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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* | <input checked="" type="radio"/> Security Manager <input type="radio"/> View, Update, and File <input type="radio"/> View and Update <input type="radio"/> View <input type="radio"/> None |

| Security (Online Registration System) | |
|---------------------------------------|--|
| Type* | <input type="radio"/> Security Manager <input checked="" type="radio"/> View, Update, and File <input type="radio"/> View and Update <input type="radio"/> View <input type="radio"/> None |

| Security (EasyFile System) | |
|----------------------------|--|
| Type | <input type="radio"/> Enter and Submit <input type="radio"/> Enter <input checked="" type="radio"/> 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).

Electronic Filing Systems | NFA Rulebook | Online Registration System

VISIT BASIC FILE A COMPLAINT

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Members should use the systems listed below to meet their regulatory filings requirements. To use NFA's electronic filing systems, firms will need to designate a [security manager](#). To ensure Members are able to access the systems, visit the [system requirements page](#).

| | |
|--|---|
| Commodity Pool Operators (CPO) | + |
| Commodity Trading Advisors (CTA) | + |
| Futures Commissions Merchants (FCM) | + |
| Introducing Brokers (IB) | + |
| Retail Foreign Exchange Dealers (RFED) and Forex Dealer Members (FDM) | + |
| Swap Dealers (SD) | - |
| <ul style="list-style-type: none">• Access NFA's Online Registration System (ORS) to register with the CFTC and apply for NFA membership electronically. NFA's Dashboard, the entryway to ORS, summarizes periodic filings for firms and outstanding registration filings for firms and individuals.• Access the Annual Questionnaire, which must be completed annually as part of NFA's membership renewal process.• Designate an Executive Representative Contact, who has the Member's sole authority to sign nominating petitions, receive notices of Member meetings and proxy materials, complete proxy cards, and provide voting instructions and cast votes on behalf of the Member.• Use EasyFile (RDSS) to electronically file documentation required to demonstrate compliance with Section 4s Implementing Regulations.• Access WinJammer to file risk exposure reports, notices of swap valuation disputes, Chief Compliance Officer Annual Reports and Business Continuity and Disaster Recovery Plan contact information.• Use EasyFile AP Statutory Disqualification Form Submission to electronically file criminal and regulatory statutory disqualification forms for its associated persons (AP). | |
| Exchanges, CFTC and NFA Use Only | + |

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.

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EasyFile Financial Filing System

Logout

Filing Index

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval. Click the End Date of a filing to Open, Enter, Submit, Amend, or Delete a filing.

NFA ID :

| End Date | Due Date | Form Type | Form | Received Date | Version of Stmt | Filing Type | Status |
|------------|----------|-----------|---------------------------------------|--------------------|-----------------|-------------|-------------|
| 09-01-2018 | | SDFC | Criminal Statutory Disqualification | | 0 | 5 | Unsubmitted |
| 09-31-2018 | | SDFR | Regulatory Statutory Disqualification | 09-09-2018 4:02 PM | 1 | 5 | Received |

Create Filing

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.

Electronic Filing Systems | NFA Rulebook | Online Registration System

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EasyFile Financial Filing System

Logout

Filing Index

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval. Click the End Date of a filing to Open, Enter, Submit, Amend, or Delete a filing.

NFA ID :

| End Date | Due Date | Form Type | Form | Received Date | Version of Stmt | Filing Type | Status |
|------------|----------|-----------|---------------------------------------|--------------------|-----------------|-------------|-------------|
| 08-01-2018 | | SDFC | Criminal Statutory Disqualification | | 0 | 5 | Unsubmitted |
| 08-31-2018 | | SDFR | Regulatory Statutory Disqualification | 08-08-2018 4:02 PM | 1 | 5 | Received |

Create Filing

Create New Filing

End Date must be earlier or equal to today

Form: -- Select A Form --

Type: Select Type

End Date:

mm/dd/yyyy

Save | Cancel

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.

The screenshot shows the NFA website interface. At the top, there is a navigation bar with 'Filing Index', 'Submit Filing', 'Delete Filing', 'Help', and 'Logout'. Below this is a sidebar with 'EasyFile Financial Filing System', 'Review filing for errors', 'SD Form Summary', and 'Logout'. The main content area is titled 'SD Form Summary' and shows the date '05-31-2018' and 'NFA ID :'. There are navigation buttons for 'Previous', 'Save', and 'Next'. A paragraph of text explains the SD/MSP's obligation to determine if a statutory disqualification exists. Below this is a table with columns: 'Add', 'NFA ID', 'Name', 'Agency Name and Case Name/Description', and 'Judgment / Order Date'. The 'Add' button is circled in red. A callout box provides instructions on how to use the 'Add' button and lists the required fields: 'NFA ID', 'Name', 'Agency Name and Case Name/Description', and 'Judgment / Order Date'. Below these fields is a section for 'SD Type' with two radio button options and their corresponding descriptions.

SD Form Summary

05-31-2018 NFA ID :

< Previous Save Next >

It is the SD/MSP's obligation to determine whether or not a statutory disqualification exists for one of its APs. If a statutory disqualification exists, the SD/MSP may elect to file a Statutory Disqualification Form with NFA for a determination as to whether NFA would have granted the person registration as an AP despite the statutory disqualification. NFA will assume that each matter being submitted to NFA is a statutory disqualification. The SD/MSP should not submit information to NFA in the belief that NFA will decide whether or not the statutory disqualification exists. Based solely on the information that the SD/MSP submits on these forms, NFA will notify the SD/MSP whether or not NFA would have granted the person registration as an AP despite the statutory disqualification. **The SD/MSP should NOT submit supporting documentation in connection with Criminal or Regulatory Statutory Disqualification Form.**

Please make a separate entry for each case involving that individual that the firm has determined to be a statutory disqualification. Click the Add+ to create the entry. When all entries for the day have been entered and reviewed, click "Review Filing for Errors" and then hit the "Submit Filing" button.

| Add+ | NFA ID | Name | Agency Name and Case Name/Description | Judgment / Order Date |
|------|--------|------|---------------------------------------|-----------------------|
| | | | | |

An NFA ID is required to complete this form. If the individual has been previously registered with the CFTC, click [here](#) to use NFA's BASIC System to search for an individual in our database. If you are still uncertain if the NFA ID you found belongs to the individual that you want to submit a form on, or if you don't see the individual you are looking for; call NFA's Information Center at (800)621-3570 for help. The Information Center staff will be able to create a new NFA ID if necessary. After entering an NFA ID, click on the name field and verify the name of the individual. Enter the remaining required data and hit save.

NFA ID

Name

Agency Name and Case Name/Description

Judgment / Order Date

Check All that Apply

SD Type

1 The individual has been permanently enjoined or is currently temporarily enjoined in any case brought by a United States governmental body after a hearing or default or as the result of a settlement, consent decree or other agreement, from engaging in or continuing any activity involving:

- any transaction in or advice concerning futures, options, leverage transactions or securities; or
- embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property.

2 In any case brought by a domestic or foreign governmental body, the individual has ever been found (subject to a determination that conduct or a rule violation has occurred. The term applies to dispositions of any type, including but not limited to consent decrees or settlements in which the findings are neither admitted nor denied or in which the findings are for settlement or record purposes only) after a hearing or default or as the result of a settlement, consent decree or other agreement, to:

- have violated any provision of any The Commodity Exchange Act; The Securities Act of 1933; The Securities Exchange Act of 1934; The Public Utility Holding Company Act of 1935; The Trust Indenture Act of 1939; The Investment Advisers Act of 1940; The Investment Company Act of 1940; The Securities Investors Protection Act of 1970; The Foreign Corrupt Practices Act of 1977; Chapter 96 of Title 18 of the United States Code; Any similar statute of a State or foreign jurisdiction; Any rule, regulation or order under any such statutes; and The rules of the Municipal Securities Rulemaking Board or regulation; or
- have violated any statute, rule, regulation or order which involves embezzlement, theft, extortion, fraud, fraudulent conversion, forgery, counterfeiting, false pretenses, bribery, gambling, racketeering or misappropriation of funds, securities or property; or

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.

The screenshot displays the NFA EasyFile Financial Filing System interface. At the top, there is a navigation bar with links for Filing Index, Submit Filing, Delete Filing, Help, and Logout. Below this, the main content area is titled "SD Form Summary" and shows the date "05-31-2018" and "NFA ID :". Navigation buttons for "Previous", "Save", and "Next" are visible. A paragraph of text explains the SD/MSP's obligation to determine whether a statutory disqualification exists for one of its APs. Below this text, a table lists the entries. The first entry is highlighted with a red circle and a red 'X' icon, indicating it is the record to be deleted.

| Add | NFA ID | Name | Agency Name and Case Name/Description | Judgment / Order Date |
|-----|--------|-----------|---------------------------------------|-----------------------|
| | | DOE, JOHN | CASE 1 | 20-DEC-2017 |

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.

The screenshot shows the NFA EasyFile Financial Filing System interface. At the top left is the NFA logo. Below it is a dark blue header bar. On the left side, there is a box labeled 'EasyFile Financial Filing System' with a search input field and a 'Find Box' button. On the right side, there is a dark blue header bar labeled 'Summary of Errors and/or Warnings'. Below this header, the text reads: 'No errors were found in this filing. Click on Submit Filing to proceed with submission. Thank you.' There are two buttons: 'Submit Filing' and 'Back To Filing'.

The screenshot shows the 'Oath' section of the NFA EasyFile Financial Filing System. At the top left is the word 'Oath' in a dark blue header bar. Below this, there is a date field containing '05-31-2018' and an 'NFA ID :' label. Below these fields is a navigation bar with 'Previous', 'Save' (with a floppy disk icon), and 'Next' (with a right arrow icon). Below the navigation bar is the text: '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.' At the bottom of the page is a 'Submit Filing' button.

Submission Received Page

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.

