EasyFile System Help
(AP Regulatory Statutory Disqualification Form Submission System)

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Introduction

The web based Easy File application was designed to make filling out and submitting financial filings easy and quicker. The application provides an extensive help system to assist you while you are filling out the statements. This manual will help you to navigate through the Easy File application to get you filing submitted.

System Requirements

➢ EasyFile requires a currently supported version of Microsoft Edge or Firefox

➢ Java Script must be enabled in your web browser

➢ Cookies must be enabled in your web browser

➢ 128 Bit Encryption

➢ Adobe Acrobat Reader

Getting Started

> Security
> Easy File makes use of your existing security for the Online Registration System (ORS). In order to have access to the Easy File AP Statutory Disqualification Form Submission, a user needs to have the Security Manager privilege OR the View, Update, and File privilege in ORS. However, the user does not need to have Easy File security so you can select None in Security (Easy File System).

New Security Options for Easy File

Security (Online Registration System)	
Type*	⦿ Security Manager
	○ View, Update, and File
	○ View and Update
	○ View
	○ None

Security (Online Registration System)	
Type*	○ Security Manager
	⦿ View, Update, and File
	○ View and Update
	○ View
	○ None

Security (EasyFile System)	
Type	○ Enter and Submit
	○ Enter
	⦿ None

Accessing the Easy File AP Statutory Disqualification Form Submission

Once your Security Manager has set up your security for Easy File you can access the application through Electronic Filings menu of NFA's main web page (see below).

The Filing Index

The Filing Index is the main page of the Easy File application (See below). It is the first page you will see after signing onto the system. The Filing Index lists information about all of the filings that have been submitted to NFA by your firm for the past three years and any outstanding filings that have not yet been submitted. Filings that are required will automatically be added to the Filing Index at the beginning of the month that they are due.

The Filing Index displays the following information about each filing:

> - **End Date** – This is the end date of your statement. Information on your filing is current up to this date. To open a filing click on the End Date.
> - **Due Date** – This is the date that the filing should be submitted to NFA. A Filing submitted after this date is considered late and will incur penalties. Only filing required by NFA will have a Due Date. Any filing that is created manually by clicking on the "Create New Filing" will not have a Due Date.
> - **Form Type** – This is the type of form that was filed.
> - **Received Date** – This is the date that a submitted filing was received. Filings that have not been submitted will not have a Received Date. In the case of amended filings the Received Date will always be the date the first time the filing was submitted.
> - **Filings Received** – This is version number of the filing. The Initial version of the filing will have a Filing Received equal to 1. Each time an amendment is made to a filing the Filings Received will be incremented by 1.
> - **Filing Type** – This will either be "Regular" or "Certified". Certified filing cannot be viewed.
> - **Status** – This is the status of the filing. A filing can have one of the following statuses.
>   - **Received** – Indicates that the filing has been submitted.
>   - **Due in X days** – Indicates how many days are left to submit a required filing based on the due date.
>   - **X days overdue** – Indicates that the statement is late and should be submitted as soon as possible to minimize penalties. An overdue filing will appear in red.
>   - **Unsubmitted** – Indicates the filing has not been submitted. This will only display on filings created manually (see Create New Filing) which are not required by NFA.
>   - **Amending** – Indicates that the filing is currently being amended.

Create New Filing

Using the "Create Filing" button on the Filing Index page allows you to create filings that aren't required by NFA but you wish to submit voluntarily. When the Create New Filing is clicked a box will appear below the Filing Index for you to choose the Form type and End Date of the filing (see below). NFA recommends using the current date for End Date. After selecting the Form type and End Date click "Save" to create the new filing. After clicking "Save" the Create New Filing box will disappear and the new filing will appear in the Filing Index. If you do not wish to create a new filing click the "Cancel" button and the Create New Filing Box will disappear.

Viewing and Editing Filings

To view a filing, click the End Date of the filing in the Filing Index. Filings that have been submitted cannot be edited and will open in a read only summary format. After clicking the End Date the list of all available Criminal Statutory Disqualifications forms will be displayed.
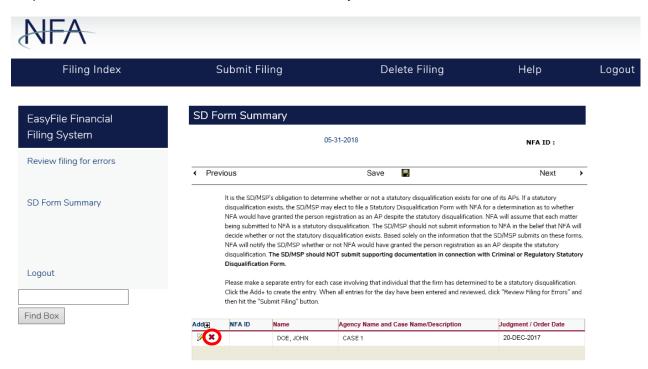
Adding Statutory Disqualification Forms

To add a new Statutory Disqualification Form for a Swap Dealer or Major Swap Participant Associated Person, click on the Add button at the top of the grid. A box will appear where the information that will need to be disclosed can be entered. When you have completed the form, click on Save to save your changes.

Editing and Deleting Statutory Disqualifications Forms

To edit a Statutory Disqualification form, click on the pencil next to the record you want to edit. A box will appear where the information about the form can be edited. To delete a Statutory Disqualification Form, click on the red X next to the record you want to delete.

Saving your information

The data you enter into a statement is saved either by clicking the Save button above and below the statement (the Save button is not visible on filings that have already been submitted) or clicking on any other buttons on the form including the Next and Previous buttons. The only times your data will not be saved is if you close your web browser, click the refresh button on your browser, or your session times out due to inactivity (Your session will time out after about 20 minutes of inactivity).

Top Menu Items

The top menu can display any of the following items based on the filing status and the user's security settings for Easy File. Clicking any of the top menu items will automatically save any changes made to the statement. There are no Top Menu items available on the Filing Index.

➢ **Filing Index** – Clicking the Filing Index on the Top menu will bring you back to the Filing Index page. This menu item is always displayed.
➢ **Submit Filing** – Submit Filing will attempt to submit the filing. Before the filing is submitted it is checked for errors. If there are any errors, a Validation screen will display listing the errors found in the filing. If there are no errors then the Submission Oath is displayed (see "How to Submit a Filing" for more details). Submit Filing is only displayed when an unsubmitted filing is open and the person signed in has Submit privileges.

- ➢ **Help** – This will bring up the Easy File System Help. (This document) This menu item is always displayed.
- ➢ **Logout** – Clicking Logout will log you out of the system and close your browser. This menu item is always displayed.

Submitting a Filing

After you are finished entering your information on the filing you will let NFA know you are finished by clicking "Submit Filing" at the top of the page. Only users who have been designated as submitters will have the "Submit Filing" menu item at the top of the page. When "Submit Filing" is clicked the filing is validated to determine if there are any errors on the filing. If there are no errors on the filing the Submission Oath will appear (see below). Read the oath; if you agree with the oath click the Submit Filing button below the oath to finish submitting the filing. After clicking the "Submit Filing" button the Submit Receipt page will be displayed.

NFA

EasyFile Financial Filing System	**Summary of Errors and/or Warnings**
	No errors were found in this filing. Click on Submit Filing to proceed with submission. Thank you.
[Find Box]	Submit Filing
	Back To Filing

Oath

05-31-2018		**NFA ID :**
◄ Previous	Save 💾	Next ►

BY FILING THIS REPORT, THE UNDERSIGNED AGREES THAT THE ANSWERS AND INFORMATION PROVIDED HEREIN ARE COMPLETE AND ACCURATE, AND ARE NOT MISLEADING IN ANY MATERIAL RESPECT TO THE BEST OF THE UNDERSIGNED'S KNOWLEDGE AND BELIEF.

Submit Filing

◄ Previous	Save 💾	Next ►

<u>Submission Received Page</u>

Upon successfully submitting your filing the Submission Received page will display (see below). This is your verification that the filing was successfully submitted to NFA. Below the text of the receipt is the following link:

➢ **Filing Index** – This link will display the Filing Index. The filing you just submitted will now have a status of "Received" in the Filing Index.