



EasyFile System Help (IB Notice Filings)

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Introduction

The web based Easy File application was designed to make filling out and submitting notice 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). When the Security Manager creates a new user for your firm or edits the security of an existing user he/she 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 will allow a user to both enter the information and also submit the filing once complete. The “Enter” security will allow a user only to enter information but they will not be able to submit them to NFA. Users that do not have any security to the filings will be designated as “None”.

New Security Options for Easy File

[Add User](#) [Edit User](#) [Add Application User](#)

Select account from User List to edit, delete or change password.

Account Information

NFA ID

0554082

DUMMY FIRM

User ID

TESTT91

Email*

TEST@NFA.FUTURES.

First Name*

TEST

Last Name*

TEST

Street Address 1*

TEST

Street Address 2

City**

TEST

Province

State**

ILLINOIS

Zip/Postal Code**

12345

Country*

UNITED STATES

Phone Number*

3127811410

Fax Number

Application Security

Application	Security Type
Online Registration System	--None--
Easy File System	--None--
Disclosure Document System	Enter and Submit Enter
Regulatory Filing System	--None--
Promotional Filings System	--None--

Accessing the Easy File Application

Once your Security Manager has set up your security for Easy File you can access the application through Electronic Filings menu of NFA's website. Find the Introducing Brokers membership category and click the expand button.

The screenshot shows the NFA website's navigation bar with the following items: NFA logo, Electronic Filing Systems (highlighted with a red box), NFA Rulebook, Online Registration System, and a search bar. Below the navigation bar are buttons for 'VISIT BASIC' and 'FILE A COMPLAINT'. The main menu includes 'About', 'News & Notices', 'Members', 'Registration', 'Investors', and 'Careers'. The 'Electronic Filing Systems' section is titled and contains a paragraph: '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](#).' Below this is a list of membership categories with expand buttons: Commodity Pool Operators (CPO), Commodity Trading Advisors (CTA), Futures Commissions Merchants (FCM), Introducing Brokers (IB) (circled in red), Retail Foreign Exchange Dealers (RFED) and Forex Dealer Members (FDM), Swap Dealers (SD), and Exchanges, CFTC and NFA Use Only.

The various systems applicable to that membership category will appear. Click on the link for EasyFile for non broker-dealer IBs.

The screenshot shows the NFA website's navigation bar with the following items: NFA logo, Electronic Filing Systems (highlighted with a red box), NFA Rulebook, Online Registration System, and a search bar. Below the navigation bar are buttons for 'VISIT BASIC' and 'FILE A COMPLAINT'. The main menu includes 'About', 'News & Notices', 'Members', 'Registration', 'Investors', and 'Careers'. The 'Introducing Brokers (IB)' section is titled and contains a list of filing systems: '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.', 'Non broker-dealer IBs can use [EasyFile](#) to file audited and unaudited 1-FR-IB financial statements and enter and transmit notice filings.' (highlighted with a red box), 'Independent IBs that are broker-dealers may access [WinJammer](#) to enter and transmit notice filings and other financial statements (FOCUS filings).', 'Use the [Anti-Money Laundering \(AML\) Procedures System](#) to develop an AML procedure.', 'Access [NFA's Regulatory Filing System](#) to submit regulatory documentation.', and 'Access the [Promotional Material Filing System](#) to submit or manage promotional material filings.'

You will be taken to the EasyFile (IB) page. Click on "Access the System" button in the "Enter and Transmit Notice Filings" box.

The screenshot shows the top of the NFA website. On the left is the NFA logo. To its right are links for "Electronic Filing Systems", "NFA Rulebook", and "Online Registration System", followed by a search bar. Further right are two buttons: "VISIT BASIC" and "FILE A COMPLAINT". Below this is a dark blue navigation bar with white text links: "About", "News & Notices", "Members", "Registration", "Investors", and "Careers". At the bottom of the page, there is a breadcrumb trail: "Home > Electronic Filing Systems > EasyFile (IB)" and a "Print" icon on the right.

EasyFile (IB)

EasyFile allows introducing brokers (IB) to file audited and unaudited 1-FR-IB financial statements and enter and transmit notice filings. Independent introducing brokers (IB) that are not broker-dealers must file their financial statements electronically through NFA's EasyFile. In order to access this system, the IB's security manager(s) must [set-up EasyFile Security](#).

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.

Two white boxes with thin black borders are shown side-by-side. The left box is titled "File a 1-FR-IB Financial Statement" and contains a green button labeled "ACCESS THE SYSTEM" and a link "See system requirements." below it. The right box is titled "Enter and Transmit Notice Filings" and also contains a green button labeled "ACCESS THE SYSTEM" and a link "See system requirements." below it. A red arrow points from the top-left corner of the right box to the "ACCESS THE SYSTEM" button.

You will then be prompted to sign on using your ORS User Name and Password.



NFA System Login - Easy File Plus

Please log in with your username and password to access the Easy File Plus system.

User Name	<input type="text"/>	* Required
Password	<input type="password"/>	
<input type="button" value="Log In"/>		

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 the notice 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 screenshot shows the NFA EasyFile Financial Filing System interface. At the top, there is a navigation bar with links for About, News & Notices, Members, Registration, Investors, and Careers. The main content area is divided into two columns. The left column contains a 'Logout' button. The right column is titled 'Filing Index' and contains a disclaimer: '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.' Below the disclaimer is a field for 'NFA ID :'. A table with the following columns: End Date, Form, Received Date, Version of Stmt, Status, Pool, and Regulation Type. The table contains four rows of data, all with 'Unsubmitted' status. Below the table is a 'Create Filing' button.

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
05-09-2018	Regulation Notice		1	Unsubmitted		
04-21-2018	Regulation Notice		1	Unsubmitted		
04-19-2018	Regulation Notice		1	Unsubmitted		
04-17-2018	Regulation Notice		1	Unsubmitted		

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.
- **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.
- **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.
 - **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.
- **Regulation Type** – The CFTC Regulation or NFA Rule the notice relates to

Create New Filing

Using the “Create New 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, Filing Type and End Date of the filing (see below). The End Date of the filing can only be the current date or earlier. After selecting the Form type, Filing 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.

The screenshot shows the NFA website interface. At the top, the NFA logo is on the left, and navigation links for "Electronic Filing Systems", "NFA Rulebook", and "Online Registration System" are on the right. A dark blue navigation bar contains links for "About", "News & Notices", "Members", "Registration", "Investors", and "Careers".

Below the navigation bar, there are two main sections. On the left is the "EasyFile Financial Filing System" section with a "Logout" link. On the right is the "Filing Index" section. It contains a disclaimer: "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." Below the disclaimer is an "NFA ID:" field and a table of filings.

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
05-09-2018	Regulation Notice		1	Unsubmitted		
04-21-2018	Regulation Notice		1	Unsubmitted		
04-19-2018	Regulation Notice		1	Unsubmitted		
04-17-2018	Regulation Notice		1	Unsubmitted		

Below the table is a "Create Filing" button. A red arrow points from this button to a "Create New Filing" dialog box that has appeared. The dialog box contains the following fields:

- A message: "End Date must be earlier or equal to today"
- "Form:" dropdown menu with "-- Select A Form --"
- "Type:" dropdown menu with "Select Type"
- "End Date:" text input field with a calendar icon and the format "mm/dd/yyyy"
- "Save" and "Cancel" buttons at the bottom.

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 format unless the firm clicks the "Amend Filing" button. After clicking the End Date, the filing will be displayed.

Editing a filing

When a filing is opened that hasn't been submitted yet you will be able to enter your data into the filing. Only one person can edit a filing at a time. Anyone else who tries to open a filing currently being edited by another person will only be able to open the filing in a read-only format. To enter information in a box simply click on the box. Use the Tab key to go to the next box on the statement.

Saving your information

The data you enter into a filing 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.
- **Amend Filing** – Click this menu item to amend a filing. Amend Filing is only available when you are viewing a filing that has already been submitted.
- **Delete Filing** – Clicking the Delete Filing menu item will delete the filing if it was created manually (see Create New Filing above). This menu item will only display for a non-required filing that was created manually. Submitted filings cannot be deleted.
- **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.

Security

This is an example of the top menu for a filing that has not been submitted for someone signed on with Submit security.




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. When "Submit Filing" is clicked the filing is validated to determine if there are any errors on the filing. For example, if you didn't attach a document, you will not be able to submit the filing until the error is corrected. 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. If you don't agree click the "Cancel Submission" button. After clicking the "Cancel Submission" button you will be redirected back to the Filing Index.

Oath

06-11-2018 NFA ID :


◀ Previous Save  Next ▶

I hereby affirm that, to the best of my knowledge and belief, the information contained in this filing is accurate and complete.

Name:

Name of Company:

[Submit Filing](#)

◀ Previous Save  Next ▶

Summary of Errors and/or Warnings

When a filing is submitted it is first analyzed by evaluating the data on the filing with a set of rules. If the filing fails any of these rules, then a list of the warnings and or errors that the filing failed will be displayed (see below). Clicking on the Box number of the error will display the statement that the box is on and set focus to the box that is in error. If the box is a calculated value, then the box on the statement will be highlighted in red. Clicking the "Cancel" button below the list of errors will display the Filing Index. This summary can also be displayed by clicking on „Review statement for errors“

- **Warnings** – If a filing only fails rules of the type "Warning" 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 click the "Submit with Warnings" button and the Submission Oath page will be displayed
- **Errors** – If a filing fails any rule of type "Error" then the error must be correct before you will be able to submit your filing. For example, if you do not attach a document to the filing and try to submit then the validation page will display with an error indicating the document must be uploaded. You will need to correct all errors before you will be allowed to submit the filing.

This is an example of the Summary of Errors and/or Warnings page with only warnings, note the "Submit with Warnings" button below the list.

The screenshot displays the NFA EasyFile Financial Filing System interface. On the left, there is a search bar with the text "Find Box" below it. The main content area is titled "Summary of Errors and/or Warnings" and contains a table with the following data:

Description	Type
No documents uploaded, please upload at least one document.	Error

Below the table, there is a "Back To 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.

