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Introduction

The web-based EasyFile 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 guide will supplement that help system and assist you in navigating the EasyFile application.

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**

EasyFile 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 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 access to the financial filings will be designated as “None”.

**Security Options for EasyFile**

<table>
<thead>
<tr>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submit and Enter</td>
</tr>
<tr>
<td>Enter</td>
</tr>
<tr>
<td>None</td>
</tr>
</tbody>
</table>
**Accessing the EasyFile Application**

Once your Security Manager has set up your security for EasyFile you can access the application through the Electronic Filing Systems menu of NFA’s website. Find the Introducing Brokers membership category and click the expand button.

The various systems applicable to that membership category will appear. Click on the link for EasyFile for non broker-dealer IBs.
You will be taken to the EasyFile (IB) page. Click on "Access the System" button in the "File a 1-FR-IB Financial Statement" box.

EasyFile (IB)

EasyFile allows introducing brokers (IB) to file audited and unaudited 1-FR-IB financial statements and enter and transmit notice filings. Independent introducing brokers (IB) that are not broker-dealers must file their financial statements electronically through NFA's EasyFile. In order to access this system, the IB'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 then be prompted to sign on using your ORS User Name and Password.

NFA System Login - Easy File Plus

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

<table>
<thead>
<tr>
<th>User Name</th>
<th>* Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Password</td>
<td></td>
</tr>
</tbody>
</table>

Log In
The Filing Index
The Filing Index is the main page of the EasyFile 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.

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.
- **Version of Stmt** – This is the version number of the filing. The initial version of a filing will have a Version equal to 1. Each time an amendment is made to a filing the version will increase by 1.
- **Filing Type** – This will either be “Regular” or “Certified”. Certified filings cannot be viewed.
- **Status** – This is the status of the filing. A filing can have one of the following statuses.
  - **Received** – Indicates 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 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.

Navigating 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.
**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.*

- **E. Taxes receivable**
  - 1533
  - 1535
  - 1540
  - $0
- **F. Receivable from subsidiaries and affiliates**
  - 1540
  - 1550
  - 1560
  - $0
- **G. Other (itemize)**
  - 1560
  - Itemized
  - 1565
  - Itemized
  - 1570
  - $0
- **H. Allowance for doubtful accounts**
  - 1570
  - 1580
  - $0
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 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.

**Box 1560 - Current Other Receivables and Assets**

<table>
<thead>
<tr>
<th>Add(s)</th>
<th>Explanation</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Itemization</td>
<td>500</td>
</tr>
</tbody>
</table>

**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 EasyFile. 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
Submitting a Filing
After you are finished entering your information on the filing you will click “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.

Oath

04-27-2018

By clicking on ‘SUBMIT’ below I agree that this submission constitutes a representation that I am a person specified in CFTC Regulation 1.10 (d)(4); an attestation that I am duly authorized to bind the introducing broker submitting this form and representation that, to the best of my knowledge, all information contained therein is true, correct and complete; an acknowledgement that it is understood that all required items and statements are integral parts of this Form and that the submission of any amendment represents that all unamended items and statements remain true, correct and complete as previously submitted; and an acknowledgement that it is further understood that any intentional misstatements or omissions of facts constitute Federal Criminal Violations (see 18 U.S.C. 1001).
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 appear.

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.

Summary of Errors and/or Warnings

<table>
<thead>
<tr>
<th>Description</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Liabilities (Box 2200) is equal to zero.</td>
<td>Warning</td>
</tr>
<tr>
<td>YOU ARE UNDER REQUIRED MINIMUM CAPITAL. Please call your DSRO. Excess Net Capital (Box 3100) is less than zero.</td>
<td>Warning</td>
</tr>
<tr>
<td>Firm indicated there is subordinated debt maturing within 5 months (Box 5101). Please be aware that CFTC Regulation 1.11(b) prohibits firms from repaying any subordinated loans when the firm's adjusted net capital falls below its Suspended Requirement. Restriction of 120% of the firm's capital requirement.</td>
<td>Warning</td>
</tr>
<tr>
<td>Firm indicated that within 6 months, there is subordinated debt maturing (Box 5101) and/or firm plans to withdraw capital. (Box 6000). Please be aware that CFTC Regulation 1.11(a) prohibits firms from engaging in this behavior when its AWC falls below its Equity Withdrawal Restriction of 120% of the firm’s capital requirement.</td>
<td>Warning</td>
</tr>
</tbody>
</table>

Please provide a note if submitting with warnings.

Your explanation may alleviate the need for NFA to contact you during the analysis of your statement.

No errors were found in this filing. Click on Submit Filing to proceed with submission.

A PDF report of this filing is going to be generated when you click on the Submit button. This process may take a few minutes and we ask you not close your browser before it is completed. Thank you.
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 is the following button:

- Filing Index – Clicking this button will display the Filing Index. The filing you just submitted will now have a status of “Received” in the Filing Index.

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

Filing Help
The EasyFile 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):

Help is available on the left side menu when viewing a filing.

- **Help** – This menu item will open another browser window and display help that is specific to the statement that is currently open. The help will contain a description of the statement, definition of terms, and basic accounting help.
- **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.
- **Logout** – Clicking Logout will log you out of NFA’s systems and close your browser.