Easy File System Help

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.

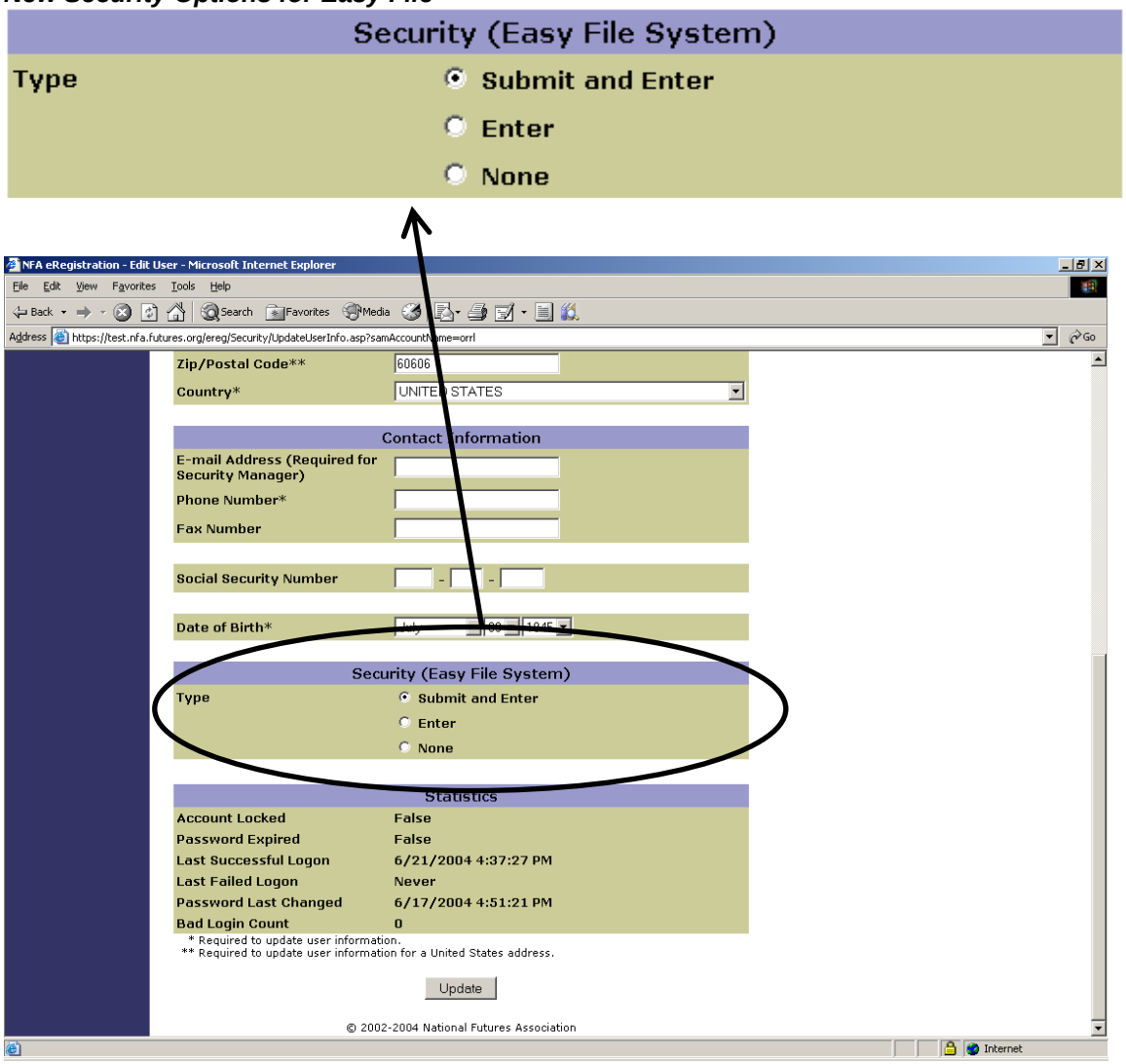
System Requirements

- EasyFile requires a currently supported version of Microsoft Explorer 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

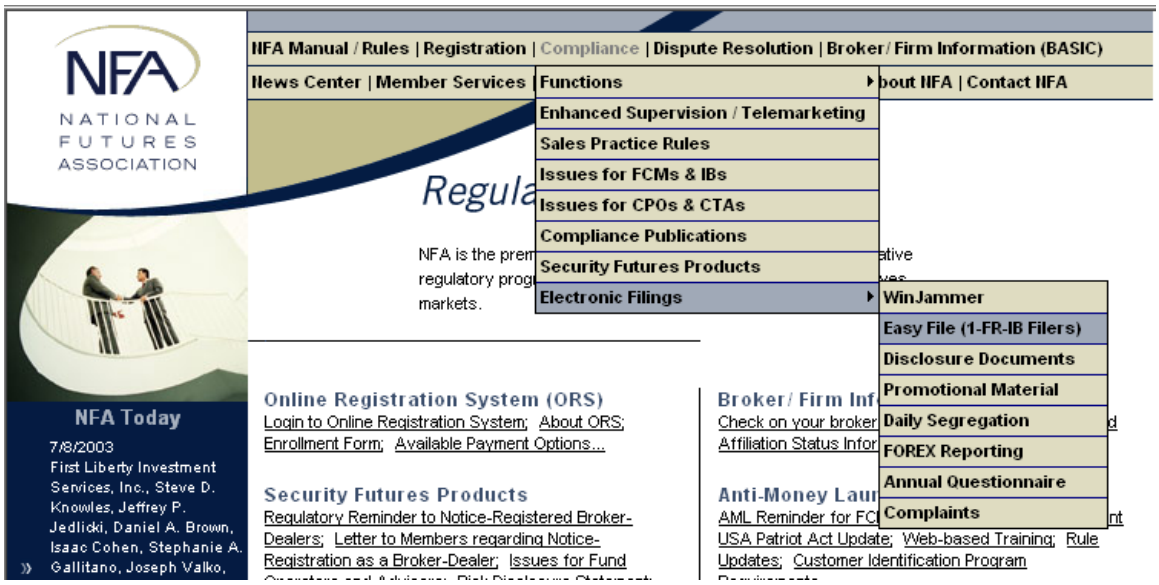
- Security
  Easy File makes use of your existing security for the Online Registration System (ORS). When the Security Manager creates a new user for your firm or edits the security of an existing user he/she will be able to add the ability to both Submit and Enter or only Enter financial filings for your firm (see picture below). The "Submit and Enter" security will allow a user to both enter the financial information and also submit the filing once complete. (Note that the regulation as to who can submit Financial Filings is specified in CFTC Regulation 1.10 (d)(4).) The "Enter" security will allow a user only to enter financials but they will not be able to submit them to NFA. Users that do not have any security to the financial filings will be designated as "None".

New Security Options for Easy File



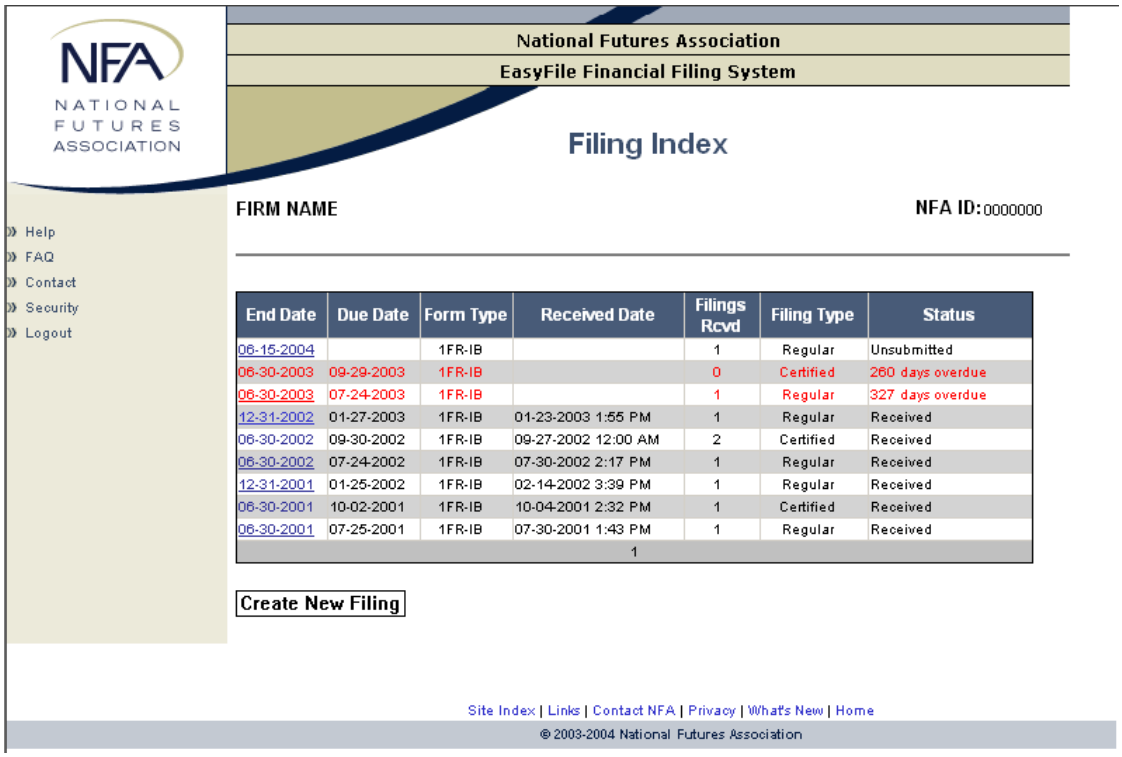
Accessing the Easy File Application

Once your Security Manager has set up your security for Easy File you can access the application through Electronic Filings menu on the Compliance menu of NFA's main web page (see below). Once you click on the Easy File menu item you will be prompted to sign on using you ORS User Name and Password.



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.



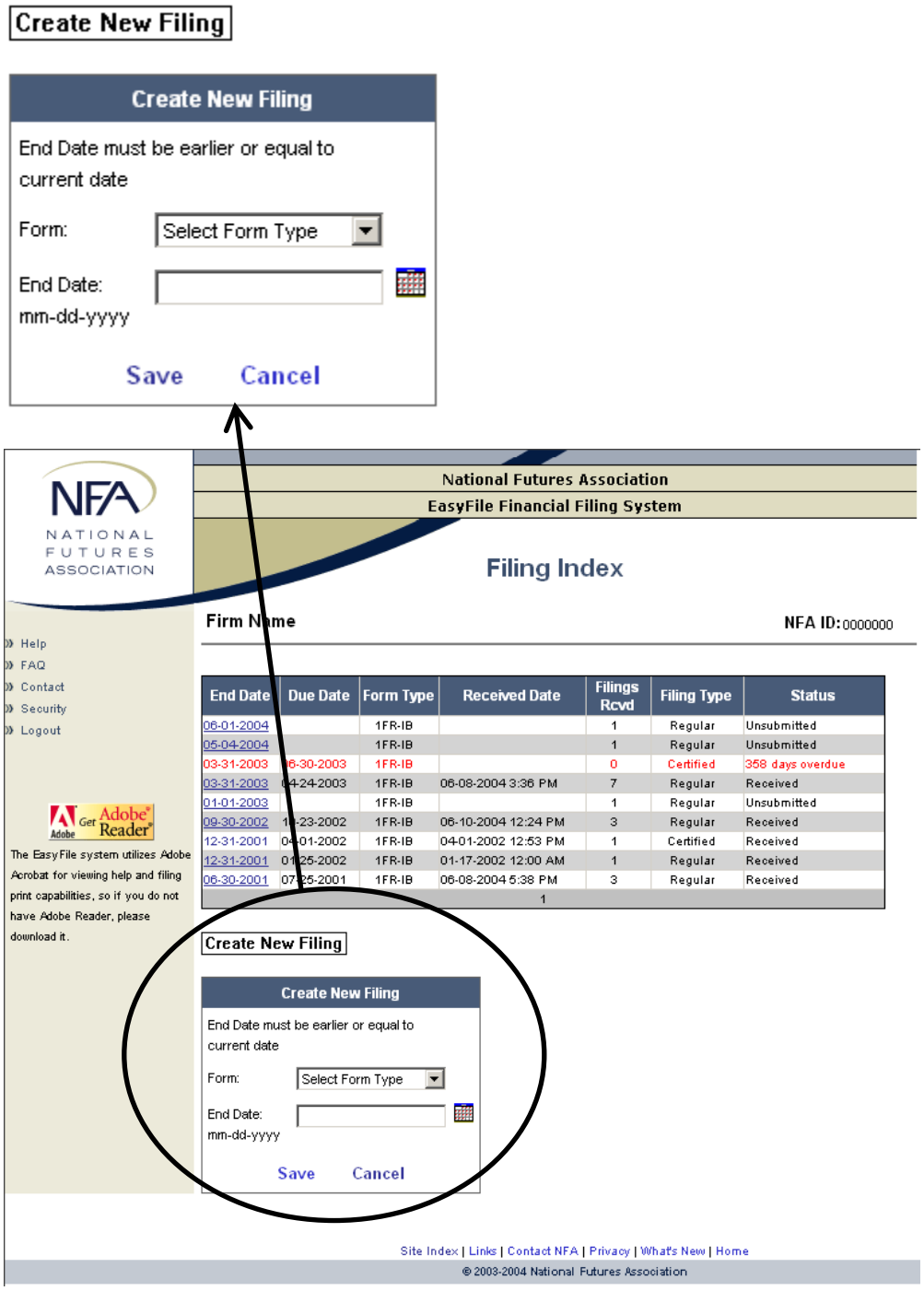
End Date	Due Date	Form Type	Received Date	Filings Rcvd	Filing Type	Status
06-15-2004		1FR-IB		1	Regular	Unsubmitted
06-30-2003	09-29-2003	1FR-IB		0	Certified	260 days overdue
06-30-2003	07-24-2003	1FR-IB		1	Regular	327 days overdue
12-31-2002	01-27-2003	1FR-IB	01-23-2003 1:55 PM	1	Regular	Received
06-30-2002	09-30-2002	1FR-IB	09-27-2002 12:00 AM	2	Certified	Received
06-30-2002	07-24-2002	1FR-IB	07-30-2002 2:17 PM	1	Regular	Received
12-31-2001	01-25-2002	1FR-IB	02-14-2002 3:39 PM	1	Regular	Received
06-30-2001	10-02-2001	1FR-IB	10-04-2001 2:32 PM	1	Certified	Received
06-30-2001	07-25-2001	1FR-IB	07-30-2001 1:43 PM	1	Regular	Received
1						

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 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 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 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.



Viewing and Editing Filings

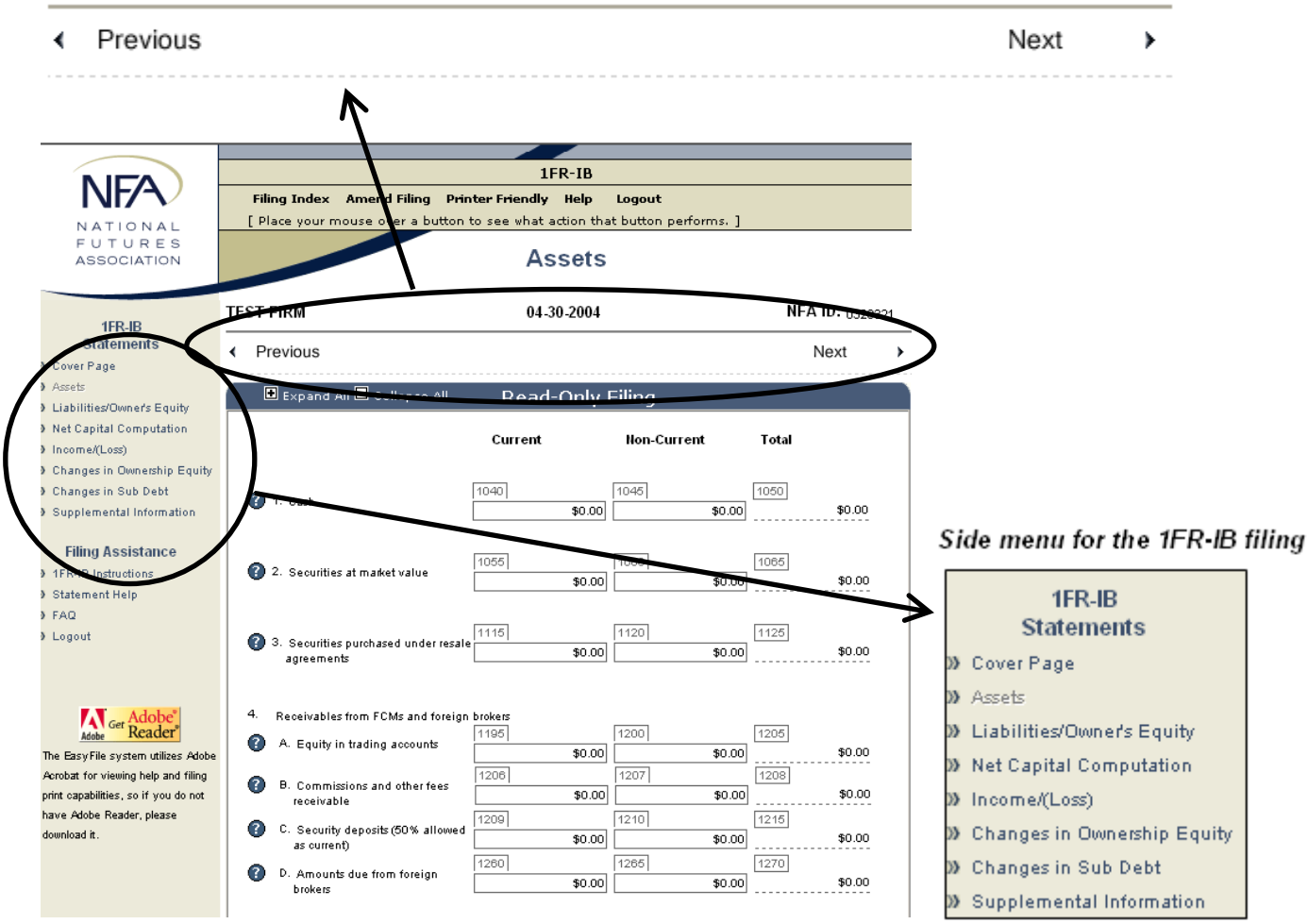
To view a filing, click the End Date of the filing in the Filing Index. (Note that certified filings cannot be viewed.) Filings that have been submitted cannot be edited and will open in a read only format. After clicking the End Date the Cover Page of the filing will be displayed. There are two ways to navigate through the statements of a filing.

Two ways to navigate through the statements:

- Clicking the "Previous" or "Next" links at the top and bottom of the statement (see below). Clicking "Previous" will display the previous statement in the filing and clicking "Next" will display the next statement in the filing.

- Clicking the name of the statement on the left side navigation menu (see below). You can go directly to a specific statement in the filing by clicking on the name of the statement.

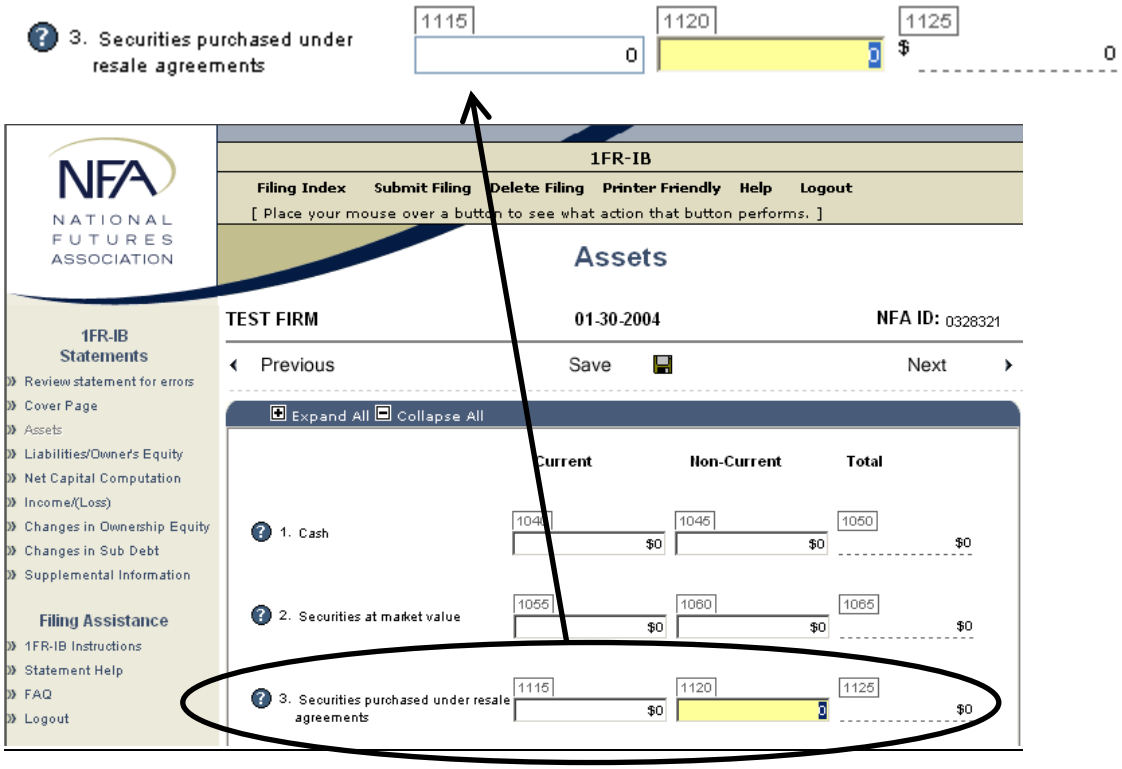
Previous and Next navigation buttons



Editing a filing

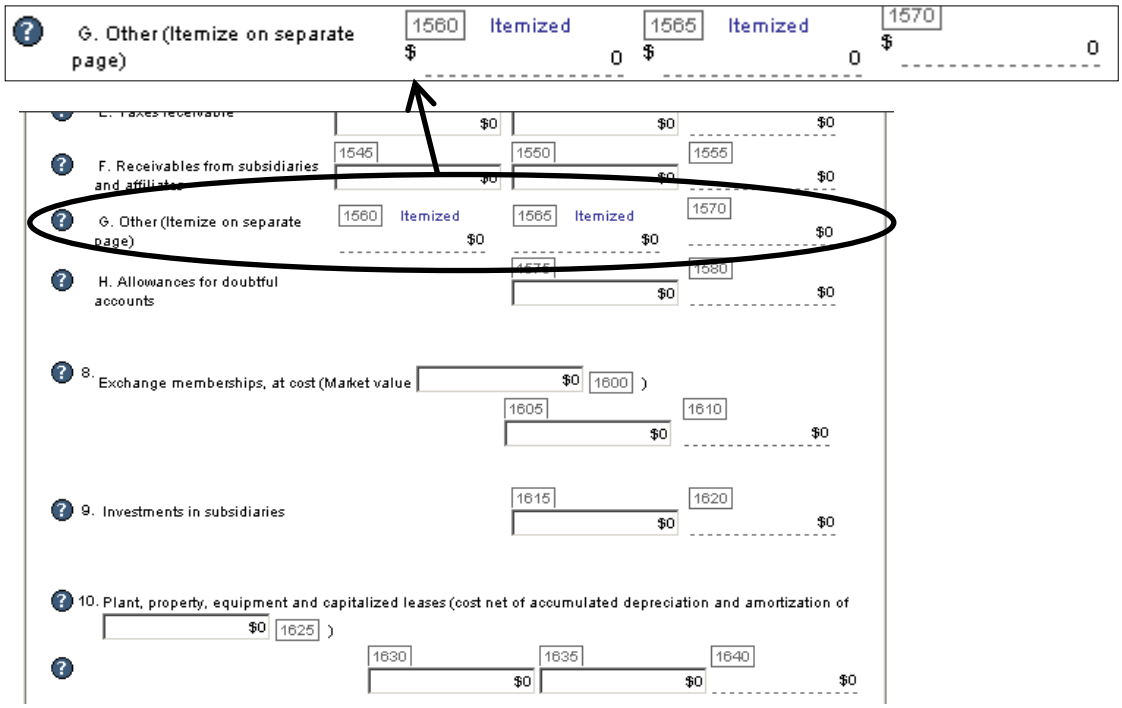
When a filing is opened that hasn't been submitted yet you will be able to enter your financial data into the statements. Only one person can edit a filing at a time. Anyone else who tries to open a filing currently being edited by another person will only be able to open the filing in a read-only format. To enter information in a box simply click on the box. The box that currently has focus will be highlighted in yellow so you can easily see where you are on the filing (see below). Use the Tab key to go to the next box on the statement. Boxes that have a dashed underline are calculated values and cannot be entered. The calculated boxes are update as you enter values into the statement.

In this example box 1120 has focus and Box 1125 is a calculated box.



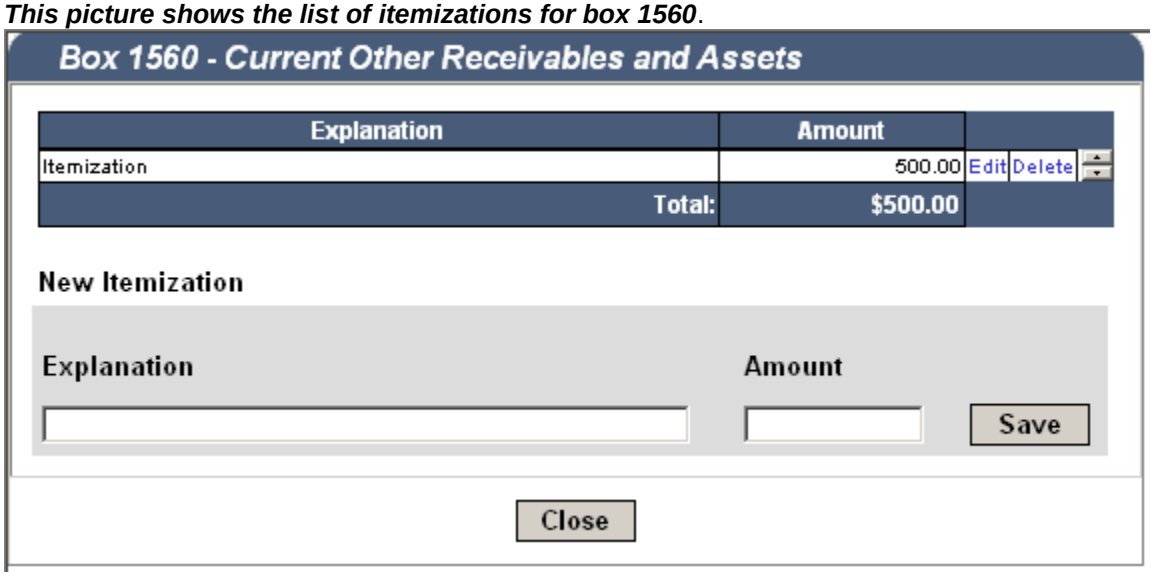
Entering Itemized Data

To enter values in Itemized boxes click the word Itemized in blue next to the box number. In the example below 1560 and 1565 are itemized boxes.



After clicking Itemized next to the box number another window will pop up where you will be able to enter your itemized data (see below). To enter a new itemization enter the Explanation and value of the itemization in the boxes below the list of itemizations and then click the Save button. The new itemization will be added to the list and the total will carry over to the box on the statement. An itemization can be edited or deleted by clicking the Edit or Delete to the right of the line item. When you are finished entering itemizations click the Close button. An option to Copy the Itemizations of the previous filing for this is available before you enter any itemizations (not shown below). This feature makes it convenient if you make the same itemizations each filing.

This picture shows the list of itemizations for box 1560.



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).

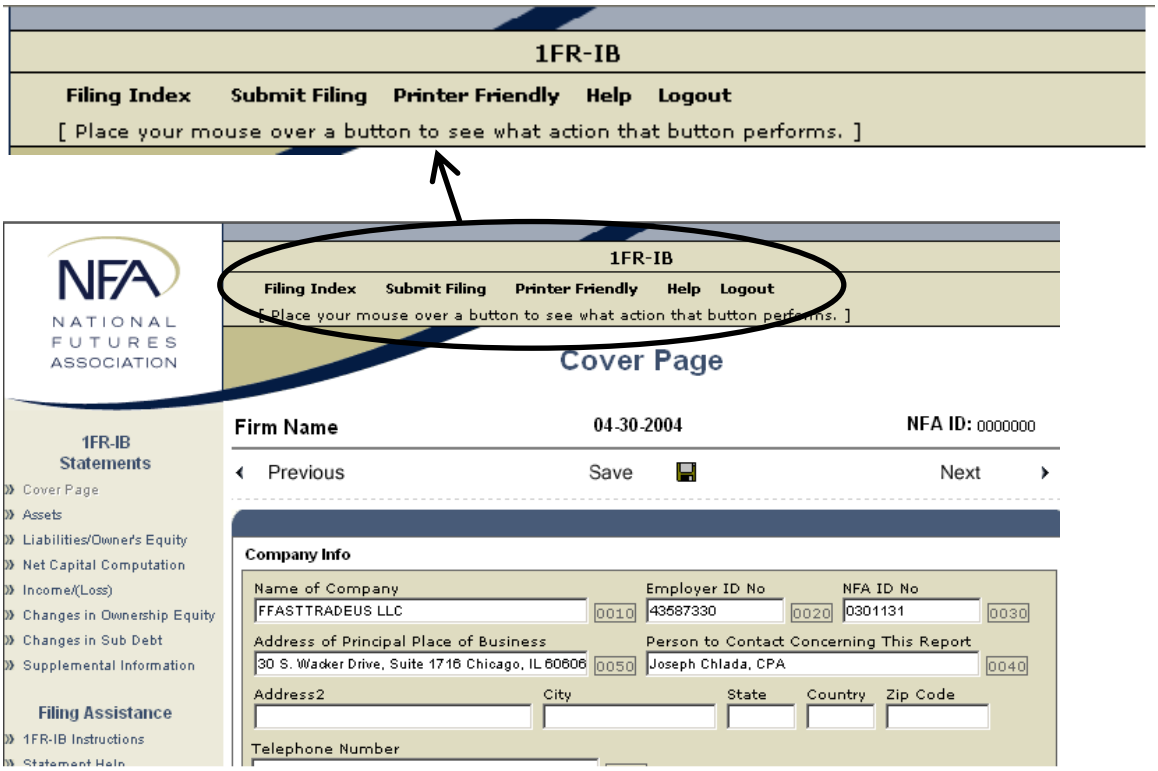
Top Menu Items

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.
- **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.
- **Printer Friendly** – This will display a printable version of the filing as a PDF in another browser window. This menu item is always displayed.
- **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.

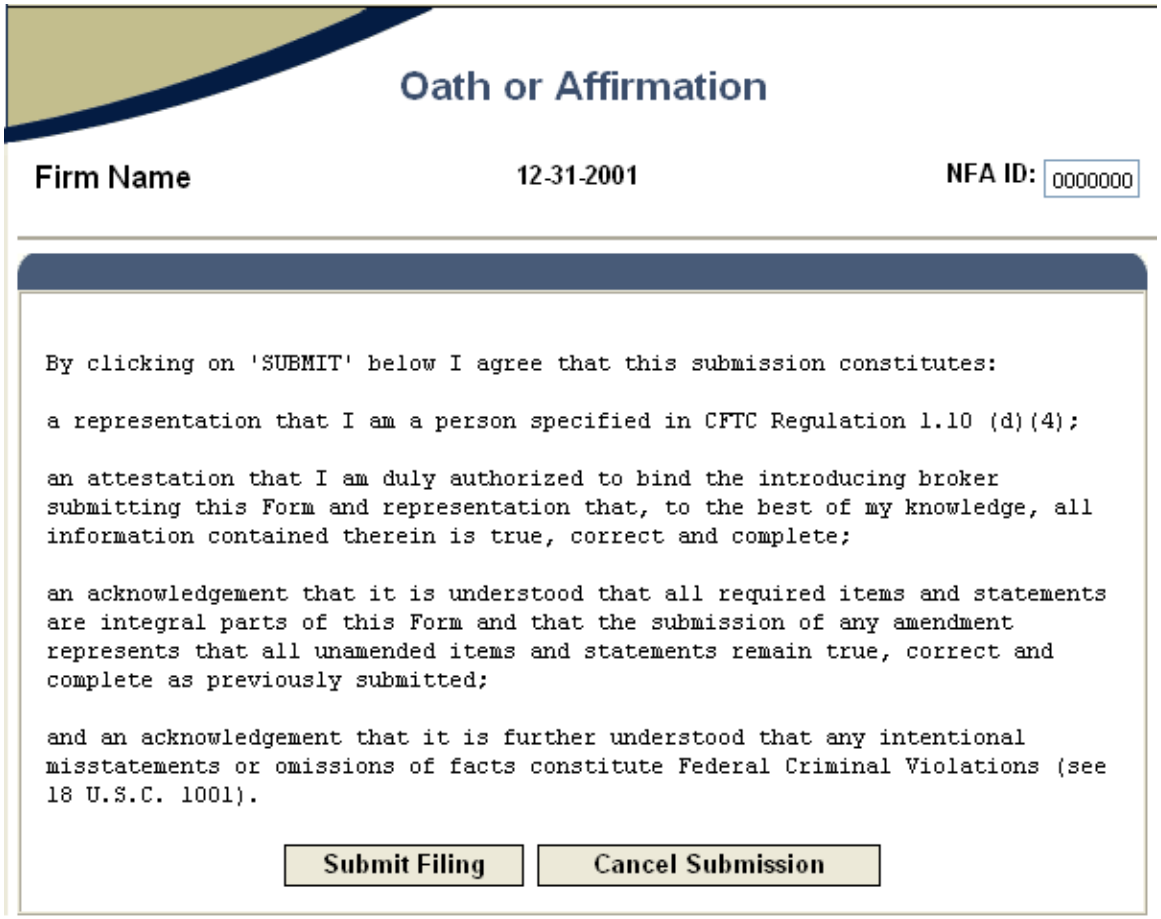
security

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. 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. For example if you didn’t enter the Begin Date (Box 0070) on the cover page 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.



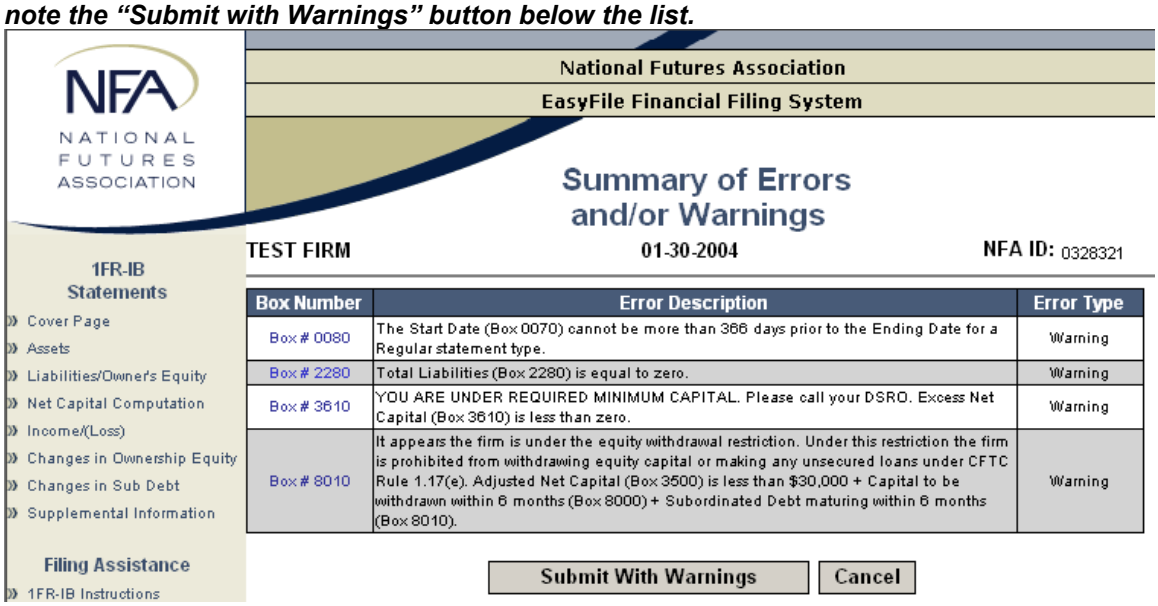
Summary of Errors and/or Warnings

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 enter a Begin Date on the cover page of the filing and try to submit then the validation page will display with an error indicating the Begin Date has not been entered. 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.

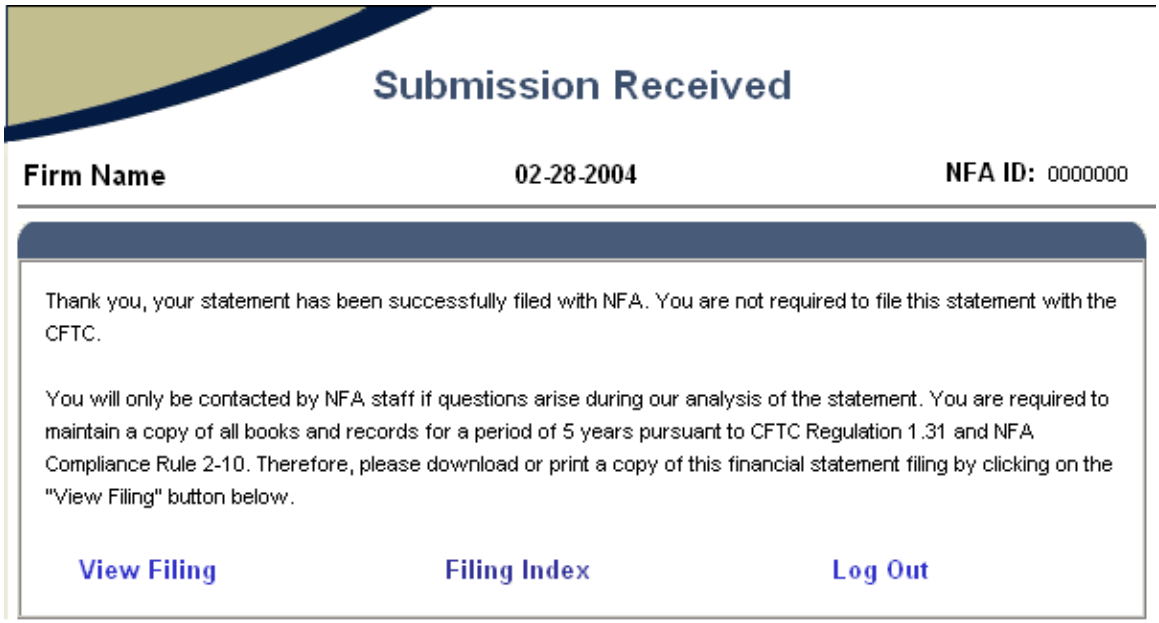


Box Number	Error Description	Error Type
Box # 0080	The Start Date (Box 0070) cannot be more than 366 days prior to the Ending Date for a Regular statement type.	Warning
Box # 2280	Total Liabilities (Box 2280) is equal to zero.	Warning
Box # 3610	YOU ARE UNDER REQUIRED MINIMUM CAPITAL. Please call your DSRO. Excess Net Capital (Box 3610) is less than zero.	Warning
Box # 8010	It appears the firm is under the equity withdrawal restriction. Under this restriction the firm is prohibited from withdrawing equity capital or making any unsecured loans under CFTC Rule 1.17(e). Adjusted Net Capital (Box 3500) is less than $30,000 + Capital to be withdrawn within 6 months (Box 8000) + Subordinated Debt maturing within 6 months (Box 8010).	Warning

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 are the following three links:

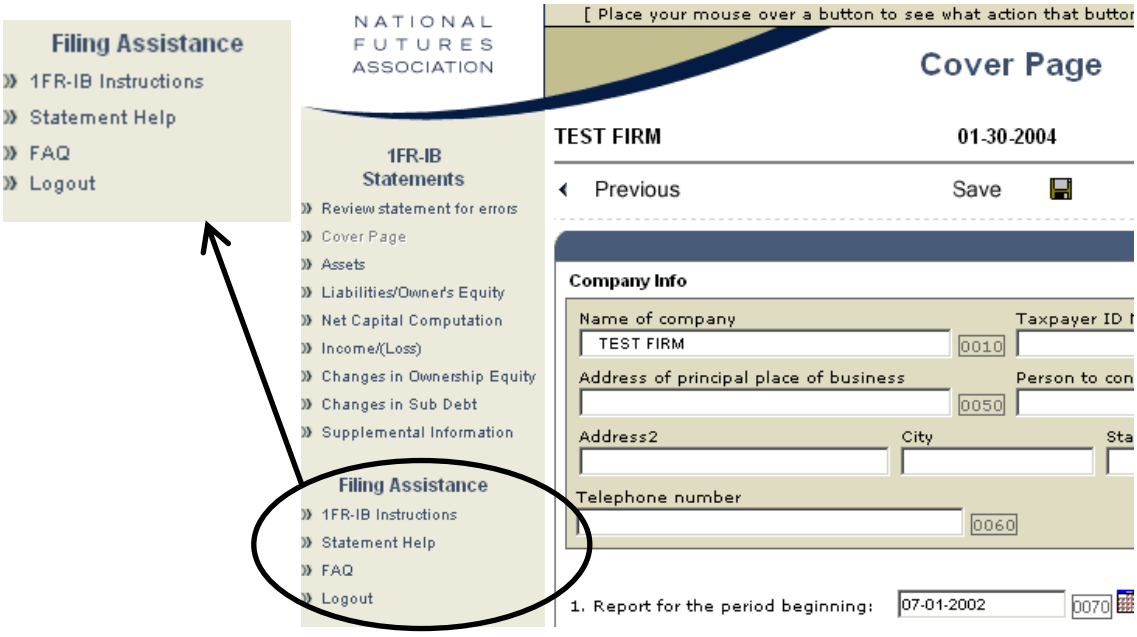
- **View Filing** – Clicking this link will display a printable version of the filing in a PDF format in a new browser window. After submitting your filing it is suggested that you print a copy of the filing for your records.
- **Filing Index** – This link will display the Filing Index. The filing you just submitted will now have a status of "Received" in the Filing Index.
- **Log Out** – This link will log you out of NFA's systems and close your browser window.



Filing Assistance

The Easy File system provides filing assistance to help you fill out the 1FR-IB form. The following assistance is available in the left hand menu when you have a filing open (see below):

Filing Assistance available on the left side menu when viewing a filing



- **1FR_IB Instructions** – Clicking this menu item will display the CFTC instructions for the 1FR-IB in another browser window. New filers should read these instructions before attempting to file their financials.

- **Statement Help** – This menu item will open another browser window and display help that is specific to the statement that is currently open. The Statement help will contain a description of the statement, definition of terms, and basic accounting help.

- **FAQ** – The FAQ link will bring up a list of answers to frequently asked questions.

- **Logout** – Clicking Logout will log you out of NFA's systems and close your browser.