

MULTI FACTOR AUTHENTICATON (MFA) FOR TRAQS

Multi Factor Authentication (MFA) enhances the security of accounts by adding an additional layer of security beyond the Username and password. MFA is one of the most effective security controls currently available to protect against remote security hacks. Passwords are increasingly easy to compromise and are often stolen, guessed, or hacked. MFA helps the account stay secure even if the password is compromised. The second factor of authentication is separate and independent from a Username and password.

FINRA will replace digital certificates with Multi Factor Authentication (MFA) for access to the TRAQS website and will also institute system infrastructure changes for TRAQS and the API reference data software.

Beginning April 19, 2021, all users of the TRAQS website for trade reporting are required to enroll in MFA using their mobile device or landline. At this time, users who download API files will continue to use the NWSF certificate and password to access API reference data.

Users are encouraged to test TRAQS (MFA) and the API (using NWSF certificates) during the following date ranges.

	Start Date	End Date
NTF Beta using new infrastructure	11/12/2020	4/16/2021
Production using new infrastructure	3/8/2021	4/16/2021

NOTE: Users will have to enroll in each TRAQS environment (NTF and Production) separately. Users of the TRAQS website must enroll in one or more additional authentication methods. The available authentication methods include:

- SMS Authentication
- Okta Verify
- Google Authenticator
- Voice Call Authentication

Instructions for enrolling in an additional factor can be found in the Multi Factor Authentication Enrollment Guide.

Click [here](#) for the MFA Enrollment Guide

FINRA recommends enrolling in more than one additional authentication method. Enrolling in more than one authentication method allows redundancy in case your mobile device is unavailable. We suggest using your land line phone number or a phone number that differs from your mobile number to enroll in Voice Call Authentication.

Important Links

NOTE: NTF (Beta) represents the new platform; NTF represents the current platform

NOTE: Production (Parallel) represents the new platform; Production represents the current platform

NTF	MFA Profile: https://mpp-test.nasdaq.com
	FINRA TRAQs NTF (Beta): https://beta-ntf.finratraqs.org
	FINRA TRAQs NTF: https://www-ntf.finratraqs.org
	API Download NTF (Beta): download-ntf2.finratraqs.org
	API Download NTF: download-ntf.finratraqs.org
Production	MFA Profile: https://mpp.nasdaq.com
	FINRA TRAQs Production (Parallel): https://beta.finratraqs.org
	FINRA TRAQs Production: https://finratraqs.org
	API Download Production (Parallel): download2.finratraqs.org
	API Download Production: download.finratraqs.org

Contacts

Having Trouble Enrolling in MFA Questions about your account access? Need the MFA Enrollment Email?	FINRA Market Operations 1.866.776.0800 finraoperations@finra.org
Have Questions about the API download process?	FINRA Product Management 1.866.899.2107 finraproductmanagement@finra.org
Lost Access to your MFA enrolled Device?	NASDAQ Tech Support 212-231-5180

Common Questions About Enrolling in MFA

The following frequently asked questions provide information about using MFA for accessing the TRAQS website via the web.

What is Multi Factor Authentication (MFA) and why is it being used for TRAQS?

Passwords are increasingly easy to compromise. Passwords can often be stolen, guessed, or hacked; often without the user knowing. MFA adds a second layer of security by helping the account stay secure even if the password is compromised.

Is enrollment in MFA mandatory?

Yes, users are required to enroll in MFA to access the FINRA TRAQS website for trade reporting. Any user that attempts to login to the TRAQS website without enrolling in MFA will be prompted to enroll in MFA.

My SAA completed an order form to add a TRAQS Username for me, I haven't received an enrollment email. How do I get a new email?

If you need a new enrollment email, please contact finraoperations@finra.org or 1-866-776-0800 option 2.

Why did I receive two MFA enrollment emails from Okta?

Users who have access to both the NTF and production environment will be required to enroll in MFA to access each environment (NTF and Production). If you have access to more than one environment, you will receive a total of two enrollment emails and each enrollment email will represent an environment. Please review the user guide for instructions.

Does the enrollment email expire?

Yes. Users have 30 days from the date it was sent to take action to set up your Okta account for TRAQS Access Username (email address). If your enrollment email expired, please contact FINRA Operations at 1-866-776-0800 option 2 or finraoperations@finra.org.

Why do I have 2 Okta verify or 2 Google Authentication accounts?

The NTF and production environment for MPP are completely separate. The account mpp-test.nasdaq.com is associated with NTF access. The account mpp.nasdaq.com is associated with production access.

What do I do if I lost my mobile device?

It is strongly recommended that you remove the lost device from your MFA settings. Visit the Okta profile page and login using your credentials. Go to the Account page and edit your profile to remove the authentication method(s) associated with the device. Please see the MFA Enrollment User Guide for instructions.

If your enrolled device is lost and you have not enrolled in any additional methods of authentication using alternative devices, please contact NASDAQ Tech support at 212-231-5180.

How can I edit my personal profile data?

Your profile data can be edited at any time. Please see Section 2 of the MFA enrollment User Guide for instructions. Please note, the personal information section of the Account page cannot be edited. Please have your SAA contact FINRA Operations at 1-866-776-0800 option 2 or finraoperations@finra.org to update this data.

Why am I also receiving an email for a TRAQS certificate if I have enrolled in MFA?

Users accessing the API will continue to rely on NWSF security certificate and password to download the files. The certificate will be provided to all new users.

I've forgotten my password. How can I reset it?

Click the "Forgot password" link at the bottom of the TRAQS Sign In screen. Enter your email in the provided box to generate an Account Reset email. Click the Reset Password link or Enter Verification Code in the email within the 5-minute expiration and answer your forgotten password question.

Note: Once you've reset your password, you must wait 24 hours to reset the password again. If you need to change your password within 24 hours you must call NASDAQ tech support.

If you do not know the answers to any of your forgotten password options, or any other password issues, you may call NASDAQ tech support at 212-231-5180 option 4.

I've entered my password inaccurately several times and locked my account. How can I unlock it?

Your account will automatically unlock after 15 minutes. There are two ways to unlock your account.

1. Enter your email in the provided box to generate an Account Unlock Request email. Click the Verify Account link or Enter the Verification Code in the email within the 5-minute expiration and answer your forgotten password question.
2. Click the "Unlock account" link at the bottom of the TRAQS Sign In screen. Enter your email in the provided box to generate an Account Unlock Request email. Verify Account link or Enter the Verification Code in the email within the 5-minute expiration and answer your forgotten password question.

If you do not know the answers to any of your forgotten password options, or need assistance with unlocking your account, you may call NASDAQ tech support at 212-231-5180 option 4.

Report Suspicious Activity

To report unrecognized activity from an account activity email notification. Contact FINRA Operations at 1-866-776-0800 option 2 or finraoperations@finra.org.

Okta Account Token Expiration Error

If your Account Activation Token is no longer valid. Contact FINRA Operations at 1-866-776-0800 option 2 by [email](#).

403/404 Errors

If you receive the 403 App Not Assigned or 404 Page Not Found errors. Contact NASDAQ tech support at 212-231-5180 option 4.

How do I access the new API?

At this time users will continue to use NWSF certificates to access API. Please use the links outlined above and follow the instructions outlined in the API user guide of the product you are accessing.