



# Executive Representative Contact Form User's Guide

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### **System Requirements**

- Requires a currently supported version of Microsoft Edge 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**

The system makes use of your existing security for the Online Registration System (ORS). In order to access the Executive Representative Contact Form, a user needs to have the Security Manager privilege OR the View, Update, and File privilege in ORS.

<b>Security (Online Registration System)</b>	
<b>Type*</b>	<input checked="" type="radio"/> <b>Security Manager</b>
	<input type="radio"/> <b>View, Update, and File</b>
	<input type="radio"/> <b>View and Update</b>
	<input type="radio"/> <b>View</b>
	<input type="radio"/> <b>None</b>

## Accessing Executive Representative Contact Information

Once your Security Manager has set up your security, access the application through the Electronic Filings menu of NFA's website. Find your firm's membership category (if you have multiple categories, you can select any one that is applicable). Click on the expand button.

The screenshot shows the NFA website's navigation bar with the 'Electronic Filing Systems' link highlighted. Below the navigation bar, the 'Electronic Filing Systems' section is displayed. A table lists various membership categories, each with an expand button (+) on the right. The expand button for 'Commodity Pool Operators (CPO)' is circled in red.

Membership Category	Expand Button
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 Executive Representative Contact.

The screenshot shows the expanded 'Commodity Pool Operators (CPO)' section. The list of requirements includes a red box around the text: '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.'

- 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.
- Access [EasyFile \(Quarterly Reports\)](#) to electronically file pool quarterly reports for each of the CPO's commodity pools.
- Access [EasyFile Extensions and Notice Filings](#) to file notices for each of the CPO's commodity pools.
- Access [EasyFile \(Annual Reports\)](#) to file annual financial statements for each of the CPO's commodity pools.
- Use the [Electronic Disclosure Document Filing System](#) to file a disclosure document with NFA for review.
- Use the [Exemptions System](#) to electronically file with NFA all notices of exclusion or exemption from the Commodity Futures Trading Commission's (CFTC) Part 4 requirements and to complete annual affirmation of certain exemptions from CPO registration.
- Access [NFA's Regulatory Filing System](#) to submit regulatory documentation.

## **The Filing Index**

The Filing Index is the main page of this form, and is the first page you will see after logging in. Click the End Date to enter the Executive Representative's contact information.

Electronic Filing Systems | NFA Rulebook | Online Registration System

AboutNews & NoticesMembersRegistrationInvestorsCareers

[Executive Representative Contact](#)

### Filing Index

Click the End Date of a filing to Open, Enter, Submit, or Amend a filing.

NFA ID :

End Date	Due Date	Form Type	Form	Received Date	Version of Stmt	Filing Type	Status
03-31-2018		ERQU	Executive Representative Contact Information		1	Regular	Unsubmitted

[Logout](#)

### **The Executive Representative Contact**

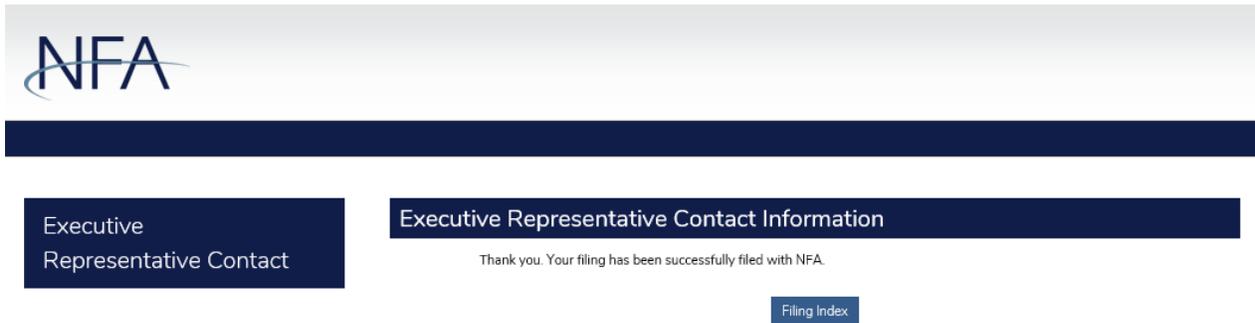
To submit contact information, fill out the form fields and click Next. The Executive Representative Contact form will require the name, mailing address, and telephone number of the Member's Executive Representative.

The screenshot shows the NFA website interface. At the top is the NFA logo. Below it is a navigation bar with links for "Filing Index", "Submit Filing", "Help", and "Logout". On the left side, there is a sidebar with "Executive Representative Contact" and "Review filing for errors" buttons. The main content area is titled "Executive Representative Information" and shows a date of "03-31-2018" and an "NFA ID :". The form contains several input fields: "First Name/Given Name", "Last Name/Surname", "Email", "Phone", "Address" (with three lines), "City", "State" (a dropdown menu with "--Select State--"), "Province", "Zip", and "Country" (a dropdown menu with "UNITED STATES" selected). Navigation buttons for "Previous", "Save", and "Next" are located at the top and bottom of the form area.

Next, click Review Filing for Errors. If no errors are found, you will be directed to click the Submit Filing button.

The screenshot shows the NFA website interface. At the top is the NFA logo. Below it is a navigation bar with links for "Executive Representative Contact" and "Summary of Errors and/or Warnings". The main content area displays the message: "No errors were found in this filing. Click on Submit Filing to proceed with submission. Thank you." Below this message are two buttons: "Submit Filing" and "Back To Filing".

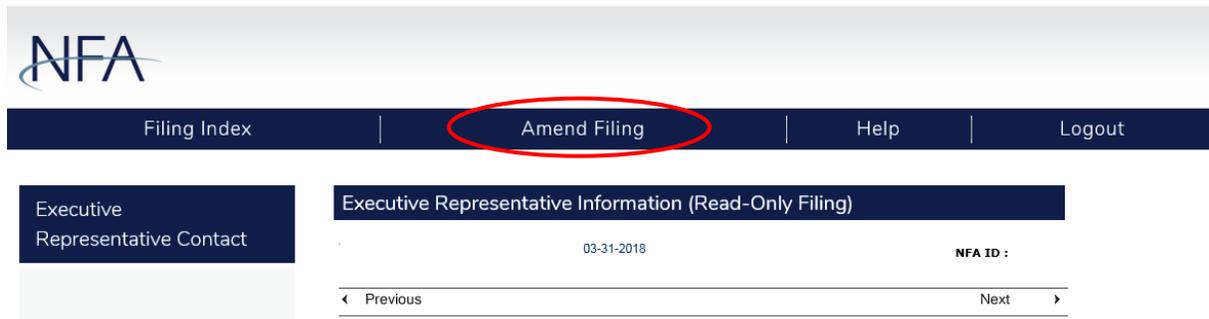
After clicking the “Submit Filing” button, the following confirmation will be displayed. By returning to the Filing Index, the form status will now indicate that it is received.



The screenshot shows the NFA logo at the top left. Below it is a dark blue navigation bar with a button labeled "Executive Representative Contact". To the right, a white box contains the text "Executive Representative Contact Information" and "Thank you. Your filing has been successfully filed with NFA." Below this message is a button labeled "Filing Index".

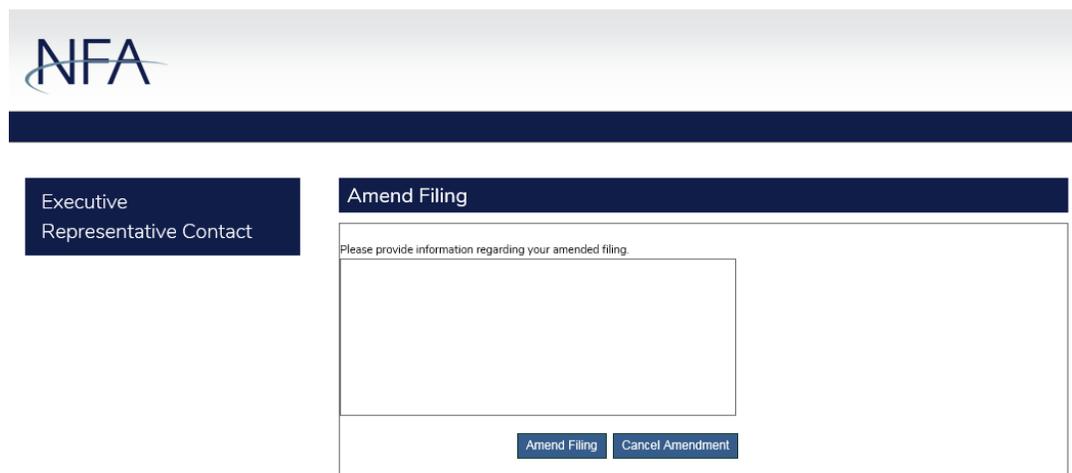
### **Amending the Form**

You can make changes to the Executive Representative Contact information by clicking the End Date on the Filing Index. Then, click on the Amend Filing button located in the top menu.



The screenshot shows the NFA logo at the top left. Below it is a dark blue navigation bar with buttons labeled "Filing Index", "Amend Filing" (circled in red), "Help", and "Logout". To the left of the main content area is a button labeled "Executive Representative Contact". The main content area has a white box with the title "Executive Representative Information (Read-Only Filing)", the date "03-31-2018", and "NFA ID :". Below this are "Previous" and "Next" navigation links.

Next, enter information regarding your form amendments. Please note that entering this information is required to continue your amendments. When the information is entered, click Amend Filing to continue.



The screenshot shows the NFA logo at the top left. Below it is a dark blue navigation bar with a button labeled "Executive Representative Contact". To the right, a white box contains the title "Amend Filing" and a text input field with the placeholder text "Please provide information regarding your amended filing." Below the input field are two buttons: "Amend Filing" and "Cancel Amendment".

The Filing Index will be displayed and the status of the filing will be Amending. If you are ready to submit your amended form, click on the form from the Filing Index, then click on Submit Filing.

### **Additional Help**

If you need further information, please contact NFA's Information Center by phone at 312-781-1410 or 800-621-3570, or by email at [information@nfa.futures.org](mailto:information@nfa.futures.org).