - FINRA CAT will grant SAA, and AA(s) for CAT Reporting Agents, ability to manage Production access for users.
 - If desired, SAA should give AA(s) entitlement to manage access to Production.
 - SAA or properly entitled AA must grant existing users access to Production, if applicable.

Account Management: User Test and Production Settings

ACCOUNT Created by: miamidms
Account Last Updated by: automationfinra
Change Account Status: (no change) ▼

FINRA Information

MFA Enabled:

Legacy User ID:

Identity Provider User ID:

CAT Access: Test Production

Application Privileges

Account Management: User Test and Production Settings



FINRA Information

MFA Enabled: No

Legacy User ID:

Identity Provider User ID:

CAT Access Test: No

CAT Access Production: Yes

Account Management: Administrator Test and Production Settings

Application Privileges

User: The ability to use the functionality as defined by the privilege.

Administrator: The ability to assign the privilege to other users and view the privilege assigned to other users.

<input type="checkbox"/> All Account Privileges	Unselect ALL	Select Administrator	Select Privilege Viewer
Account Management:			
Select All Unselect All	<input checked="" type="checkbox"/> User		
Edit Account Data:	<input checked="" type="checkbox"/> User		
Manage Accounts:	<input checked="" type="checkbox"/> User		
Change Password:	<input checked="" type="checkbox"/> User		
CAT Production Access Management:	<input checked="" type="checkbox"/> User		
CAT Test Access Management:	<input checked="" type="checkbox"/> User		
CAT - Reporter Portal:			
Select All Unselect All Select All Admin	<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Industry Member / Reporting Agent User:	<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
Industry Member / Reporting Agent Read Only:	<input type="checkbox"/> User	<input type="checkbox"/> Administrator	
<input type="button" value="Save"/>	<input type="button" value="Cancel"/>		

Resources

- Industry Member Onboarding Guide:
<https://www.catnmsplan.com/registration>
- FINRA CAT Helpdesk:
 - 888-696-3348
 - help@finracat.com

How to Ask a Question during Today's Call

- **For participants using computer audio:**
 - Click the “Raise Hand” button at the bottom of the participants window.
 - A visual prompt will indicate that your line has been unmuted.
- **For participants using phone audio:**
 - Enter *9 on your phone keypad.
 - An audio prompt will indicate that your line has been unmuted.