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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

Security (Easy File System)	
Type	<input checked="" type="radio"/> Submit and Enter
	<input type="radio"/> Enter
	<input type="radio"/> None

The screenshot shows the NFA eRegistration - Edit User - Microsoft Internet Explorer browser window. The page displays a user profile form with the following sections:

- Zip/Postal Code****: 60608
- Country***: UNITED STATES
- Contact Information**:
 - E-mail Address (Required for Security Manager):
 - Phone Number*
 - Fax Number
- Social Security Number**: - - -
- Date of Birth***: / /
- Security (Easy File System)**:
 - Type: Submit and Enter, Enter, None
- Statistics**:
 - Account Locked: False
 - Password Expired: False
 - Last Successful Logon: 6/21/2004 4:37:27 PM
 - Last Failed Logon: Never
 - Password Last Changed: 6/17/2004 4:51:21 PM
 - Bad Login Count: 0

* Required to update user information.
** Required to update user information for a United States address.

Update

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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 screenshot shows the NFA website header with the logo on the left and navigation links: 'Electronic Filing Systems' (highlighted with a red box), 'NFA Rulebook', and 'Online Registration System'. A search bar is on the right. Below the header is a dark blue navigation bar with links: 'About', 'News & Notices', 'Members', 'Registration', 'Investors', and 'Careers'. The main content area is titled 'Electronic Filing Systems' and contains a paragraph about regulatory filings. Below this is a table of membership categories, each with an expand button (+). The 'Introducing Brokers (IB)' category is highlighted, and its expand button is circled in red.

Commodity Pool Operators (CPO)	+
Commodity Trading Advisors (CTA)	+
Futures Commissions Merchants (FCM)	+
Introducing Brokers (IB)	+
Retail Foreign Exchange Dealers (RFED) and Forex Dealer Members (FDM)	+
Swap Dealers (SD)	+
Exchanges, CFTC and NFA Use Only	+

The various systems applicable to that membership category will appear. Click on the link for EasyFile for non broker-dealer IBs.

The screenshot shows the 'Introducing Brokers (IB)' page with a list of instructions. The link 'Access NFA's Regulatory Filing System to submit regulatory documentation' is highlighted with a red box.

- Access [NFA's Online Registration System \(ORS\)](#) to register with the CFTC and apply for NFA membership. 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.
- All IBs can use [EasyFile](#) to file cybersecurity incident notices. Additionally, non broker-dealer IBs can use EasyFile to file audited and unaudited 1-FR-IB financial statements and enter and transmit notice filings, including SLAs.
- Independent IBs that are broker-dealers may access [WinJammer™](#) to enter and transmit notice filings, including SLAs and other financial statements (FOCUS filings).
- Use the [Anti-Money Laundering \(AML\) Procedures System](#) to develop an AML procedure.
- **Access [NFA's Regulatory Filing System](#) to submit regulatory documentation.**
- Access the [Promotional Material Filing System](#) to manage or submit promotional material to NFA for review.
- Access the [NFA Swaps Proficiency Requirements Administrator \(SPR Admin\) Form](#) to designate an SPR Admin.
- Access [NFA's Swaps Proficiency Requirements](#) to complete the requirements.

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 and notice filings, including SLAs, electronically through NFA's EasyFile. In order to access this system, the IB's security manager(s) must [set-up EasyFile Security](#).

Additionally, NFA Members must promptly provide to NFA notification of a cybersecurity incident related to its commodity interest business and that results in: 1) any loss of customer or its commodity interest business and that results in: 1) any loss of customer or counterparty funds; 2) any loss of the Member's own capital; or 3) the Member providing notice to customers or counterparties under state or federal law. The notification must be filed electronically using NFA's EasyFile system.

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.

File a 1-FR-IB Financial Statement

[ACCESS THE SYSTEM](#)

[See system requirements.](#)

Enter and Transmit Notice Filings and Cybersecurity Incidents

[ACCESS THE SYSTEM](#)

[See system requirements.](#)

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.

User Name	<input type="text"/>	* Required
Password	<input type="password"/>	
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.

CFTC Form 1-FR-IB Statements

[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.

NFA ID :

End Date	Due Date	Form	Received Date	Version of Stmt	Filing Type	Status
04-27-2018		1-FR-IB	05-10-2018 10:08 AM	1	Regular	Received
04-23-2018		1-FR-IB		1	Regular	Unsubmitted
04-17-2018		1-FR-IB		0	Certified	Unsubmitted
04-01-2018		1-FR-IB		0	Certified	Unsubmitted
03-28-2018		1-FR-IB	04-17-2018 2:44 PM	3	Certified	Received
12-01-2018		1-FR-IB		1	Regular	Unsubmitted

[Create Filing](#)

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.

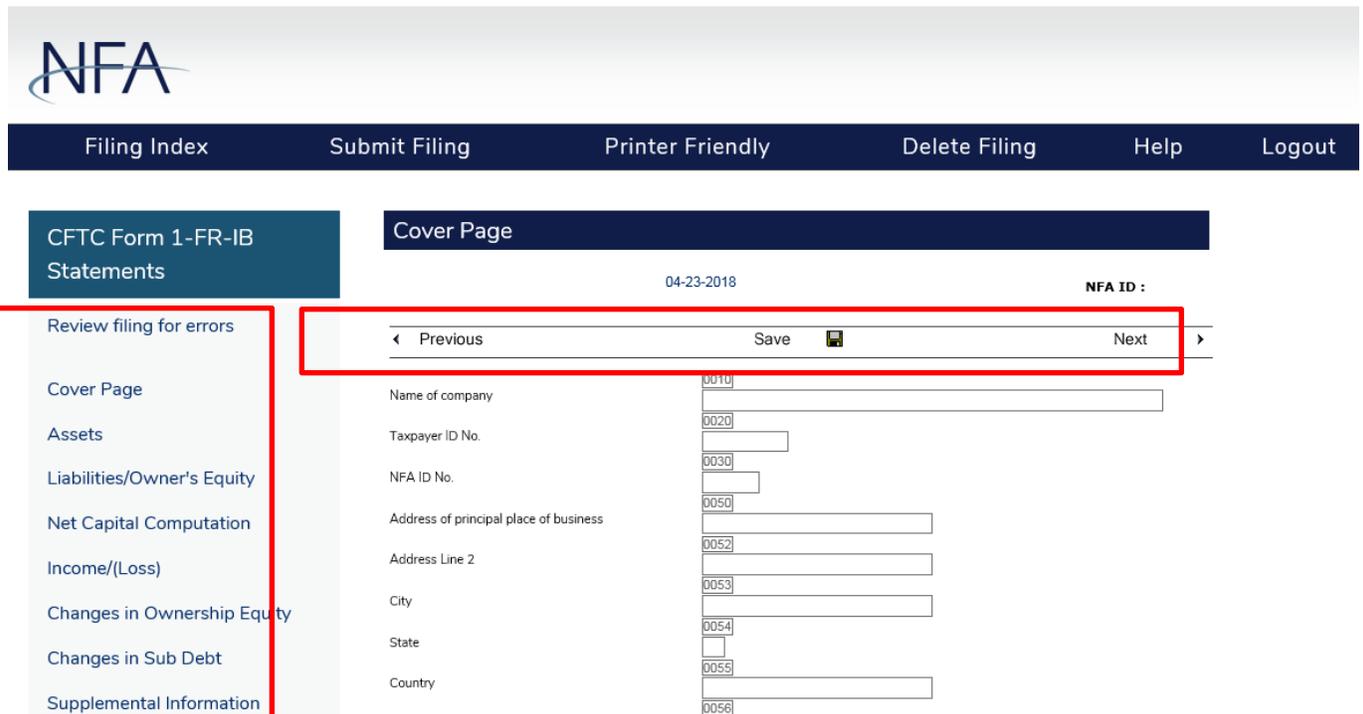


Viewing and Editing Filings

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 updated as you enter values into the statement.

In this example, box 1120 has focus and Box 1125 is a calculated box.

CFTC Form 1-FR-IB Statements

Review filing for errors

Cover Page

Assets

Liabilities/Owner's Equity

Net Capital Computation

Income/(Loss)

Changes in Ownership Equity

Changes in Sub Debt

Supplemental Information

Assets

04-23-2018 NFA ID :

< Previous Save Next >

	Current	Non-Current	Total
1. Cash	<input type="text" value="104G"/> \$0	<input type="text" value="104S"/> \$0	<input type="text" value="105G"/> \$0
2. Securities at market value	<input type="text" value="105S"/> \$0	<input type="text" value="106G"/> \$0	<input type="text" value="106S"/> \$0
3. Securities purchased under resale agreements	<input type="text" value="111S"/> \$0	<input type="text" value="112G"/> \$0	<input type="text" value="112S"/> \$0
4. Receivables from FCMs and foreign brokers			
A. Equity in trading accounts	<input type="text" value="119S"/> \$0	<input type="text" value="120G"/> \$0	<input type="text" value="120S"/> \$0
B. Commissions and other fees receivable	<input type="text" value="120S"/> \$0	<input type="text" value="1207"/> \$0	<input type="text" value="1208"/> \$0
C. Security deposits (50% allowed as current)	<input type="text" value="1207"/> \$0	<input type="text" value="121G"/> \$0	<input type="text" value="121S"/> \$0

3. Securities purchased under resale agreements

\$0
\$0
\$0

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	<input type="text" value="153G"/> \$0	<input type="text" value="153S"/> \$0	<input type="text" value="154G"/> \$0
F. Receivable from subsidiaries and affiliates	<input type="text" value="154S"/> \$0	<input type="text" value="155G"/> \$0	<input type="text" value="155S"/> \$0
G. Other (itemize)	<input type="text" value="156G"/> Itemized \$0	<input type="text" value="156S"/> Itemized \$0	<input type="text" value="157G"/> \$0
H. Allowance for doubtful accounts		<input type="text" value="157S"/> \$0	<input type="text" value="158G"/> \$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 Assests

Add ⁺	Explanation	Amount
 	Itemization	500

[RETURN TO STATEMENT](#)

Box 1560 - Current Other Receivables and Assests

Add ⁺	Explanation	Amount
 	Explanation <input type="text"/> Amount <input type="text"/>	

Save Cancel

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

browser window. This menu item is always displayed.

- **Help** – This will open the EasyFile System Help. (This document) 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.

This is an example of the top menu for a filing that has not been submitted for someone signed on with Submit security.



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 NFA ID :

◀ Previous Save  Next ▶

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).

[Submit Filing](#) [Cancel Submission](#)

◀ Previous Save  Next ▶

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	
Description	Type
Total Liabilities (Box 2280) is equal to zero.	Warning
YOU ARE UNDER REQUIRED MINIMUM CAPITAL. Please call your DSRO. Excess Net Capital (Box 3610) is less than zero.	Warning
Firm indicated there is subordinated debt maturing within 6 months (Box 8010). Please be aware that CFTC Regulation 1.17(e) prohibits IBs from repaying any subordinated loans when the firm's adjusted net capital falls below its Suspended Repayment Restriction of 120% of the firm's capital requirement.	Warning
Firm indicated that within 6 months, there is subordinated debt maturing (Box 8010) and/or firm plans to withdraw capital (Box 8000). Please be aware that CFTC Regulation 1.17(e) prohibits IBs from engaging in this behavior when its ANC falls below its Equity Withdrawal Restriction of 120% of the firm's capital requirement.	Warning

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.

Submit Filing With Warnings

Back To Filing

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.

1-FR-IB

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

[Filing Index](#)

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.