



ORS APPLICATION PROCESS: FLOOR BROKERS/FLOOR TRADERS

This guide will enable you to efficiently manage and monitor your registration process in NFA's Online Registration System (ORS). NFA's entryway to ORS, the NFA Dashboard, provides quick links to ORS and summarizes all outstanding filing requirements.

The Floor Broker (FB) or Floor Trader (FT) application process will lead you through a series of screens. Before starting this process, it may be helpful to preview the templates located under the How to Register tab on the Registration section of our website:

www.nfa.futures.org/registration-membership.

File your application using the NFA ID provided on your ORS enrollment letter.

SECURITY MANAGER FUNCTIONS

As the Security Manager, you have complete authority and responsibility to file, view and update your registration information.

Access security options by clicking "Security" under ORS Links at the top-left of the Dashboard. This will open the Security page in ORS, where there is a list of links, including:

Display Users: View and edit your information.

NFA Email Notification Service: You are automatically enrolled to receive emails regarding registration-related events once your application is filed. You can also add other individuals as recipients.

PASSWORD RESET

You can reset your ORS passwords online. Visit the Registration section of NFA's website and click on "Security Manager Duties". Your User Name and Security Information are required to reset your password.

ONLINE PAYMENT REQUESTS

Payments for registration related fees can be made online. Click "Make a Payment" in the Accounting section on the Dashboard to access the Online Payment Request page. You can also access the Online Payment Request page by clicking "Online Payment Request" under the Payment Request/Accounting Information tab.

ICONS

Following are common icons you will see throughout the system.

-  Reset Button to unlock account and/or reset password.
-  Edit Button to modify information.
-  Delete Button to remove information.
-  Indicates account is locked.
- * Required information.
- ? Indicates more information.

APPLICATION

Once on the dashboard, begin your application process by clicking “Apply for Registration”. Please pay special attention to the following screens:

Registration Categories: Check the appropriate category(ies) to apply for registration.

Disciplinary Information: Before completing this section, carefully read the instructions and questions. For definitions, click on underlined phrases. Answering “Yes” to any question will require the filing of a disclosure matter page, unless the matter was previously disclosed.

Summary: This is the last screen in your application process. It displays registration status and additional filings and requirements needed before registration can be granted. Once you have read the FB/FT Agreement, click “Agree and File Application”.

Now that your application has been filed, you have 180 days to submit additional filings. The following information will help you easily monitor this process.

DON'T GET WITHDRAWN

On the Dashboard, check the Outstanding Registration Filings section regularly to see filings due that affect registration. The default view is sorted by withdrawal date. Clicking the plus sign next to the date will expand the information to display any registration filings that are still outstanding. If all outstanding filings are not submitted by the withdrawal date listed, your application will be withdrawn.

Review all new notices. You will receive communication regarding applications electronically. Some notices are required by NFA rules, for example, when a temporary license/registration is granted or an applicant/registrant has been withdrawn. When a new notice is generated, a notification will display on the Dashboard. Click “Online Registration System Notices” to access the notice. You can also access notices by clicking “Update/Withdraw Registration Information” at the top of any page, then clicking “Notices” in the Internal Processing box.

HELP

For FAQs, information about registration, instructions and defined terms, click “Help” under ORS Links on the Dashboard, or the Help tab, located at the top of any page in ORS.

NFA'S INFORMATION CENTER

If at any time you need further assistance, please contact NFA's Information Center:

Phone

800-621-3570 or 312-781-1410

Email

information@nfa.futures.org

Hours

Monday through Friday
8:00 a.m. to 5:00 p.m. Central Time