



# NFA Swaps Proficiency Requirements

## Registering as a Swaps Proficiency Requirements Administrator

To be a Swaps Proficiency Requirements Administrator (SPR Admin), you must be a Security Manager of the firm and you must designate yourself. Firms may have more than one SPR Admin; however, any additional SPR Admins must also be a Security Manager of the firm. If an NFA Member plans to have one SPR Admin for multiple affiliated firms, the SPR Admin should first complete the form online and then contact NFA's Information Center (312-781-1410 or 800-621-3570 | [information@nfa.futures.org](mailto:information@nfa.futures.org)) to be designated as the SPR Admin for additional firms. This guide provides instructions on how to designate yourself as an SPR Admin. To access the form, visit <https://www.nfa.futures.org/electronic-filing-systems/SPR-admin.html> and log in.

The screenshot shows the NFA website's navigation bar with links for About, News & Notices, Members, Registration, Investors, and Careers. Below the navigation bar, there are two main sections: "Swaps Proficiency Requirements Contact" with a "Logout" button, and "Swaps Proficiency Requirements Administrator". The administrator section contains a paragraph explaining the role of an SPR Admin, a link for instructions on filing the form, a "TEST FIRM" field, an "NFA ID" field, and a message stating "This firm has 0 Swaps Proficiency Requirements Administrator(s)" with a link to "Open the Swaps Proficiency Requirements Administrator Form".

1. From the SPR Admin Form landing page, click "Open the Swaps Proficiency Requirements Administrator Form".

The screenshot shows the "Swaps Proficiency Requirements Contact Information" form. The navigation bar includes "Filing Index", "Submit Filing", "Help", and "Logout". The form has a "TEST FIRM" field with the value "07-10-2019" and an "NFA ID" field. Below these fields are "Previous" and "Next" navigation buttons. There is an "Add" button followed by a table with columns for "First Name", "Last Name", "Email", and "Phone". Below the table, there is a checkbox with the text "I am unable to provide the information required in the csv file due to privacy or other regulatory considerations and am requesting an Enrollment Code." and another "Previous" and "Next" navigation button.

2. From the Contact Information screen, click the plus sign (+) next to Add to add yourself as an SPR Admin.

3. Your first and last name will be pre-populated. Enter your email address, verify your email address, and enter your phone number. Click “Save”.

4. Your information now appears in the Contact Information screen. To further edit, click the pencil next to your information. If needed, check the box at the bottom of the form to request an enrollment code. Then click “Next”.

5. If there are errors, you may return to the SPR Admin Form to correct them. If there are no errors, click “Submit Filing”.



Swaps Proficiency  
Requirements Contact

### Swaps Proficiency Requirements Administrator

Thank you for submitting the SPR Admin Form. You will receive an email within one week with additional instructions regarding the enrollment process. Visit the SPR Admin page of NFA's website for additional information regarding your role as an SPR Admin.

[Back to SPR Admin Form](#)

6. You will see a confirmation screen. Click "Back to SPR Admin Form".

The screenshot shows the NFA website header with the logo and navigation links: Electronic Filing Systems, NFA Rulebook, and Online Registration System. Below the header is a dark blue navigation bar with links for About, News & Notices, Members, Registration, Investors, and Careers. The main content area has a left sidebar with 'Swaps Proficiency Requirements Contact' and 'Logout' links. The main content area is titled 'Swaps Proficiency Requirements Administrator' and contains the following text: 'An NFA Swaps Proficiency Requirements Administrator (SPR Admin) is required to be designated for your firm. The SPR Admin must be an ORS Security Manager and will be responsible for coordinating the enrollment of individuals from your firm in NFA's Swaps Proficiency Requirements. Click on the link below to designate an SPR Admin for your firm and affiliated firms, if applicable.' Below this is a link: 'Click here for instructions on filling out the SPR Admin Form.' There is also a 'TEST FIRM' label and an 'NFA ID :' label. At the bottom, there is a link: 'Open the Swaps Proficiency Requirements Administrator Form'.

7. The SPR Admin Form now indicates that the firm has one SPR Admin. You will receive an email shortly providing you with additional information on the registration of individuals for NFA's Swaps Proficiency Requirements.

# Registering as an Additional SPR Admin or Amending an Existing SPR Admin's Contact Information

If a firm has more than one Security Manager that wishes to be an SPR Admin, additional Security Managers may register themselves by following these steps once logged into the SPR Admin Form. Existing SPR Admins can also follow these steps to amend their contact information.

The screenshot shows the NFA website's navigation bar with links for About, News & Notices, Members, Registration, Investors, and Careers. The main content area is titled "Swaps Proficiency Requirements Administrator" and includes a "Logout" button on the left. The main text explains that an NFA Swaps Proficiency Requirements Administrator (SPR Admin) is required to be designated for the firm. It provides a link to "Click here for instructions on filling out the SPR Admin Form." Below this, it shows "TEST FIRM" and "NFA ID :". At the bottom, it states "This firm has 1 Swaps Proficiency Requirements Administrator(s)" and provides a link to "Open the Swaps Proficiency Requirements Administrator Form".

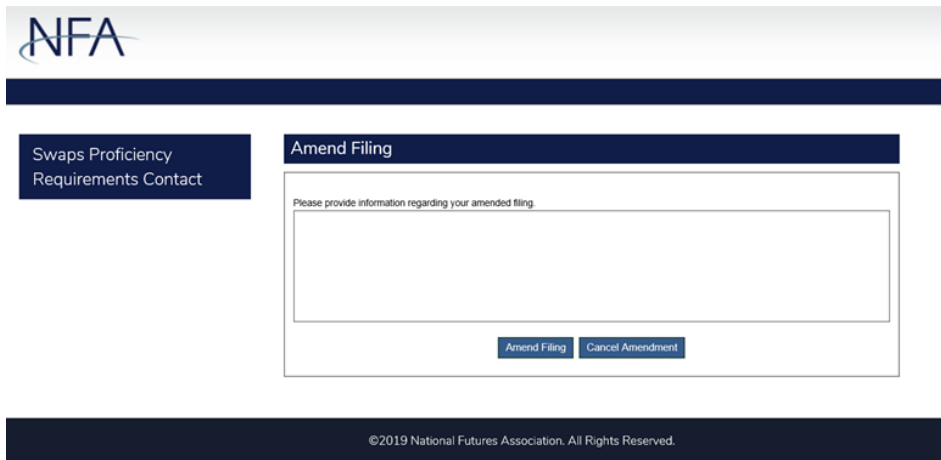
1. From the SPR Admin Form landing page, click on "Open the Swaps Proficiency Requirements Administrator Form".

The screenshot shows the "Swaps Proficiency Requirements Contact Information (Read-Only Filing)" screen. The navigation bar includes "Filing Index", "Amend Filing", "Help", and "Logout". The main content area shows "TEST FIRM" and "07-10-2019" with "NFA ID :" to the right. Below this are "Previous" and "Next" navigation links. A table displays contact information for the firm:

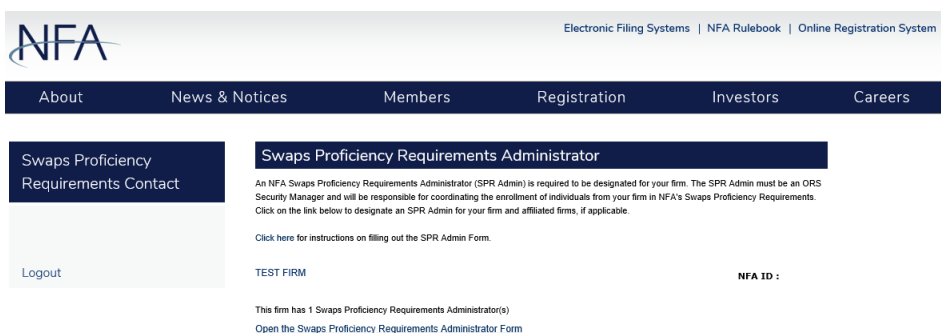
First Name	Last Name	Email	Phone
SPR	TESTER	test1@test.com	555-555-5555

Below the table, there is a checkbox and text: "I am unable to provide the information required in the .csv file due to privacy or other regulatory considerations and am requesting an Enrollment Code." At the bottom, there are "Previous" and "Next" navigation links.

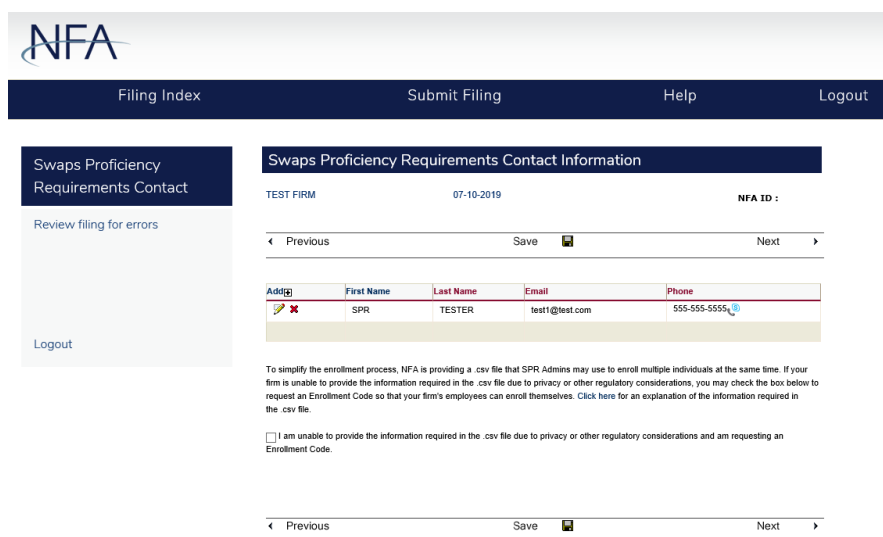
2. The Contact Information screen will open in Read-Only mode. Click "Amend Filing".



3. Enter a reason for amending the filing, such as, “Adding an additional SPR Admin”.



4. You will return to the SPR Admin Form landing page. Click “Open the Swaps Proficiency Requirements Administrator Form”.



5. From the Contact Information screen, click the plus sign (+) next to Add to add yourself as an SPR Admin. To edit an existing SPR Admin, click the pencil next to that Admin’s name. For purposes of this guide, we will add a new SPR Admin.

The screenshot shows the NFA website interface. The main header includes the NFA logo and navigation links: Filing Index, Submit Filing, Help, and Logout. The left sidebar contains 'Swaps Proficiency Requirements Contact' with a 'Review filing for errors' link and a 'Logout' button. The main content area is titled 'Swaps Proficiency Requirements Contact Information'. A modal window is open with the following fields: First Name (pre-populated with 'TESTER'), Last Name (pre-populated with 'TESTER'), Email, Email Verification, and Phone. There are 'Save' and 'Cancel' buttons at the bottom of the modal. The background form shows 'TEST FIRM' and 'NFA ID' fields, along with 'Previous' and 'Next' navigation buttons.

6. Your first and last name will be pre-populated. Enter your email address, verify your email address, and enter your phone number. Click “Save”.

The screenshot shows the NFA website interface. The main header includes the NFA logo and navigation links: Filing Index, Submit Filing, Help, and Logout. The left sidebar contains 'Swaps Proficiency Requirements Contact' with a 'Review filing for errors' link and a 'Logout' button. The main content area is titled 'Swaps Proficiency Requirements Contact Information'. It shows 'TEST FIRM' and 'NFA ID' fields. Below these is a table with the following data:

Added	First Name	Last Name	Email	Phone
	SPR	TESTER	test1@test.com	555-555-5555
	SPR	TESTER	tester2@test.com	555-555-5555

Below the table is a checkbox:  I am unable to provide the information required in the .csv file due to privacy or other regulatory considerations and am requesting an Enrollment Code. At the bottom are 'Previous', 'Save', and 'Next' navigation buttons.

7. Your information now appears on the Contact Information screen. To edit it, click the pencil next to you name. When finished, click “Next”.

The screenshot shows the NFA website interface. The main header includes the NFA logo and navigation links: Filing Index, Submit Filing, Help, and Logout. The left sidebar contains 'Swaps Proficiency Requirements Contact'. The main content area is titled 'Summary of Errors and/or Warnings'. It displays the message: 'No errors were found in this filing. Click on Submit Filing to proceed with submission. Thank you.' Below this message are two buttons: 'Submit Filing' and 'Back To Filing'. At the bottom of the page is the copyright notice: ©2019 National Futures Association. All Rights Reserved.

8. If there are errors, you may return to the SPR Admin Form to correct them. If there are no errors, click “Submit Filing”.

NFA

Swaps Proficiency Requirements Contact

Swaps Proficiency Requirements Administrator

Thank you for submitting the SPR Admin Form. You will receive an email within one week with additional instructions regarding the enrollment process. Visit the [SPR Admin page](#) of NFA's website for additional information regarding your role as an SPR Admin.

[Back to SPR Admin Form](#)

9. You will see a confirmation screen. Click “Back to SPR Admin Form”.

NFA

Electronic Filing Systems | NFA Rulebook | Online Registration System

About News & Notices Members Registration Investors Careers

Swaps Proficiency Requirements Contact

Swaps Proficiency Requirements Administrator

An NFA Swaps Proficiency Requirements Administrator (SPR Admin) is required to be designated for your firm. The SPR Admin must be an ORS Security Manager and will be responsible for coordinating the enrollment of individuals from your firm in NFA's Swaps Proficiency Requirements. Click on the link below to designate an SPR Admin for your firm and affiliated firms, if applicable.

[Click here for instructions on filing out the SPR Admin Form.](#)

Logout

TEST FIRM

NFA ID :

This firm has 2 Swaps Proficiency Requirements Administrator(s)  
[Open the Swaps Proficiency Requirements Administrator Form](#)

10. You will see that the firm now has two SPR Admins. You will receive an email shortly providing you with additional information on the registration of individuals for NFA’s Swaps Proficiency Requirements. At any time, you may open the SPR Admin Form to see your firm’s SPR Admins or access your enrollment codes, if requested.