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Introduction

The web based Easy File application was designed to make filing of cybersecurity incidents easy and quicker. The application provides an extensive help system to assist you while you are filling out the notices. 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

Please Note: Only a Security Manager can change EasyFile 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 individuals who have been assigned EasyFile security will be able to see and file EasyFile filings.

➤ **Security**

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 grant access to the Easy File System. Users can be granted 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".

Account Information

NFA ID

012345

Trading Firm Inc

User ID

BROWNM1

First Name*

MARY

Street Address 1*

123 BROWN

City**

CHICAGO

State**

ILLINOIS

Country*

UNITED STATES

Fax Number

Email*

MBROWN@NFA.ORG

Last Name*

BROWN

Street Address 2

Province

Zip/Postal Code**

60606

Phone Number*

3121234567

Individual NFA ID***

Application Security

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

Delete

Change Password


Reset MFA

Update

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 appropriate membership category and click the expand button. The various systems applicable to that membership category will appear. Click on the link for EasyFile Notice Filings. You will be taken to the EasyFile Notice Filings page. Click on "Access the System" button.

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



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

Please enter your Username

Password

[Forgot your password?](#)

Please enter your password

Sign 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 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.

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EasyFile Filing System

Logout

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.

Firm Name NFA ID :

End Date	Form	Received Date	Version of Stmt Status	Pool	Regulation Type
01-28-2019	Cybersecurity Incident Notice	01-30-2019 12:18 PM	1	Received	Non Financial
05-10-2018	Regulation Notice	05-10-2018 1:48 PM	1	Received	
12-07-2017	Regulation Notice	12-07-2017 3:53 PM	1	Received	
05-26-2017	Regulation Notice	05-26-2017 12:11 PM	1	Received	
12-23-2016	Regulation Notice	12-23-2016 1:56 PM	1	Received	
04-05-2016	Regulation Notice	04-05-2016 1:26 PM	1	Received	

Create Filing

The Filing Index displays the following information about each filing:

- **End Date** – This is the date discovered of your filing. 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.
- **Version of Stmt** – The Initial Version of the filing will be equal to 1. Each time an amendment is made to a filing, the Version of Stmt 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** – This will be the filing type that you are filing notice for—Non Financial for cyber incident notices.

Create Filing

Using the Create Filing button on the Filing Index page allows you to create filings that aren't required by NFA but you wish to submit voluntarily.

The screenshot shows the NFA EasyFile Filing System interface. At the top, there's a navigation bar with links: About, News & Notices, Members, Registration, Investors, and Careers. Below this, the 'EasyFile Filing System' section includes a 'Logout' button. The 'Filing Index' section contains a disclaimer and a 'Firm Name' input field. A table lists existing filings with columns: End Date, Form, Received Date, Version of Stmt Status, Pool, and Regulation Type. The table shows several entries, including 'Cybersecurity Incident Notice' and 'Regulation Notice'. Below the table, a red arrow points to a 'Create Filing' button.


End Date	Form	Received Date	Version of Stmt Status	Pool	Regulation Type
01-28-2018	Cybersecurity Incident Notice	01-30-2018 12:18 PM	1	Received	Non Financial
05-10-2018	Regulation Notice	05-10-2018 1:48 PM	1	Received	
12-01-2017	Regulation Notice	12-01-2017 3:53 PM	1	Received	
05-29-2017	Regulation Notice	05-29-2017 12:11 PM	1	Received	
12-23-2016	Regulation Notice	12-23-2016 1:58 PM	1	Received	
04-05-2016	Regulation Notice	04-05-2016 1:29 PM	1	Received	

When the Create Filing is clicked a box will appear below the Filing Index for you to choose the form type, filing type and date discovered of the filing. Select Cybersecurity Incident Notice as the form, Notice as type, and enter the date the incident was discovered, and click Save.

This screenshot shows the same NFA EasyFile Filing System interface, but with the 'Create New Filing' dialog box open. The dialog box prompts the user to enter the 'End Date' (with a note that it must be earlier or equal to today), select a 'Form' (currently 'Cybersecurity Incident Notice'), select a 'Type' (currently 'Notice'), and enter the 'Date Discovered' in mm/dd/yyyy format. There are 'Save' and 'Cancel' buttons at the bottom of the dialog box.

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.

Once you are ready to enter information in the notice, click the End Date of your new filing.



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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 :

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
12-01-2019	Cybersecurity Incident Notice		0	Unsubmitted		Non Financial
01-26-2019	Cybersecurity Incident Notice	01-30-2019 12:18 PM	1	Received		Non Financial
05-10-2018	Regulation Notice	05-10-2018 1:48 PM	1	Received		
12-07-2017	Regulation Notice	12-07-2017 3:53 PM	1	Received		
05-26-2017	Regulation Notice	05-26-2017 12:11 PM	1	Received		
12-23-2016	Regulation Notice	12-23-2016 1:50 PM	1	Received		
04-05-2016	Regulation Notice	04-05-2016 1:29 PM	1	Received		

Create Filing

A form will appear asking for the cybersecurity incident type, monetary loss value and contact information. Complete the fields. 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. Click Browse or drag and drop files into the form to attach supporting documents as required by the Interpretive Notice and click Save.



Filing IndexSubmit FilingDelete FilingLogout

EasyFile Filing System

Review filing for errors

Cybersecurity Incident Notice

Logout

Cybersecurity Incident Notice

NFA ID :

PreviousSaveNext

Cybersecurity Incident Type

☐ Loss of Customer/Counterparty Funds

☐ Loss of Firm Capital

☐ Loss of Customer/Counterparty Information

☐ Other

Monetary Loss Value

☐ Dollar Value \$

☐ None

☐ Undetermined

In the event that clarification is required, please fill in the information for the Preparer of the Notice,

Preparer's First Name

Preparer's Last Name

Preparer's Title

Preparer's Phone Number

Preparer's Email Address

Browse...

OR

Drop files here

You do not have any documents attached to this filing.


PreviousSaveNext

Saving your information

The information you enter into a filing is saved either by clicking the Save button above and below the filing (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).

Summary of Errors and/or Warnings

After you have entered all information and attached the applicable file(s), you must click Review filing for errors in the left-hand menu. The system will evaluate the information 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 error or warning will bring you back to the filing and set focus to the box that is in question.



EasyFile Filing System

Summary of Errors and/or Warnings

Description	Type
You must select at least one Cyber security Incident Type.	Error
You cannot enter a negative dollar value	Error
You must provide the Preparer's First Name	Error
You must provide the Preparer's Last Name	Error
You must provide the Preparer's Title	Error
You must provide the Preparer's Phone Number	Error
You must provide the Preparer's Email Address	Error
You must attach at least one document to this filing.	Error
You must select at least one option for Monetary Loss	Error

Back To Filing

- **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 information 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 corrected 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.

Submitting a Filing

After you are finished reviewing your filing, you will let NFA know you are finished by clicking “Submit Filing” at the top of the page. If there are no errors on the filing the Submission Oath will appear (see below). 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 with the oath, click the “Back to Filing” button which will redirect you back to the Filing Index.

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.

Viewing and Amending Filings

To view a filing, click the End Date of the filing in the Filing Index. Filings that have already been submitted will open in a read only format and cannot be edited. If you want to make changes to a filing that is already submitted, click the Amend Filing in the top menu.

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. Submitted

filings cannot be deleted.

- **Help** – This will bring up the Easy File System Help. 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.