Registering as a Swaps Proficiency Requirements Administrator

To be a Swaps Proficiency Requirements Administrator (SPR Admin), you must be a Security Manager of the firm and you must designate yourself. Firms may have more than one SPR Admin; however, any additional SPR Admins must also be a Security Manager of the firm. If an NFA Member plans to have one SPR Admin for multiple affiliated firms, the SPR Admin should first complete the form online and then contact NFA’s Information Center (312-781-1410 or 800-621-3570 | information@nfa.futures.org) to be designated as the SPR Admin for additional firms. This guide provides instructions on how to designate yourself as an SPR Admin. To access the form, visit https://www.nfa.futures.org/electronic-filing-systems/SPR-admin.html and log in.

1. From the SPR Admin Form landing page, click “Open the Swaps Proficiency Requirements Administrator Form”.

2. From the Contact Information screen, click the plus sign (+) next to Add to add yourself as an SPR Admin.
3. Your first and last name will be pre-populated. Enter your email address, verify your email address, and enter your phone number. Click “Save”.

4. Your information now appears in the Contact Information screen. To further edit, click the pencil next to your information. If needed, check the box at the bottom of the form to request an enrollment code. Then click “Next”.

5. If there are errors, you may return to the SPR Admin Form to correct them. If there are no errors, click “Submit Filing”.

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6. You will see a confirmation screen. Click “Back to SPR Admin Form”.

7. The SPR Admin Form now indicates that the firm has one SPR Admin. You will receive an email shortly providing you with additional information on the registration of individuals for NFA’s Swaps Proficiency Requirements.
Registering as an Additional SPR Admin or Amending an Existing SPR Admin’s Contact Information

If a firm has more than one Security Manager that wishes to be an SPR Admin, additional Security Managers may register themselves by following these steps once logged into the SPR Admin Form. Existing SPR Admins can also follow these steps to amend their contact information.

1. From the SPR Admin Form landing page, click on “Open the Swaps Proficiency Requirements Administrator Form”.

2. The Contact Information screen will open in Read-Only mode. Click “Amend Filing”.

To simplify the enrollment process, NFA is providing a .csv file that SPR admins may use to enroll multiple individuals at the same time. If your firm is unable to provide the information required in the .csv file for primary or other regulatory consideration, you may, with the loss of ability to enroll an enrollment Code as your firm’s employee can enroll themselves, click here for an explanation of the information required in the .csv file.

I am unable to provide the information required in the .csv file due to privacy or other regulatory considerations and am requesting an Enrollment Code.
3. Enter a reason for amending the filing, such as, “Adding an additional SPR Admin”.

4. You will return to the SPR Admin Form landing page. Click “Open the Swaps Proficiency Requirements Administrator Form”.

5. From the Contact Information screen, click the plus sign (+) next to Add to add yourself as an SPR Admin. To edit an existing SPR Admin, click the pencil next to that Admin’s name. For purposes of this guide, we will add a new SPR Admin.
6. Your first and last name will be pre-populated. Enter your email address, verify your email address, and enter your phone number. Click “Save”.

7. Your information now appears on the Contact Information screen. To edit it, click the pencil next to your name. When finished, click “Next”.

8. If there are errors, you may return to the SPR Admin Form to correct them. If there are no errors, click “Submit Filing”.
9. You will see a confirmation screen. Click “Back to SPR Admin Form”.

10. You will see that the firm now has two SPR Admins. You will receive an email shortly providing you with additional information on the registration of individuals for NFA’s Swaps Proficiency Requirements. At any time, you may open the SPR Admin Form to see your firm’s SPR Admins or access your enrollment codes, if requested.