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Introduction

EasyFile was designed to facilitate the submission of regulatory filings. This user's guide will help you navigate through EasyFile to submit risk data filings.

System Requirements

- EasyFile requires a currently supported version of Microsoft Edge or Firefox
- JavaScript must be enabled in your web browser
- Cookies must be enabled in your web browser
- 128 Bit Encryption
- Adobe Acrobat Reader

Overview

Submitting risk data filings using EasyFile involves a three-step process.

- 1) First, login to the EasyFile System and select the filing you want to submit.
- 2) Next, enter answers to the questions asked in the filing.
- 3) Lastly, after submitting the electronic filing, the system will verify there are no errors and prompt you to read and agree to an electronic oath or affirmation.

A statement filed using EasyFile satisfies your filing requirement with NFA. You should not mail a statement to NFA that has been entered using EasyFile.

Getting Started

Security

EasyFile makes use of your existing security for NFA's Online Registration System (ORS). When your security manager creates a new user for your firm or edits the security of an existing user, your security manager will be able to add the ability to both Submit and Enter or only Enter filings for your firm (see picture below). The Submit and Enter security allows a user to both enter the information and submit the filing once complete. The firm's security manager can grant Enter access to anyone at the firm or outside parties.

Security Options for EasyFile

Security (Easy File System)	
Type	<input checked="" type="radio"/> Submit and Enter
	<input type="radio"/> Enter
	<input type="radio"/> None

The screenshot shows a web form for user profile management. It includes fields for Zip/Postal Code (60606) and Country (UNITED STATES). A 'Contact Information' section contains fields for E-mail Address, Phone Number, and Fax Number. A 'Social Security Number' field is present with dashes. The 'Date of Birth' field is set to July 09, 1945. A 'Security (Easy File System)' section is identical to the one shown above, with 'Submit and Enter' selected. A 'Statistics' section displays account status: Account Locked (False), Password Expired (False), Last Successful Logon (6/21/2004 4:37:27 PM), Last Failed Logon (Never), Password Last Changed (6/17/2004 4:51:21 PM), and Bad Login Count (0). A note at the bottom states: '* Required to update user information.' and '** Required to update user information for a United States address.' An 'Update' button is located at the bottom center.

Accessing the EasyFile System

Once your security manager has set up your security for EasyFile you can access the system through the Electronic Filing System section of NFA's website.

The screenshot shows the NFA website homepage. At the top, the NFA logo is on the left, and a navigation bar contains links for 'Electronic Filing Systems' (highlighted with a red box), 'NFA Rulebook', and 'Online Registration System'. A search bar is on the right. Below the navigation bar, there are buttons for 'VISIT BASIC' and 'FILE A COMPLAINT'. The main content area is divided into two columns. The left column has a 'NFA News' section with a search tool for 'Enforcement and Registration Action Search Results'. The right column has an 'Our Mission' section with text about NFA's role as a self-regulatory organization for the U.S. derivatives industry.

Once on the Electronic Filing Systems Page, expand the Swap Dealers (SD) section.

The screenshot shows the 'Electronic Filing Systems' page. The page title is 'Electronic Filing Systems'. Below the title, there is a list of filing systems with expandable sections. The 'Swap Dealers (SD)' section is highlighted with a red arrow pointing to the right, indicating it is expanded.

Filing System	Expandable
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)	+
Exchanges, CFTC and NFA Use Only	+

When this section is expanded, you will see links to multiple systems. Click on EasyFile (Risk Data Filings) to login to the system.

Swap Dealers (SD)

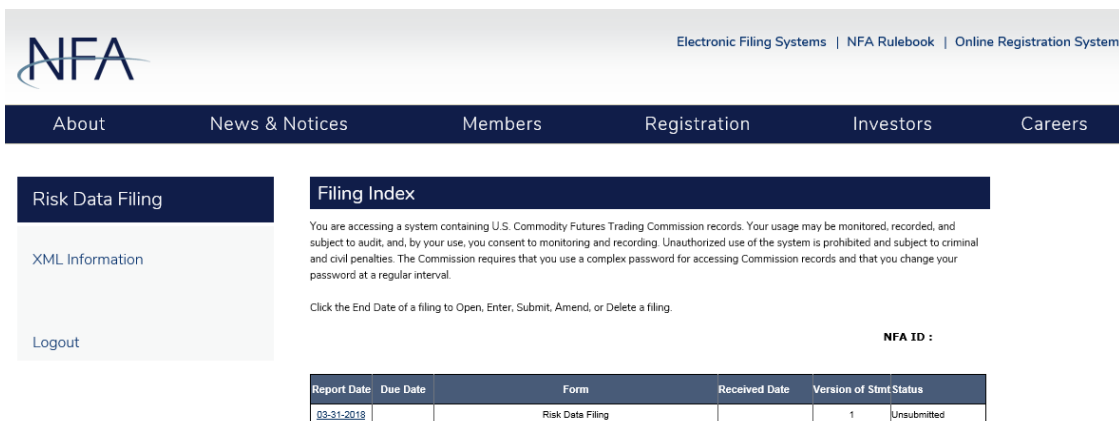
- Access [NFA's Online Registration System \(ORS\)](#) to register with the CFTC and apply for NFA membership electronically. NFA's Dashboard, the entryway to ORS, summarizes periodic filings for firms and outstanding registration filings for firms and individuals.
- Access the [Annual Questionnaire](#), 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).
- Access [EasyFile \(Risk Data Filing\)](#) to file monthly risk data reports.

You will be prompted to sign on using your ORS user name and password.



The Filing Index

Once logged in you will see the Filing Index, which lists information about all of the filings that have been submitted to NFA for a particular 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.



Report Date	Due Date	Form	Received Date	Version of Stmt/Status
03-31-2018		Risk Data Filing		1 Unsubmitted

The Filing Index displays the following information about each filing:

- **Report Date** – This is the end date of your statement. Click on the "Report Date" to open a filing.
- **Due Date** – This is the date that the filing should be submitted to NFA. A filing submitted after this date is considered late. Only filings required by NFA will have a Due Date.
- **Form** – This will state Risk Data Filing.

- **Received Date** – This is the date when 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 of when the filing was first submitted.
- **Version of Stmt**– This is the version number of the filing. The Initial version of the filing will have a value equal to 1. Each time an amendment is made to a filing the number will be increased by 1.
- **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 past due and should be submitted as soon as possible. An overdue filing will appear in red.
 - **Amending** – Indicates that the filing is currently being amended.

Viewing and Editing Filings

To view a filing, click the End Date of the filing in the Filing Index. Filings that have been submitted will open in a read-only format. If you need to amend a filing that has already been submitted, see the Amend Filings section at the end of this help document.

When a filing is opened and not yet submitted, you will be able to enter your risk data. Only one user can edit a filing at a time. Other users trying to access a filing currently being edited will only be able to view the filing in a read-only format.

After clicking the End Date in the Filing Index, the Pre-Filing Questionnaire will be displayed.

Pre-Filing Questionnaire

The Pre-Filing Questionnaire is the first page that is displayed when a statement is selected in the Filing Index. It contains control questions, which based on your answers, will determine the questions you'll receive on the next page, which is the Risk Data statement.

Links to filing pages are available in the left-navigation of each screen. You may also navigate through the system using the "Previous" or "Next" buttons at the top and bottom of the statement. Use of the browser back button is not advised.

NFA

Filing Index | Submit Filing | Printer Friendly | Upload | Help | Logout

Risk Data Filing

- Review filing for errors
- Pre-Filing Questionnaire**
- Risk Data
- Logout

Pre-Filing Questionnaire

03-31-2018 NFA ID :

< Previous Save Next >

1. Reporting Level Business Line SD Registrant Level

2. Reporting Scope Swap Activity All Activity

3. Is the firm a non-financial SD? Yes No

4. If Yes, will the firm file

4a. SVAR/Stress Scenarios SVAR Stress Scenarios N/A

4b. Commodity Sensitivities Option 1 Option 2 N/A

5. VaR

5a. Holding Period (in days) 1 10

5b. Confidence Level 95% 99%

6. SVaR

6a. Holding Period (in days)

Find Box

Risk Data

The Risk Data page is a list of specific required risk metrics.

Click on the applicable box to enter the corresponding risk metric or use the tab key on your keyboard to go to the next box in the filing. If needed, click the N/A box next to the question to indicate that a value is not applicable.

NFA

Filing Index | Submit Filing | Printer Friendly | Upload | Help | Logout

Risk Data Filing

Review filing for errors

Pre-Filing Questionnaire

Risk Data

Logout

Find Box

Risk Data

03-31-2018 NFA ID :

< Previous Save Next >

8. Value at Risk (VaR) for each of the following:

8a. Interest Rate 1110 1120
 N/A

8b. Credit 1130 1140
 N/A

8c. FX 1150 1160
 N/A

8d. Equities 1170 1180
 N/A

8e. Commodities 1190 1200
 N/A

8f. Total VaR 1210

9. Stress Measure

9a. Total Stressed Value at Risk (SVaR) 1220 1225
 N/A

Help Text

Help text is available to assist filers in determining what risk metrics to include. Click on “Help” on the left side of the page to get a printable version of the instructions. You can also view the help text for a particular risk metric by clicking on the “?” button to the left of the question.

9. Stress Measure

9a. Total Stressed Value at Risk (SVaR) 1220 1225
 N/A

SVaR is VaR but with model inputs calibrated to a period of significant financial stress as commonly understood by the market and appropriate to the SD's current portfolio. For example, if the three worst forecasted daily losses during a period of significant market stress for a given portfolio in 300 scenarios were \$3 million, \$9 million and \$15 million, then the one day 99% Stressed VaR (SVaR) would be \$3 million.

Close help

Summary of Errors and/or Warnings

Check your data entry for errors by clicking on the side menu item “Review filing for errors.” If any are found, a list of the warnings and/or errors will be displayed. Click on the error to access the box that

contains an error or warning. Click the “Back to Filing” button below the list of errors to return to the first page of the filing.

- **Warnings** – The filing can still be submitted but you should look at the warnings to verify that all the data was entered correctly. If you choose to submit the filing with warnings, provide a note and click the “Submit with Warnings” button. The Submission and Oath page will be displayed.
- **Errors** – **All errors must be corrected before you will be able to submit your filing.** For example if you indicate that the firm is a financial SD and will be providing SVaR, but provided information for a non-financial firm equivalent stress measure, then the validation page will display the error. You will need to correct all errors before you can submit the filing.

Summary of Errors and/or Warnings

Description	Type
The firm must answer "Total VaR"	Error
The firm indicated that it is a financial SD, and must answer "Total Stressed Value at Risk (SVaR)"	Error
The firm indicated that it is a financial SD, and must provide information for Option 1.	Warning
The firm must answer "Total Swaps Current Exposure before Collateral"	Error
The firm must answer "Total Swaps Current Exposure net of Collateral"	Error
The firm must provide at least 1 Swaps Counterparty Exposure	Error
The firm must provide at least 1 Swaps Counterparty exposure	Error

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” ability. When “Submit Filing” is clicked, the filing is validated to determine if there are any errors. If there are no errors, the Oath will appear. Read the oath and if you agree with it click the Submit Filing button below the oath. The filing will not be submitted until the “Submit Filing” button at the bottom of the Oath page is clicked.

OATH

03-31-2018

NFA ID :

I hereby affirm that, to the best of my knowledge and belief, the information contained in this filing is accurate and complete. This affirmation also constitutes an attestation that this filing has been reviewed by a listed principal of the company identified above and that I am duly authorized to bind the filing.

Name of the individual signing this Form :

Submit Filing

Submission Received Page

Upon submitting your filing, a submission received page will display. This is your verification that the filing was successfully submitted to NFA.

Risk Data Filing

Thank you. Your filing has been successfully filed with NFA.

[Filing Index](#)

Click on the "**Filing Index**" button to return to the Filing Index screen. The filing you submitted will now display a status of "Received".

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 :

Report Date	Due Date	Form	Received Date	Version of Stmt	Status
03-31-2018		Risk Data Filing	05-25-2018 2:42 PM	1	Received

Amending a Filing

To amend a filing that has already been submitted, open it by clicking the Report Date in the filing index.

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 :

Report Date	Due Date	Form	Received Date	Version of Stmt	Status
03-31-2018		Risk Data Filing	05-25-2018 2:42 PM	2	Amending

You will be prompted to type in a reason for the amendment. You cannot proceed without typing a brief explanation of the amendment. You can click "Cancel Amendment" if you do not wish to proceed. Otherwise, click "Amend Filing."



Risk Data Filing

Amend Filing

Please provide information regarding your amended filing.

On the Filing Index screen, the status of this filing will now be shown as “Amending.” Make any necessary changes and review the statement for errors. Once reviewed, agree to and submit the oath. At this point, the amended status will be “Received.”

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 :

Report Date	Due Date	Form	Received Date	Version of Stmt	Status
03-31-2018		Risk Data Filing	05-25-2018 2:42 PM	1	Received

Questions

If you have any questions, please contact NFA's Information Center (312-781-1410 or 800-621-3570 or information@nfa.futures.org).