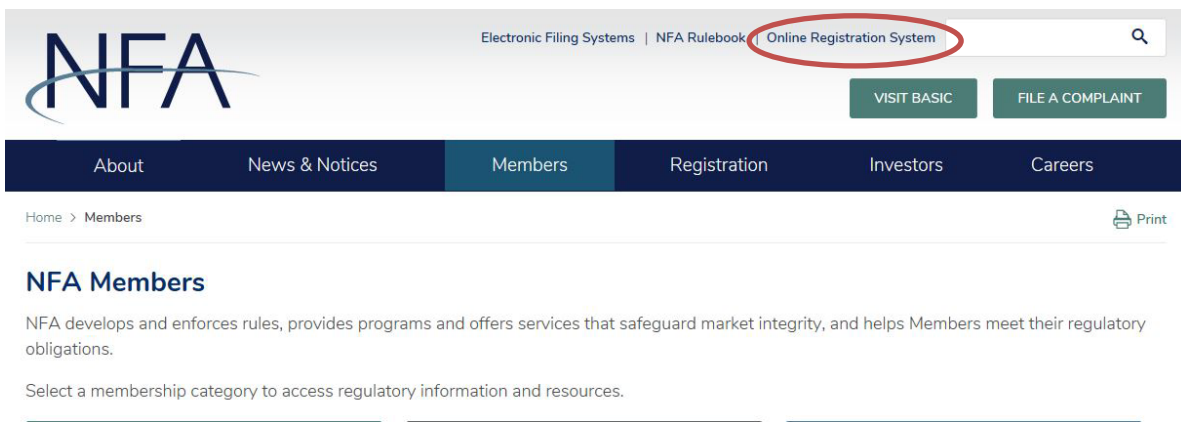




How to set up EasyFile Security: Instructions for Security Managers

Please Note: Only a Security Manager can change security or add a new user. If you do not know who the security manager for your firm is, contact NFA's Information Center (800-621-3570 or information@nfa.futures.org) and a representative will assist you. ORS security managers do not automatically receive EasyFile security. Only those individual who have been assigned EasyFile security will be able to see and file PR or PQR filings.

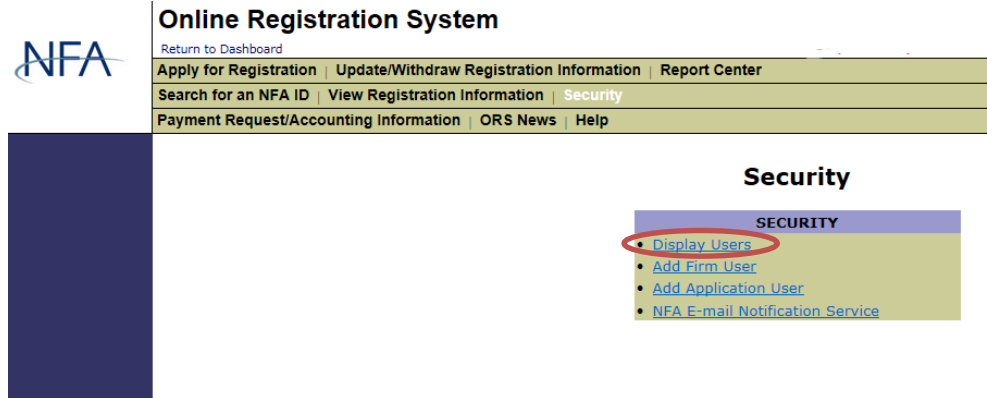
1. Log into NFA's Online Registration System (ORS).



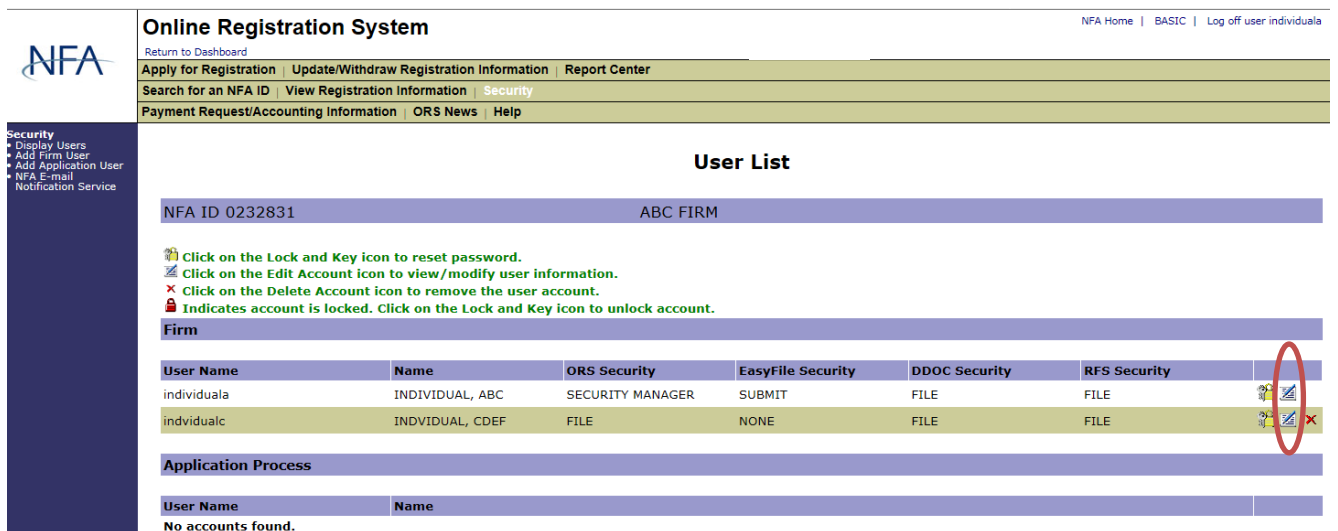
2. After signing on to ORS, you'll be directed to the NFA Dashboard. Click Security under ORS Links. If you are not a security manager, then the Security tab will not be available.



- After clicking the Security tab, the security menu will display. Click the menu item Display Users.



- After clicking Display Users, a list of the firm's users will display. Click on the Edit Account icon to the right of the user to which you want to give EasyFile security privileges.



5. After clicking the Edit Account icon for the user you want to change, the Edit User screen will display. Scroll down the page until you see the section labeled Security (EasyFile System). Choose the level of security that you want this user to have for EasyFile and click the Update button at the bottom of the screen.

There are three security options.

- Enter and Submit gives a user the ability to enter and submit a statement. The individual submitting the statement must comply with CFTC Regulation 1.10(d)(4) for FCM or IB Members or CFTC Regulation 4.22(h) and 4.27(e) for CPO or CTA Members as the submission of the statement is the equivalent to manually signing a hard copy statement. An individual submitting a statement on behalf of an SD attests by oath and affirmation that to the best of his or her knowledge and belief the information contained in the statement is true and correct.
 - FCM or IB Members: Assign the Enter and Submit security level to users ONLY if they are one of the following:
 1. the sole proprietor of the firm;
 2. the firm's general partner if the firm is a partnership;
 3. the firm's chief executive officer (CEO) or chief financial officer (CFO) if the firm is a corporation or similar type of organization;
 4. the firm's chief executive officer (CEO), chief financial officer (CFO), the manager, the managing member or a vested member with management authority if the firm is a limited liability company, limited liability partnership or similar type of organization; or
 5. the firm's approved FINRA Financial and Operations Principal (FinOp) if the firm is a registered Broker-Dealer.
 - CPO or CTA Members: Assign the Enter and Submit security level to users ONLY if they are duly authorized to bind the firm.
 - SD Members: Assign the Enter and Submit security level to users ONLY if they are duly authorized to bind the firm.
- Enter gives a user the ability to enter the financial information into the system, but he or she will not be able to submit a statement. This feature was designed to allow for one individual to enter the data without submitting it in order that appropriate supervisory personnel could then review the data and submit the statement.
- None means the user may not view, enter or submit a statement.

Contact Information	
E-mail Address	<input type="text"/>
Phone Number*	<input type="text" value="555 555 5555"/>
Fax Number	<input type="text"/>

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

Security (Disclosure Document System)	
Type	<input checked="" type="radio"/> File <input type="radio"/> None

Security (Regulatory Filing System)	
Type	<input checked="" type="radio"/> File <input type="radio"/> None

- After clicking Update, the user's security is set and that user will be able to sign on to EasyFile and perform the functions allowed by the level of security that they were given.
- To add a new user:** In the event that you want to add a new firm user, click Add Firm User on the security menu or from the left hand column of any page within the security section.

The screenshot shows the NFA Online Registration System interface. At the top left is the NFA logo. Below it is a navigation menu with the following items: [Return to Dashboard](#), [Apply for Registration](#), [Update/Withdraw Registration Information](#), [Report Center](#), [Search for an NFA ID](#), [View Registration Information](#), [Security](#), [Payment Request/Accounting Information](#), [ORS News](#), and [Help](#). The 'Security' menu is expanded, showing a sub-menu with the following options: [Display Users](#), [Add Firm User](#) (circled in red), [Add Application User](#), and [NFA E-mail Notification Service](#).

- When the screen to enter the information for the new user is displayed, you will be able to set up the EasyFile security. When a new user is added a user ID and password will be generated for the person. You should make note of the User ID and password so the new user will be able to sign on to NFA's systems.

Add Firm User

NFA ID 0232831 ABC FIRM


Enter information and click Add.

Name	
First*	<input type="text"/>
Last*	<input type="text"/>

Business Address	
P.O. Box address is not acceptable.	
Street Address 1*	<input type="text"/>
Street Address 2	<input type="text"/>
City**	<input type="text"/>
State* (United States Only)	<input type="text" value="v"/>
Province	<input type="text"/>
Zip/Postal Code**	<input type="text"/>
Country*	<input style="width: 100%;" type="text" value="UNITED STATES"/>

Contact Information	
E-mail Address	<input type="text"/>
Phone Number*	<input type="text"/>
Fax Number	<input type="text"/>

9. **To delete a user:** In the event that you want to remove an existing firm user, click the Delete Account Button from the User List. A pop-up window will ask you to verify that you wish to delete the user. Clicking ok will result in the individual being permanently deleted.



Online Registration System

[Return to Dashboard](#)

[Apply for Registration](#) |
 [Update/Withdraw Registration Information](#) |
 [Report Center](#)

[Search for an NFA ID](#) |
 [View Registration Information](#) |
 [Security](#)

[Payment Request/Accounting Information](#) |
 [ORS News](#) |
 [Help](#)

[NFA Home](#) |
 [BASIC](#) |
 [Log off user individuala](#)

User List

NFA ID 0232831 ABC FIRM

Click on the Lock and Key icon to reset password.
 Click on the Edit Account icon to view/modify user information.
 Click on the Delete Account icon to remove the user account.
 Indicates account is locked. Click on the Lock and Key icon to unlock account.

Firm						
User Name	Name	ORS Security	EasyFile Security	DDOC Security	RFS Security	
individuala	INDIVIDUAL, ABC	SECURITY MANAGER	SUBMIT	FILE	FILE	
individualc	INDIVIDUAL, CDEF	FILE	ENTER	FILE	FILE	

Application Process

User Name	Name
No accounts found.	

To remove a user's EasyFile security but leave the user in the system, change the Security level to None under Security (EasyFile System) when editing the user's profile.

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

Contact NFA

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