# Table of Contents

- Introduction ...................................................................................................................................... 2  
- System Requirements ..................................................................................................................... 2  
- Getting Started................................................................................................................................. 3  
- Accessing RDSS ............................................................................................................................. 4  
- The Filing Index ............................................................................................................................... 5  
- Viewing Filings ................................................................................................................................. 7  
- Top Menu Items ............................................................................................................................... 7  
- Uploading Filings ............................................................................................................................. 8  
- Types of Supporting Documents Accepted ..................................................................................... 8  
- Summary of Errors ........................................................................................................................... 8  
- Completing the Oath and Submitting a Filing ................................................................................ 10  
- Viewing NFA Written Communication ........................................................................................... 11  
- Amending a Filing ........................................................................................................................... 12
Introduction

The web-based EasyFile Registration Documentation Submission System (RDSS) was designed to facilitate the 4s submission process. RDSS provides an extensive help system to assist you when completing 4s submissions. This user's guide will help you navigate RDSS.

System Requirements

- RDSS 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
Getting Started

- **Security**
  RDSS uses existing security protocols of 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, the security manager will be able to authorize the user to both submit and enter or only enter 4s submissions for your firm (see picture below). The “Submit and Enter” security will allow a user to both enter and submit the 4s submission once complete. The “Enter” security will allow a user only to enter 4s submissions but not submit them to NFA. Users that have not been designated to enter or submit 4s submissions will be designated as “None.”

*New Security Options for EasyFile*
Accessing RDSS

Once your Security Manager has set up your security for RDSS, you can access the application through Electronic Filings menu of NFA’s main web page (see below).

Electronic Filing Systems

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.

- Commodity Pool Operators (CPO)
- Commodity Trading Advisors (CTA)
- Futures Commission Merchants (FCM)
- Introducing Brokers (IB)
- Retail Foreign Exchange Dealers (RFED) and Forex Dealer Members (FDM)
- Swap Dealers (SD)

- 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.

- Use EasyFile (RDSS) to electronically file documentation required to demonstrate compliance with Section 4s Implementing Regulations.
- Access WinCER to file risk exposure reports, notices of swap valuation disputes, Chief Compliance Officer Annual Reports and Business Continuity and Disaster Recovery Plan contact information.
- Use EasyFile AP Statutory Disqualification Form Submission to electronically file criminal and regulatory statutory disqualification forms for its associated persons (AP).
- Access EasyFile (Risk Data Filing) to file monthly risk data reports.
- Access NFA’s Regulatory Filing System to submit regulatory documentation.
- Access the EasyFile Margin Model Submission System to submit a risk-based initial margin model (margin model), manage ongoing oversight of an approved margin model, or update a previously approved margin model.
Click on the “Access the System” button.

EasyFile Registration Documentation Submission System (RDSS)

EasyFile Registration Documentation Submission System (RDSS) allows swap dealers (SD) to file documentation required to demonstrate compliance with Section 4s Implementing Regulations. In order to access this system, the SD’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.

You will be prompted to sign on using your ORS user name and password (see Getting Started).

NFA System Login - Easy File Plus

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

The Filing Index

The Filing Index is the main page of RDSS (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 and any outstanding filings that are due.
The Filing Index displays the following information about each filing:

- **Initiation Date** – This is the creation date associated with your filing. Click on the "Initiation Date" to open a respective filing.
- **Due Date** – This is the date that the filing should be submitted to NFA. The due date will be the compliance date or the response due date disclosed in NFA's written communication to your firm.
- **Form** – This is the name of the 4s topic area.
- **Form Type** – This is the type of form that was filed.
- **Received Date** – This is the receipt date for a submitted filing. Filings not submitted will not have a Received Date. In the case of amended active filings, the Received Date will not change and will always be the date of the submission of the initial filing (see "Amending a Filing" for more details).
- **Version of Stmt** – This is the version number of the filing. The initial version of the filing will be 1. The version number will increase by 1 with each subsequent amendment.
- **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 filing 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 by your firm and has not yet been submitted to NFA.

Filings can be viewed by Active or Historical status by clicking on the applicable radio button below the firm's name. The Active status represents filings that require further action by your firm, or are under NFA review. NFA written communication regarding your firm's filing can be accessed within each respective Active filing (see "Viewing NFA Written Communication" for more details). Active filings may be amended by a firm at any time. Historical filings represent filings that do not require any further action by your firm. These filings can be viewed in a read-only format. Once an Active filing moves to Historical, you may see two Historical filings with the same Form name. The Historical filing with the older Due Date contains your firm's filing information prior to the issuance of NFA written communication. Any subsequent filing contains NFA-issued written
communication and your firm’s filing information subsequent to the issuance of such communication(s).

**Viewing Filings**
To view a Historical or Active filing, click on the respective radio button which would populate the appropriate filings in the Filing Index. Click on the "Initiation Date" of the filing to view the respective filing.

### Top Menu Items
Based on the filing status of a submission and the user’s security settings for EasyFile, the top menu may display any of the items below.

- **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 uploaded documents. 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 click "Submit Filing" which will then direct you to the Submission Oath (see "Completing the Oath and Submitting a Filing" for more details). Submit Filing is only displayed when an unsubmitted filing is open and the person signed in has Submit privileges.
- **Help** – Links to this current RDSS User’s Guide. 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.
**Uploading Filings**

To upload documents within an Active filing, click on the "Initiation Date" of the respective filing in the Filing Index. After clicking the "Initiation Date", the Cover Page will display. To upload a document, click the "Browse…" button to locate and select the desired document from your computer. Once the document is located and selected, click the "Upload Document" button. This process may be repeated to upload multiple documents.

Uploading documents does not complete the submission process. When you are ready to submit the uploaded document(s), click the "Next" button.

**Types of Supporting Documents Accepted**

The system requires a currently supported version of Microsoft Internet Explorer or Firefox and accepts any submission in the format of PDF, XLS, XLSX, DOC or DOCX. Note the capacity for each filing must not exceed 32 megabytes.

**Summary of Errors**

After you have finished uploading your documents, click on "Next" to continue onto submitting the filing. The system will then check for errors. The following screen will display below if there are no errors. To proceed with submission, click "Submit Filing."
If you do not attach a document to the filing and try to submit, then the validation page will display with an error message 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 where no documents have been uploaded.*
Completing the Oath and Submitting a Filing
Once documents have been uploaded into an Active filing (see "Uploading Filings") and checked for errors (see "Summary of Errors"), the next step is to read the oath. If you agree with the oath, click the "Submit Filing" button below the oath to complete the submission process. Filings that have been submitted cannot be edited and will open in read-only format.

To cancel submitting the file, do not click the 'Submit Filing' button. Click the "Save" button and either logout or return to the Filing Index.

OATH

03-31-2018

NFA ID:

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

After clicking the “Submit Filing” button the following confirmation will be displayed.

Business Conduct Standards

Thank you. Your filing has been successfully filed with NFA.

Filing Index
**Viewing NFA Written Communication**

Periodically, NFA will issue written communications specific to your firm's filing(s) solely within RDSS. NFA will not email written communications regarding your firm's filing(s). Notification to access NFA's written communication will be made via email to your firm's Chief Compliance Officer and/or Compliance Contact as provided in NFA's Online Registration System.

To view NFA's written communication on your firm's filing, you will need to access the applicable Cover Page from the Filing Index (see "Viewing Filings" and "Uploading Filings" sections). Then, click on the applicable NFA letter under "Letters from NFA."
Amending a Filing

You can amend filings by uploading and submitting additional documents that may be necessary to support the filing. To amend a filing, click the applicable "Initiation Date" on the Filing Index. Then, click on the "-" button located in the Top Menu.

To continue the process, enter information regarding your amended filing. Please note that entering this information is required to continue amending the filing. When the information is entered, click "Amend Filing" to continue.

The Filing Index will be displayed and the status of the filing will be "Amending." You will then need to follow the steps outlined in "Completing the Oath and Submitting a Filing" so that your amended documents will be deemed Received.