

Multi-Factor Authentication Requirements

Exemptions for Non-Registrants

A decorative graphic on the right side of the slide, featuring a series of overlapping, semi-transparent cubes or hexagonal prisms arranged in a staggered, ascending pattern from the bottom left towards the top right. The cubes are rendered in various shades of blue and white, creating a 3D effect against the dark blue background.

Multi-Factor Authentication



- MFA is a login method requiring users to provide an additional verification factor to gain access to a system, beyond a username and password.
- For NFA system users, the additional factor will be a time-based one-time passcode delivered to the user via email, text message/phone call or an authenticator app.
- Users can select their preferred option upon enrollment and will only need to enroll once.

Multi-Factor Authentication



- Every enrollment procedure begins on the same login page ([slide #6](#)) before selecting from one of three MFA options.
- Specific method instructions start on the following slides:
 - Authenticator app (recommend): [slide #7](#)
 - Email: [slide #10](#)
 - Telephone: [slide #13](#)

The screenshot shows the top portion 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. Below these are two buttons: "BASIS" and "FILE A COMPLAINT". A dark blue navigation bar contains links for "About", "News & Notices", "Members", "Registration", "Investors", and "Careers". A red banner below the navigation bar contains an alert: "Alert: NFA's name and logo are being used fraudulently to solicit funds for participation in an internship program and digital currency platform trading course. [Learn more about the scam.](#)"



Home > Electronic Filing Systems > Exemptions



Exemptions

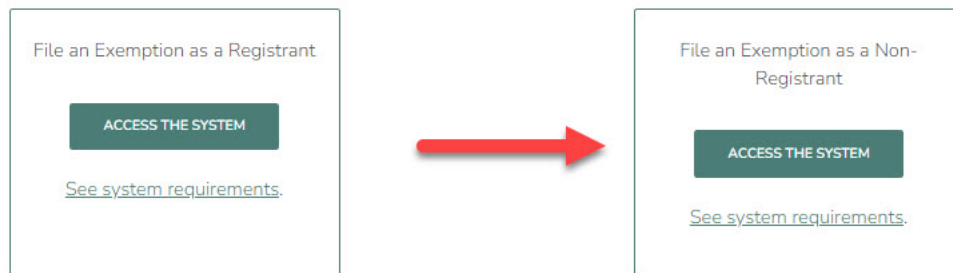
Commodity pool operators (CPO) and commodity trading advisors (CTA) must electronically file with NFA notices of exclusion or exemption from [CFTC Part 4 Requirements](#) using NFA's Exemptions System. In order to access this system, the firm's security manager(s) must [set up EasyFile security](#).

Annual Affirmation Process

CFTC regulations require any person claiming an exemption or exclusion from CPO registration under CFTC Regulation 4.5, 4.13(a)(1), 4.13(a)(2), 4.13(a)(3), 4.13(a)(5) or an exemption from CTA registration under 4.14(a)(8) to annually affirm the applicable notice of exemption or exclusion within 60 days of the calendar year end. At the end of each year, NFA emails a reminder of the affirmation period. The affirmation process can be completed by logging into the Exemptions System below.

Effective with the affirmation ending March 1, 2021, persons re-affirming an exemption under 4.13(a)(1), 4.13(a)(2), 4.13(a)(3) and 4.13(a)(5) will be required to attest that neither the person nor its principals has in its background any statutory disqualifications listed under Section 8a(2) of the Commodity Exchange Act.

For registered CPOs or CTAs, withdrawal of the exemption/exclusion will result in the firm being subject to Part 4 Requirements for that pool regardless of whether the firm otherwise remains eligible for the exemption/exclusion. For non-registrants, the withdrawal of the exemption may subject you to enforcement action by the CFTC.



Instructions:

1. Click "access the system" on NFA's website to begin.



The screenshot shows the 'Exemption Login' page of the National Futures Association's Exemptions Filing System. The page features a header with the NFA logo and the text 'National Futures Association Exemptions Filing System'. Below the header, the title 'Exemption Login' is centered. A 'Login' button is positioned below the title. Underneath the button, there are two links: 'Never been in the Exemptions System Before' and 'Forgot User Name or Password?'. A paragraph of text provides contact information for NFA's Information Center. At the bottom of the page, there is a footer with a site index and copyright information.

NFA
NATIONAL
FUTURES
ASSOCIATION

TEST | ver 4.8.0.0
Back To Login Selection

National Futures Association
Exemptions Filing System

Exemption Login

Login

[Never been in the Exemptions System Before](#)

[Forgot User Name or Password?](#)

Please contact NFA's Information Center at (312) 781-1410 or (800) 621-3570 for further assistance. Thank you.

[Site Index](#) | [Links](#) | [Contact NFA](#) | [Privacy](#) | [What's New](#) | [Home](#)
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Instructions:

1. Click "login" to start the MFA process.



To keep your account more secure, NFA has implemented Multi-factor Authentication (MFA) for our external applications such as ORS, EasyFile Plus, DDOC, RFS, BasicDE, and Exemptions. For more information, please go to our website with the link below.

[Multi-Factor Authentication FAQs | NFA \(futures.org\)](#)

Please note: You are accessing a system containing CFTC 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 CFTC requires that you use a complex password for accessing CFTC records and that you change your password at a regular interval.

[System Requirements](#)

ORS will not be available for use Monday through Friday from 8:00 p.m. until approximately 10:00 p.m. CT.

Username

Password

[Forgot your password?](#)

Sign in


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[Disclaimer and Privacy Policy](#)

Instructions:

1. Enter your username and password.
2. Click “Sign in.”

[← Cancel](#)



Multi-factor authentication (MFA) is required to access any NFA system; users must provide an additional "factor" beyond username and password to log in. The additional factor will be a time-based one-time passcode sent to you via email, text message or generated by an authenticator app.

Select the method you would like to use for multi-factor authentication:

Authenticator App (recommended)

Email

Text/SMS

[Continue](#)

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Instructions:

Authenticator App method

1. Select "Authenticator App" as your preferred method.
2. Click "continue."

< Cancel



NFA recommends using "Microsoft Authenticator" or "Google Authenticator" apps for a time-based one-time passcode.

Note: Regardless of the app you use, you must enroll in multi-factor authentication separately for each user account. If you are affiliated with multiple firms and have multiple user accounts, click the plus sign button in your authenticator app to enroll each account separately.

1. Download the authenticator app onto your mobile device.



2. Enroll your account by scanning the QR code using the authenticator app.



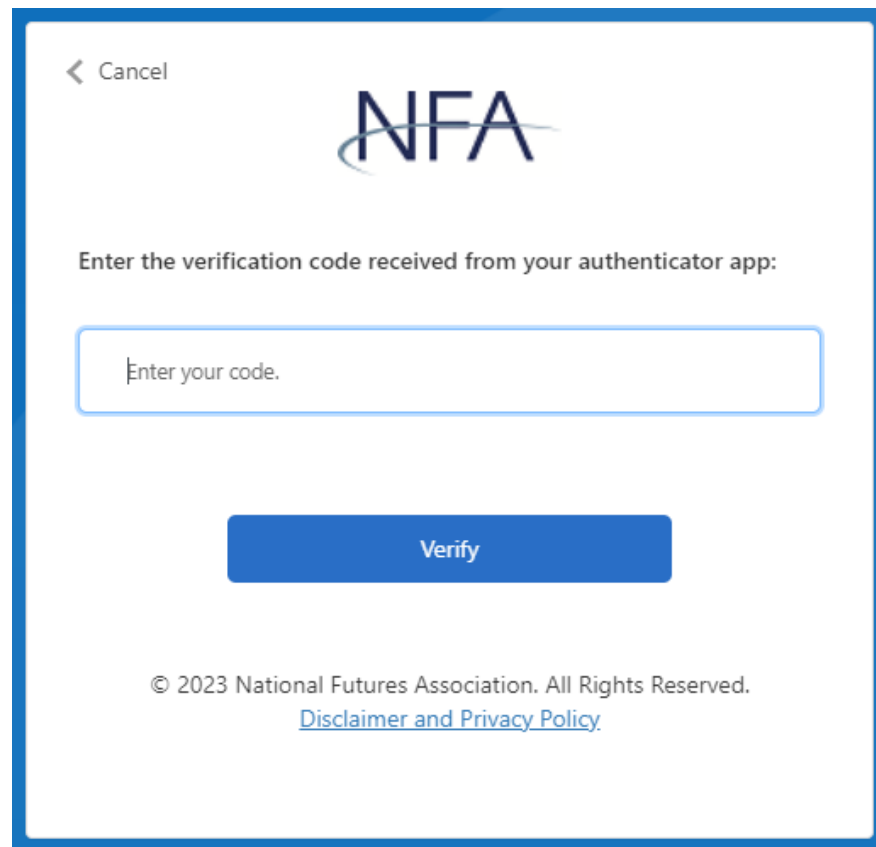
[Still having trouble?](#)

Continue

Instructions:

Authenticator App method

1. Download either the Microsoft or Google authenticator app to your smartphone.
2. Enroll your account by scanning the QR code using the authenticator app.
3. Click "Continue."



The screenshot shows a mobile application interface for NFA. At the top left is a back arrow and the word "Cancel". In the center is the NFA logo. Below the logo is the instruction "Enter the verification code received from your authenticator app:". A text input field with a light blue border contains the placeholder text "Enter your code.". Below the input field is a blue button with the text "Verify". At the bottom of the screen, there is a copyright notice: "© 2023 National Futures Association. All Rights Reserved." followed by a blue hyperlink for "Disclaimer and Privacy Policy".


Instructions:

Authenticator App method

1. Enter the six-digit code from your authenticator app.
2. Click “Verify” to gain access to the Exemptions for Non-Registrants system.

MFA enrollment is now complete.

[← Cancel](#)



Multi-factor authentication (MFA) is required to access any NFA system; users must provide an additional "factor" beyond username and password to log in. The additional factor will be a time-based one-time passcode sent to you via email, text message or generated by an authenticator app.

Select the method you would like to use for multi-factor authentication:

Authenticator App (recommended)

Email

Text/SMS

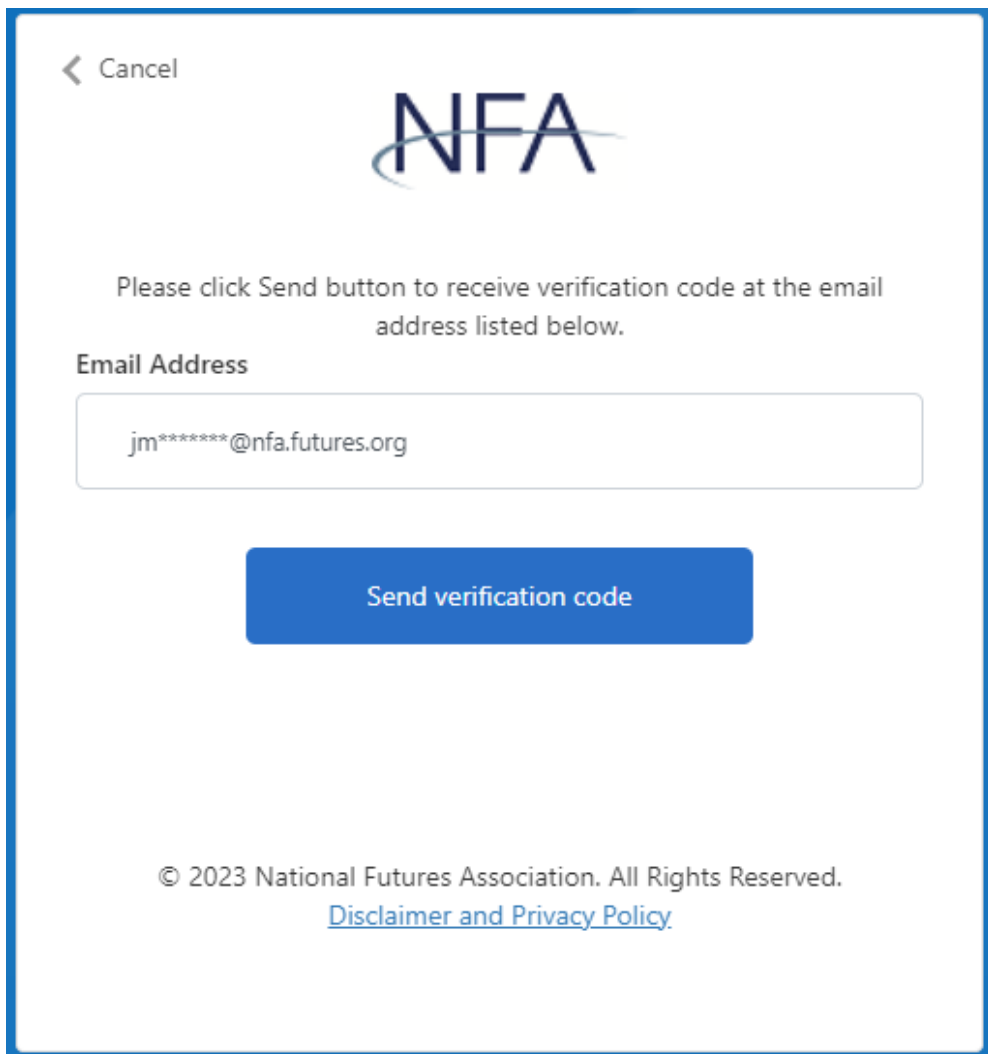
[Continue](#)

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Instructions:

Email method

1. Select "Email" as your preferred method.
2. Click "Continue."




The screenshot shows a mobile application interface for requesting a verification code. At the top left is a back arrow and the word "Cancel". In the center is the NFA logo. Below the logo is the instruction: "Please click Send button to receive verification code at the email address listed below." Underneath is a label "Email Address" followed by a text input field containing "jm*****@nfa.futures.org". A blue button labeled "Send verification code" is positioned below the input field. At the bottom of the screen, there is a copyright notice: "© 2023 National Futures Association. All Rights Reserved." and a link to the "Disclaimer and Privacy Policy".

Instructions:
Email method

Note: *The email address field will auto-populate with the address NFA has on file for you, assuming you have one.*

1. Confirm the email address is correct.
2. Click "Send verification code."
3. Check your email for a message from the sender "Microsoft on Behalf of NFA" for your six-digit code.

< Cancel



Verification code has been sent to your email inbox. Please enter or copy it to the input box below.

If you do not receive an email, please hit 'Send new code' button. If you do not receive an email even after hitting 'Send new code', please contact [NFA's Information Center](#) for assistance.

Email Address

Verification code

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Instructions:

Email method

1. Enter your six-digit code into the verification code field.
2. Click “verify code” to access the Exemptions for Non-Registrants system.

MFA enrollment is now complete.

[← Cancel](#)



Multi-factor authentication (MFA) is required to access any NFA system; users must provide an additional "factor" beyond username and password to log in. The additional factor will be a time-based one-time passcode sent to you via email, text message or generated by an authenticator app.

Select the method you would like to use for multi-factor authentication:

Authenticator App (recommended)

Email

Text/SMS

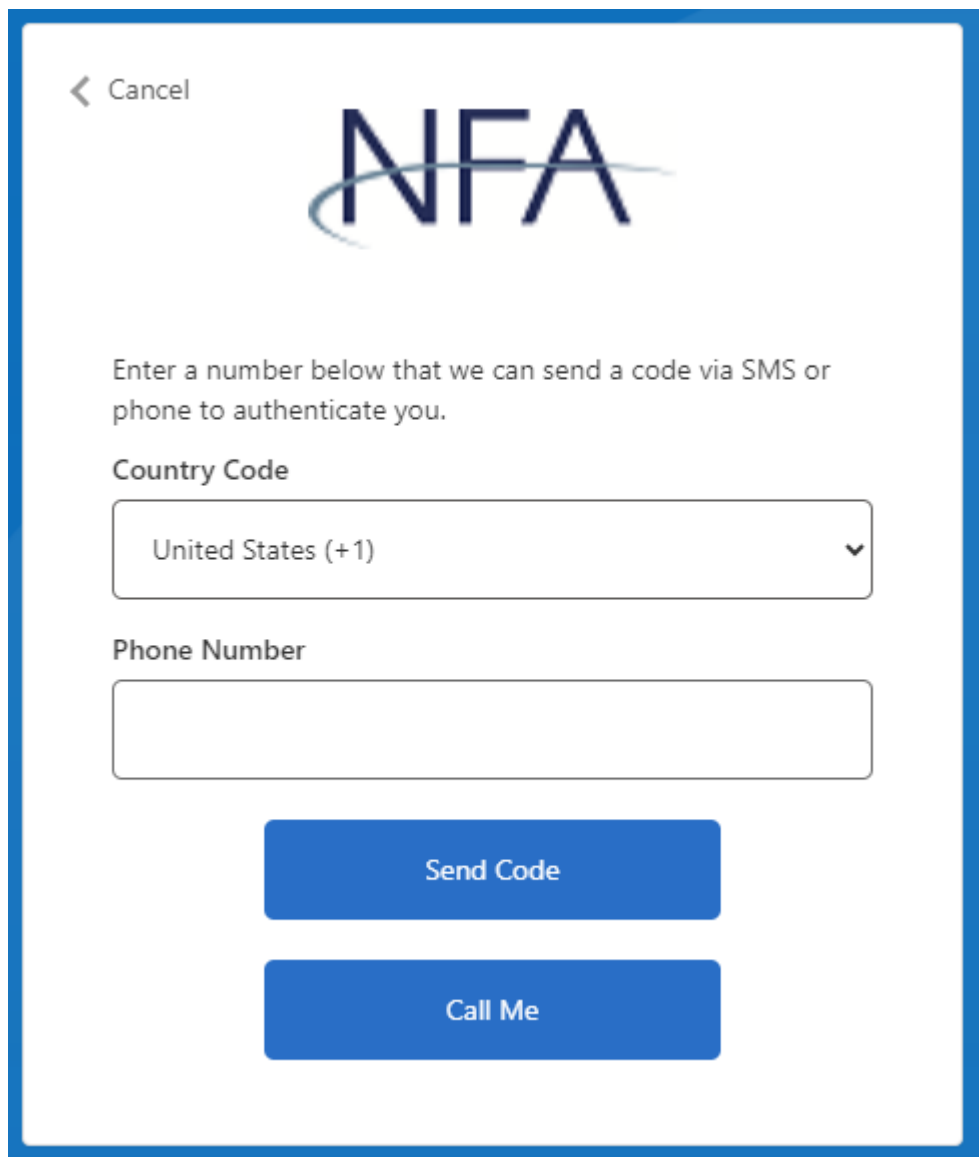
[Continue](#)

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Instructions:

Text/SMS method

1. Select "Text/SMS" as your preferred method.
2. Click "Continue."



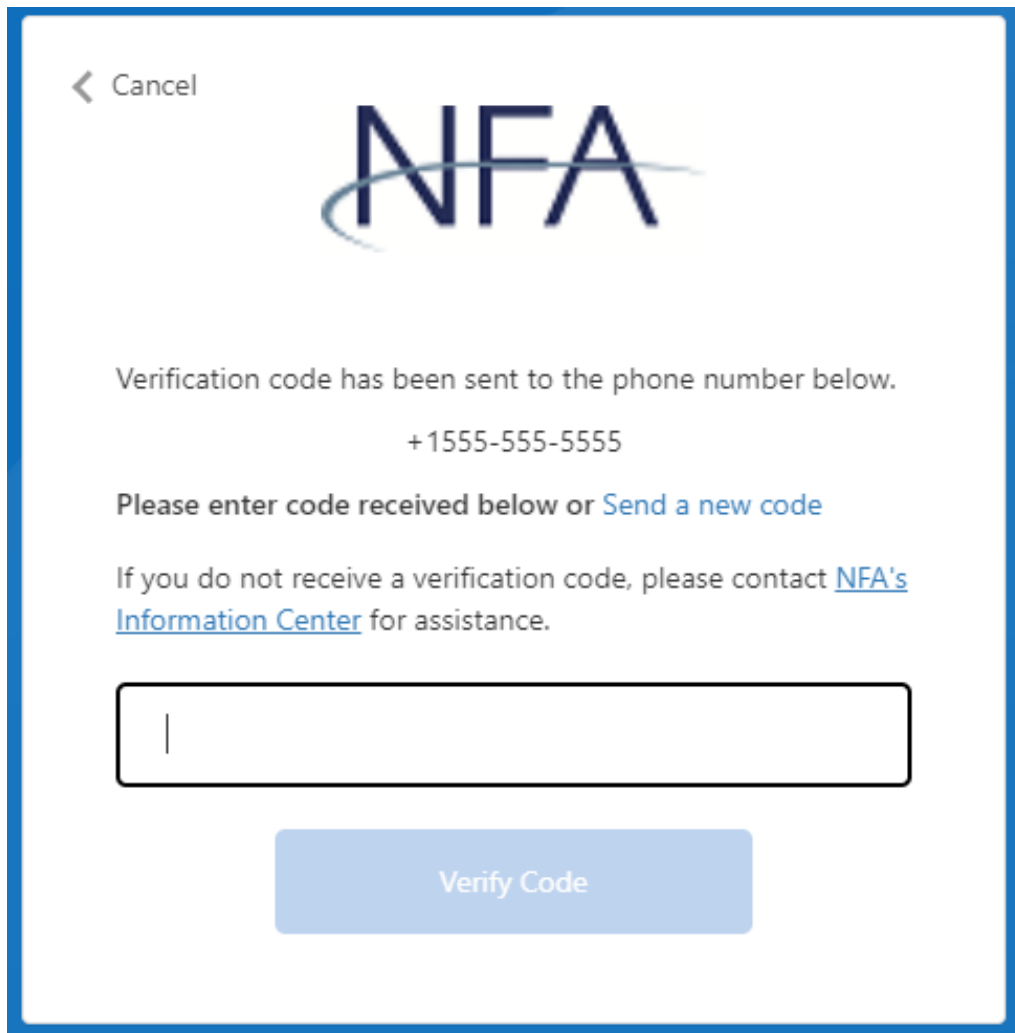
The screenshot shows a mobile application interface for NFA authentication. At the top left is a back arrow and the word "Cancel". The NFA logo is centered at the top. Below the logo is the instruction: "Enter a number below that we can send a code via SMS or phone to authenticate you." There are two input fields: "Country Code" with a dropdown menu showing "United States (+1)" and a "Phone Number" field. At the bottom are two blue buttons: "Send Code" and "Call Me".

Instructions:

Text/SMS method

Note: *The phone number field will auto-populate with the number NFA has on file for you, assuming you have one. If you do not have a valid phone number on file with NFA, you'll see this screen where you can enter your country code and phone number.*

1. Confirm the phone number is correct.
2. Click "Send code" to receive a code via text message to a valid phone or click "Call Me" to verbally receive a code via a phone call.



The screenshot shows a mobile application interface for NFA. At the top left is a back arrow and the word "Cancel". In the center is the NFA logo. Below the logo, the text reads: "Verification code has been sent to the phone number below." followed by the phone number "+1555-555-5555". Below the phone number, it says "Please enter code received below or [Send a new code](#)". Further down, it says "If you do not receive a verification code, please contact [NFA's Information Center](#) for assistance." Below this text is a large, empty rectangular input field with a vertical cursor on the left. At the bottom center is a blue button with the text "Verify Code".

Instructions:

Text/SMS method

1. Enter your six-digit code into the verification code field.
2. Click “verify code” to access the Exemptions for Non-Registrants system.

MFA enrollment is now complete.

Questions?



NFA Information Center

312-781-1410 or 800-621-3570

information@nfa.futures.org

