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Introduction

EasyFile was designed to facilitate the submission of regulatory filings. This user's guide will help you navigate through EasyFile to submit risk data filings.

System Requirements

- EasyFile requires a currently supported version of Microsoft Explorer or Firefox
- JavaScript must be enabled in your web browser
- Cookies must be enabled in your web browser
- 128 Bit Encryption
- Adobe Acrobat Reader

Overview

Submitting risk data filings using EasyFile involves a three-step process.
1) First, login to the EasyFile System and select the filing you want to submit.
2) Next, enter answers to the questions asked in the filing.
3) Lastly, after submitting the electronic filing, the system will verify there are no errors and prompt you to read and agree to an electronic oath or affirmation.

A statement filed using EasyFile satisfies your filing requirement with NFA. You should not mail a statement to NFA that has been entered using EasyFile.
Getting Started

Security

EasyFile makes use of your existing security for NFA's Online Registration System (ORS). When your security manager creates a new user for your firm or edits the security of an existing user, your security manager 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 allows a user to both enter the information and submit the filing once complete. The firm's security manager can grant Enter access to anyone at the firm or outside parties.

Security Options for EasyFile

![Security Options for EasyFile](image-url)
Accessing the EasyFile System

Once your security manager has set up your security for EasyFile you can access the system through the Electronic Filing System section of NFA’s website.

Once on the Electronic Filing Systems Page, expand the Swap Dealers (SD) section.

When this section is expanded, you will see links to multiple systems. Click on EasyFile (Risk Data Filings) to login to the system.
You will be prompted to sign on using your ORS user name and password.

The Filing Index

Once logged in you will see the Filing Index, which lists information about all of the filings that have been submitted to NFA for a particular 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.

The Filing Index displays the following information about each filing:

- **Report Date** – This is the end date of your statement. Click on the "Report Date" to open a filing.
- **Due Date** – This is the date that the filing should be submitted to NFA. A filing submitted after this date is considered late. Only filings required by NFA will have a Due Date.
- **Form** – This will state Risk Data Filing.
- **Received Date** – This is the date when 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 of when the filing was first submitted.
- **Version of Stmt** – This is the version number of the filing. The Initial version of the filing will have a value equal to 1. Each time an amendment is made to a filing the number will be increased 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.
  - **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 past due and should be submitted as soon as possible. An overdue filing will appear in red.
  - **Amending** – Indicates that the filing is currently being amended.

**Viewing and Editing Filings**

To view a filing, click the End Date of the filing in the Filing Index. Filings that have been submitted will open in a read-only format. If you need to amend a filing that has already been submitted, see the Amend Filings section at the end of this help document.

When a filing is opened and not yet submitted, you will be able to enter your risk data. Only one user can edit a filing at a time. Other users trying to access a filing currently being edited will only be able to view the filing in a read-only format.

After clicking the End Date in the Filing Index, the Pre-Filing Questionnaire will be displayed.
Pre-Filing Questionnaire

The Pre-Filing Questionnaire is the first page that is displayed when a statement is selected in the Filing Index. It contains control questions, which based on your answers, will determine the questions you'll receive on the next page, which is the Risk Data statement.

Links to filing pages are available in the left-navigation of each screen. You may also navigate through the system using the “Previous” or “Next” buttons at the top and bottom of the statement. Use of the browser back button is not advised.
Risk Data

The Risk Data page is a list of specific required risk metrics.

Click on the applicable box to enter the corresponding risk metric or use the tab key on your keyboard to go to the next box in the filing. If needed, click the N/A box next to the question to indicate that a value is not applicable.

Help Text

Help text is available to assist filers in determining what risk metrics to include. Click on “Help” on the left side of the page to get a printable version of the instructions. You can also view the help text for a particular risk metric by clicking on the “?” button to the left of the question.

Summary of Errors and/or Warnings

Check your data entry for errors by clicking on the side menu item “Review filing for errors.” If any are found, a list of the warnings and/or errors will be displayed. Click on the error to access the box that
contains an error or warning. Click the “Back to Filing” button below the list of errors to return to the first page of the filing.

- **Warnings** – 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, provide a note and click the “Submit with Warnings” button. The Submission and Oath page will be displayed.

- **Errors** – All errors must be corrected before you will be able to submit your filing. For example if you indicate that the firm is a financial SD and will be providing SVaR, but provided information for a non-financial firm equivalent stress measure, then the validation page will display the error. You will need to correct all errors before you can submit the filing.

### Summary of Errors and/or Warnings

<table>
<thead>
<tr>
<th>Description</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>The firm must answer “Total VaR”</td>
<td>Error</td>
</tr>
<tr>
<td>The firm indicated that it is a financial SD and must answer “Total Stressed Value at Risk (SVaR)”</td>
<td>Error</td>
</tr>
<tr>
<td>The firm indicated that it is a financial SD and must provide information for Option 1.</td>
<td>Warning</td>
</tr>
<tr>
<td>The firm must answer “Total Swaps Current Exposure before Collateral”</td>
<td>Error</td>
</tr>
<tr>
<td>The firm must provide at least 1 Swaps Counterparty Exposure</td>
<td>Error</td>
</tr>
<tr>
<td>The firm must provide at least 1 Swaps Counterparty exposure</td>
<td>Error</td>
</tr>
</tbody>
</table>

**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“ ability. When “Submit Filing“ is clicked, the filing is validated to determine if there are any errors. If there are no errors, the Oath will appear. Read the oath and if you agree with it click the Submit Filing button below the oath. The filing will not be submitted until the “Submit Filing“ button at the bottom of the Oath page is clicked.

**OATH**

03-31-2018

I hereby affirm that, to the best of my knowledge and belief, the information contained in this filing is accurate and complete. This affirmation also constitutes an attestation that this filing has been reviewed by a listed principal of the company identified above and that I am duly authorized to bind the filing.

Name of the individual signing this Form:

**Submit filing**

**Submission Received Page**

Upon submitting your filing, a submission received page will display. This is your verification that the filing was successfully submitted to NFA.
Click on the "Filing Index" button to return to the Filing Index screen. The filing you submitted will now display a status of “Received”.

**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.

**Amending a Filing**

To amend a filing that has already been submitted, open it by clicking the Report Date in the filing index.

**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.

You will be prompted to type in a reason for the amendment. You cannot proceed without typing a brief explanation of the amendment. You can click “Cancel Amendment” if you do not wish to proceed. Otherwise, click “Amend Filing.”
On the Filing Index screen, the status of this filing will now be shown as “Amending.” Make any necessary changes and review the statement for errors. Once reviewed, agree to and submit the oath. At this point, the amended status will be “Received.”

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.

<table>
<thead>
<tr>
<th>NFA ID</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Report Date</th>
<th>Due Date</th>
<th>Form</th>
<th>Received Date</th>
<th>Version of Stmt</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>05-31-2018</td>
<td></td>
<td>Risk Data Filing</td>
<td>05-25-2018, 2:42 PM</td>
<td>1</td>
<td>Received</td>
</tr>
</tbody>
</table>

Questions

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