Account Administration refers to the management of Investment Adviser Registration Depository (IARD) user accounts. Both the Web IARD Entitlement Group and Account Administrators for the IA Firm, State and SEC share responsibility for maintaining Web IARD accounts. The duties of the Web IARD Entitlement Group and the organizations' Account Administrators are outlined below.

The Web IARD Entitlement Group will:
- Create user accounts for all Web IARD users.
- Create initial passwords for Account Administrators. **Firms that are both Investment Advisers and Broker/Dealers (joint firms) will use their existing user name and password to log onto Web IARD.**
- Set or change the entitlements for the Account Administrators.
- Perform account maintenance for Web IARD users:
  1. Reset passwords for Account Administrators
  2. Unlock locked accounts for Account Administrators
  3. Disable or delete an account when necessary
  4. Process on-line requests for additional users
  5. Maintain broadcast messages

An Account Administrator will:
- Request accounts for individuals who will be using Web IARD in their organization.
- Activate other users accounts so that they can access Web IARD.
- Create initial passwords for each user.
- Set or change user privileges (entitlements) for other users.
- Provide their users with their log on names and initial passwords.
- Reset passwords or unlock accounts for other users.
- Disable an account when necessary.
- Ensure your organization has an alternate Account Administrator.

An Account Administrator cannot:
- Delete an account.
- Set up initial users.
- Reset their own passwords or other Account Administrators' passwords.
- Change or setup their account privileges (entitlement).
- Unlock their own account or another Account Administrator's account.

About Your Password

Passwords Criteria

Passwords must be a minimum of 8 characters and can be up to 14 characters long. Passwords cannot contain any portion of the user's name. Passwords must use at least three of the following:
1. An upper-case English character
2. A lower-case English character
3. A digit between 0 and 9
4. A symbol (e.g., $ % # @)

Password Security Information:

1. Initial passwords should be changed immediately.
2. Passwords are case sensitive.
3. Passwords are valid for 120 days. You will receive a message at logon which informs you when your password expires. All users can change their password at any time by clicking on **Change Your Password.** Passwords can be changed only once a day.
4. If the 120 days has elapsed, a user cannot log on to Web IARD without changing his/her password. A screen will be displayed requesting the user to enter a new password.

URL Address for Web IARD:
https://webiard.com/iad

Questions on Web IARD?
Call the Gateway Call Center at 240-386-4848 between 8 AM, ET and 8 PM, ET, Monday through Friday.

Web IARD
Investment Adviser
Registration Depository

IARD Main | Forms | Organization | Accounting | Reports

Account Administration Navigation Guide (Cont.)

NASD REGULATION An NASD Company

How to set up your Web IARD account

Step 1 **SEC/** **NASAA**	The SEC and NASAA will mail to all Pilot IA firms an entitlement packet containing a <u>User Account Acknowledgment Form</u> (<u>UAAF</u>), two <u>Account Administrator Entitlement Forms,</u> and a <u>Pilot Acknowledgment</u>. Use the UAAF to designate the IA firm's Account Administrator(s) as well as other Web IARD users at your organization. The Account Administrator Entitlement Form is used to designate the entitlements or privileges for the Account Administrator(s). The Pilot Acknowledgment provides the terms for your firm's participation in the Web IARD Pilot.
Step 2 **IA Firm**	The IA Firm completes and signs (original signature) the User Account Acknowledgement Form, the Pilot Acknowledgment and the Account Administrator Entitlement Forms and mails the forms to the following address: Web IARD Pilot Entitlement Requests NASD Regulation, Inc. P.O. Box 9495 Gaithersburg, MD 20898-9495 *Do not* return these forms to the SEC or NASAA.
Step 3 **Web IARD** **Entitlement** **Group**	Upon receipt of the UAAF, the Account Administrator Entitlement Forms, and the Pilot Acknowledgment, the Web IARD Entitlement Group will: 1. Create user accounts for the Account Administrator(s) and the other Web IARD users. 2. Set up the privileges (entitlements) for the Account Administrator(s). 3. Send a confirmation packet to your firm. This packet contains a Web IARD welcome letter, a confirmation letter with your IARD user log on name and initial password, a Navigation Guide on Account Administration, fact sheets on system configuration, a security reminder, and information on sending money to your financial account.
Step 4 **IA Firm** **Account** **Adminis-** **trator**	Once you receive the confirmation packet, your Account Administrator should: 1. Log on to Web IARD, select Admin Tools: <u>Change Password</u>, and change his/her initial password. 2. Verify that all users that you requested have been entered. 3. Obtain the User names for the other individuals at your firm who should get access to Web IARD. 4. Give account access for each user by enabling their account. 5. Create initial passwords for each user. 4. Set privileges (entitlements) for each user. 5. Provide the users with their user names and initial passwords. NOTE: For firms that are registered as both Investment Adviser and Broker/Dealer (joint firms), the account administrator would just need to set IA privileges for existing Web CRD users. New passwords do not need to be created.

Account Administrators, once entitled, can request additional users or additional Account Administrators electronically through the Web IARD system.