



EasyFile System Help (IB Notice Filings)

Table of Contents

Introduction.....	2
System Requirements.....	2
Getting Started.....	3
The Filing Index.....	6
Create New Filing.....	7
Viewing and Editing Filings.....	8
Editing a filing.....	8
Saving your information.....	9
Top Menu Items.....	9
Summary of Errors and/or Warnings.....	11

Introduction

The web based Easy File 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 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

➤ Security

Easy File 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 picture 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 security to the financial filings will be designated as “None”.

New Security Options for Easy File

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

NFA eRegistration - Edit User - Microsoft Internet Explorer

Address: <https://test.nfa.futures.org/ereg/Security/UpdateUserInfo.asp?samAccountName=orrl>

Zip/Postal Code** 60606

Country* UNITED STATES

Contact Information

E-mail Address (Required for Security Manager)

Phone Number*

Fax Number

Social Security Number

Date of Birth* July 2005

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

© 2002-2004 National Futures Association

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 Introducing Brokers membership category and click the expand button.

The screenshot shows the NFA website's navigation bar with the following links: About, News & Notices, Members, Registration, Investors, and Careers. The 'Electronic Filing Systems' link is highlighted with a red box. Below the navigation bar, the 'Electronic Filing Systems' section is displayed. It contains a list of membership categories with expand buttons (+):

- Commodity Pool Operators (CPO)
- Commodity Trading Advisors (CTA)
- Futures Commissions Merchants (FCM)
- Introducing Brokers (IB) (highlighted with a red circle)
- 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 NFA website's 'Introducing Brokers (IB)' page. The page title is 'Introducing Brokers (IB)'. The main content area contains a list of systems and procedures:

- 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.
- **Non broker-dealer IBs can use [EasyFile](#) to file audited and unaudited 1-FR-IB financial statements and enter and transmit notice filings.**
- Independent IBs that are broker-dealers may access [WinJammer](#) to enter and transmit notice filings 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 submit or manage promotional material filings.

You will be taken to the EasyFile (IB) page. Click on "Access the System" button in the "Enter and Transmit Notice Filings" 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.

File a 1-FR-IB Financial Statement

[ACCESS THE SYSTEM](#)

[See system requirements.](#)

Enter and Transmit Notice Filings

[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 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 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 screenshot shows the NFA EasyFile Financial Filing System interface. At the top, there is a navigation bar with links for About, News & Notices, Members, Registration, Investors, and Careers. The main content area is divided into two sections. On the left, there is a sidebar with 'EasyFile Financial Filing System' and a 'Logout' button. On the right, the 'Filing Index' section contains a disclaimer about system access and a table of filings. Below the table is a 'Create Filing' button.

NFA ID :

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
05-09-2018	Regulation Notice		1	Unsubmitted		
04-21-2018	Regulation Notice		1	Unsubmitted		
04-19-2018	Regulation Notice		1	Unsubmitted		
04-17-2018	Regulation Notice		1	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.
- **Filings Received** – This is version number of the filing. The Initial version of the filing will have a Filing Received equal to 1. Each time an amendment is made to a filing the Filings Received will be incremented by 1.
- **Filing Type** – This will either be “Regular” or “Certified”. Certified filing cannot be viewed.
- **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 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 the Create New Filing is clicked a box will appear below the Filing Index for you to choose the Form type, Filing 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, Filing 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.

The screenshot shows the NFA EasyFile Financial Filing System interface. At the top, there is a navigation bar with links for About, News & Notices, Members, Registration, Investors, and Careers. The main content area is divided into two sections: EasyFile Financial Filing System (with a Logout link) and Filing Index. The Filing Index section contains a disclaimer and a table of filings. Below the table is a "Create Filing" button, which is highlighted with a red arrow. A "Create New Filing" dialog box is open, showing a message that the End Date must be earlier or equal to today. The dialog box has fields for Form (a dropdown menu), Type (a dropdown menu), and End Date (a text input field with a calendar icon). At the bottom of the dialog box are "Save" and "Cancel" buttons.

Electronic Filing Systems | NFA Rulebook | Online Registration System

About News & Notices Members Registration Investors Careers

EasyFile Financial 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.

NFA ID :

End Date	Form	Received Date	Version of Stmt	Status	Pool	Regulation Type
05-09-2018	Regulation Notice		1	Unsubmitted		
04-21-2018	Regulation Notice		1	Unsubmitted		
04-19-2018	Regulation Notice		1	Unsubmitted		
04-17-2018	Regulation Notice		1	Unsubmitted		

Create Filing

Create New Filing

End Date must be earlier or equal to today

Form: -- Select A Form --

Type: Select Type

End Date:

mm/dd/yyyy

Save | Cancel

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 filing will be displayed.

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.

The screenshot displays the NFA EasyFile Financial Filing System interface. At the top left is the NFA logo. A dark blue navigation bar contains the following links: Filing Index, Submit Filing, Delete Filing, Help, and Logout. Below this, a sidebar on the left contains the text 'EasyFile Financial Filing System', a link 'Review filing for errors', a 'Logout' button, an empty text input field, and a 'Find Box' button. The main content area is titled 'Cover Page' and shows the date '06-11-2018' and 'NFA ID :'. Below the title bar is a navigation bar with 'Previous', 'Save', and 'Next' buttons. The main section is titled 'Beginning Date of Notice Impact:' followed by a date picker. A list of checkboxes follows, with the first one, '1.17(h) Secured Demand Note Violation', checked. The other items in the list are: '1.17(h)(2)(vii)(C)(1) Increases or decreases to subordinated debt', '1.18 Current Books and Records', '1.17(e)(1) Firm is under the equity withdrawal restriction', '1.16(g) Replacement of outside certified public accountants', '1.17(c)(6)(iv) Schedules required to be filed with the Commission under SEC CSE rules.', '1.17(d) The firm is under the debt to equity ratio', 'CFTC Informational notice', 'DSRO Regulation The firm is under capitalized due to higher minimum capital requirements imposed by a clearing organization.', '1.65 Transfer of accounts', '1.31 Books and records; keeping and inspection', '1.12(d) Notification by certified public accountant of a material inadequacy', and '1.12(c) Failure to keep current books and records'.

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

Security

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 let NFA know you are finished by clicking “Submit Filing” 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 attach a document 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

06-11-2018 NFA ID :


◀ Previous Save  Next ▶

I hereby affirm that, to the best of my knowledge and belief, the information contained in this filing is accurate and complete.

Name:

Name of Company:

[Submit Filing](#)

◀ 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 be displayed
- **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 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.

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.

The screenshot shows the NFA EasyFile Financial Filing System interface. At the top left is the NFA logo. Below it is a dark blue header bar. On the left side, there is a search box with the text 'EasyFile Financial Filing System' and a 'Find Box' button. On the right side, there is a dark blue header bar with the text 'Summary of Errors and/or Warnings'. Below this header is a table with two columns: 'Description' and 'Type'. The table contains one row with the description 'No documents uploaded, please upload at least one document.' and the type 'Error'. At the bottom right of the page, there is a 'Back To Filing' button.

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 link:

- **Filing Index** – This link will display the Filing Index. The filing you just submitted will now have a status of “Received” in the Filing Index.

