

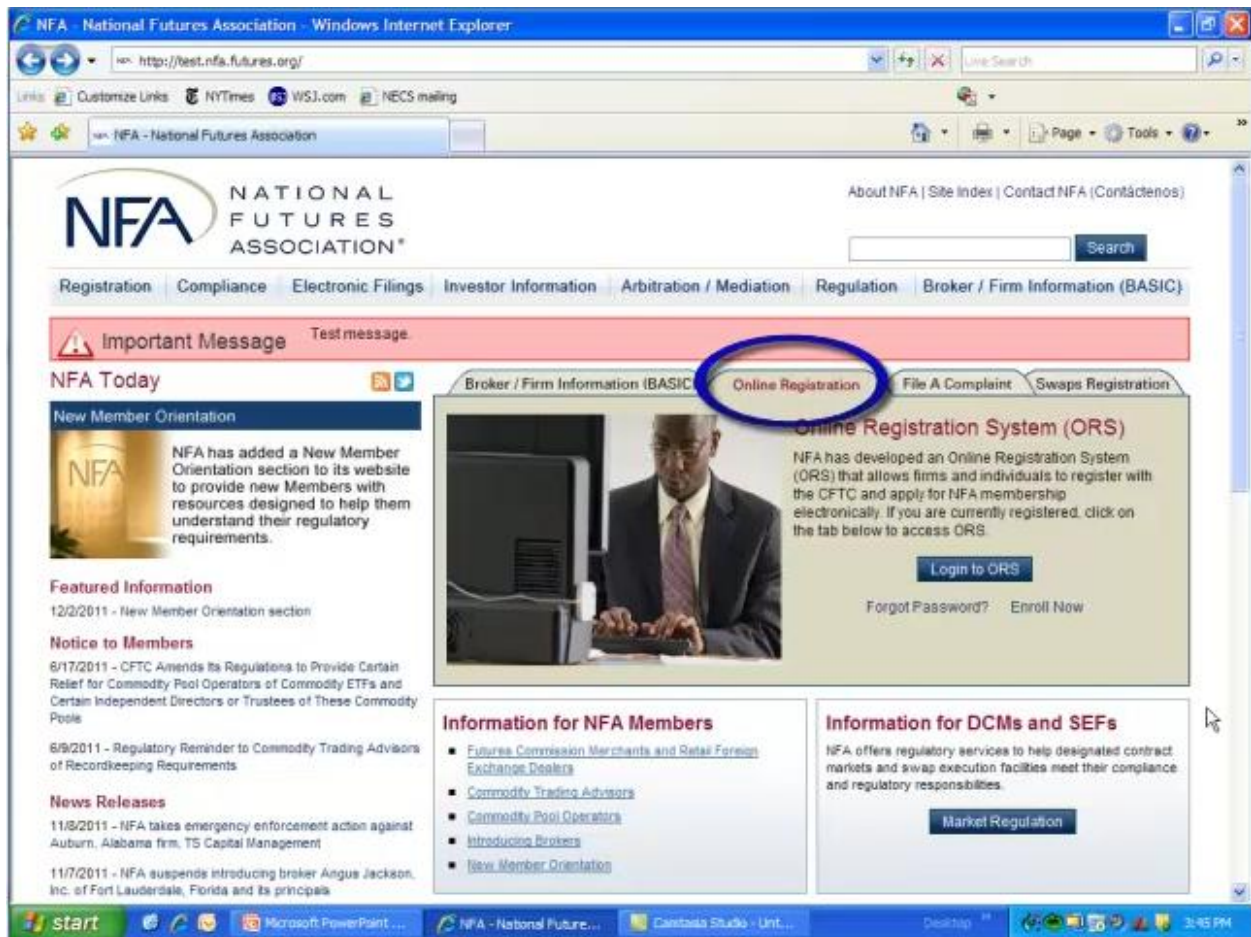
The Registration Process: Getting Started

The Enrollment Process

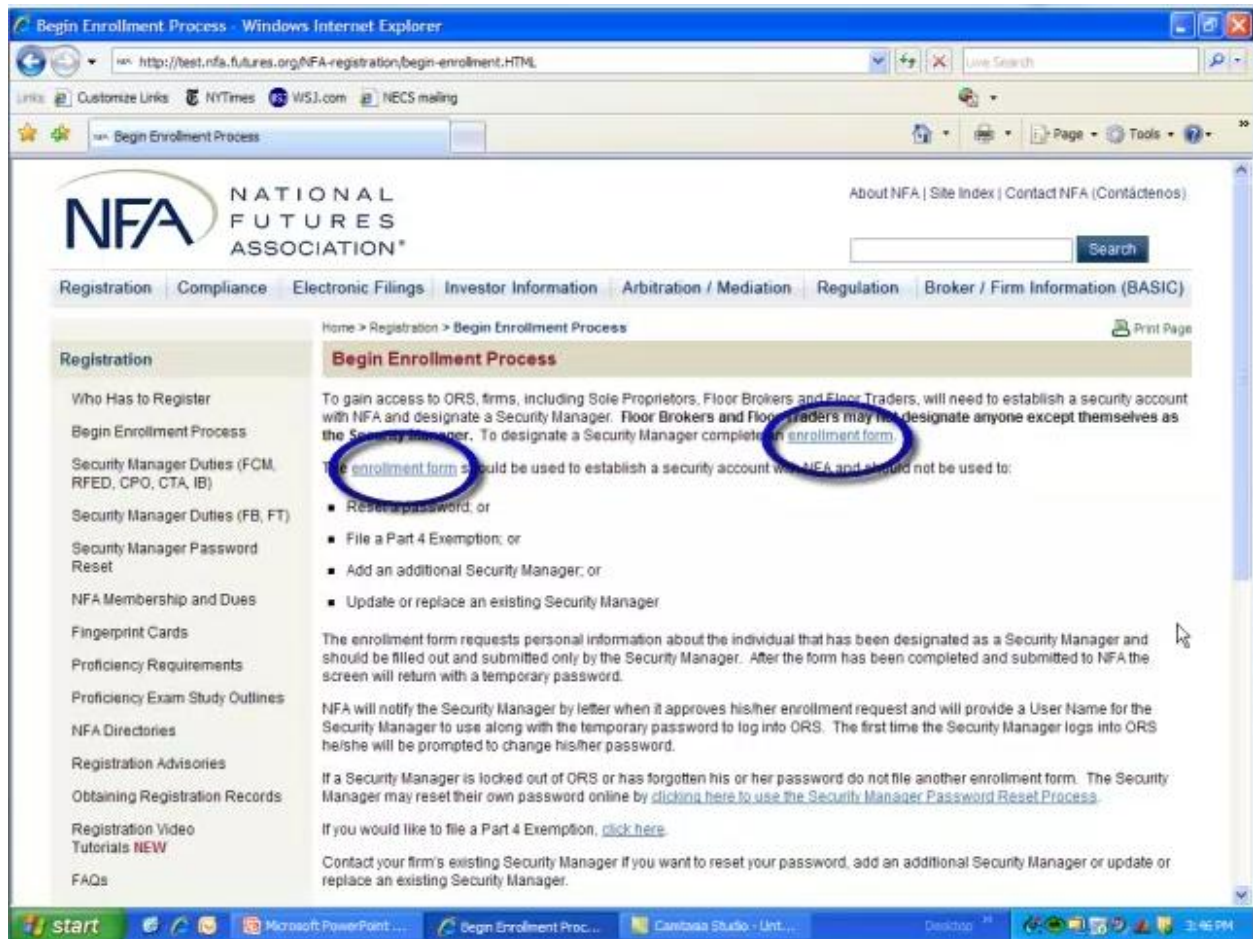


Welcome to one in a series of videos NFA has produced to help you through the registration process as efficiently as possible. This video will discuss the enrollment process you will need to complete in order to gain access to NFA's Online Registration System or ORS.

You must complete this enrollment process to receive an NFA ID number, username and temporary password before you can begin filing an application for registration.



To begin the enrollment process, go to NFA's website at www.nfa.futures.org. On the home page you will find a tab called Online Registration. In the middle of that tab is a button labeled "Login to ORS". Ignore that button for now. You will use that button once you have both your temporary password and username. Instead, click on the "Enroll Now" link underneath the Login button.



Now you're at the "Begin Enrollment Process" screen. This screen explains the enrollment process. Click on either of the two "enrollment form" links.

The screenshot shows a web browser window titled "Online Registration Enrollment - Windows Internet Explorer". The address bar displays the URL "https://test.nfa.futures.org/forenroll/enroll/". The browser's toolbar includes links to "Customize Links", "NYTimes", "WSJ.com", and "NECS mailing". The NFA logo (National Futures Association) is visible in the top left corner of the page.

Enrollment Form

The purpose of the Enrollment Form is to establish a security account to use the Online Registration System. This form should **NOT** be used to:

- reset a password; or
- file a Part 4 Exemption; or
- add an additional Security Manager; or
- update or replace an existing Security Manager.

If further assistance is required, please contact our Information Center at (800) 621-3570 or (312) 781-1410 Monday through Friday from 8:00 a.m. to 5:00 p.m. Central Time.

Enter enrollment information and click Continue.

Enrollment Information

Organization Type*

☐ Floor Broker and/or Floor Trader

☐ FCM, RFED, IB, CPO, CTA, SD and/or MSP

Form of Organization

* Required to submit enrollment form.

Return to NFA Home

Continue

The Windows taskbar at the bottom shows the "start" button and several open applications: "Microsoft PowerP...", "Begin Enrollment...", "Online Registratio...", and "Cartata Studio...". The system clock indicates the time is 3:47 PM.

The Enrollment Form will open in a new browser window. First, select your organization type. In this demonstration you're going to register as a firm, so select the "FCM, RFED, IB, CPO, CTA, SD and/or MSP" option. Next, you are required to select the Form of Organization from the drop down menu. If you are unsure of your firm's form of organization, consult your attorney. For the purpose of this demonstration, we're going to select Sole Proprietor as the Form of Organization. Then click the Continue button.

The screenshot shows a web browser window titled "Online Registration Enrollment - Windows Internet Explorer". The address bar displays the URL: <https://test.nfa.futures.org/orenroll/enroll/enrollmentform2.asp?FirmType=FIRMSManFormOrg=SOLE%20PROPRIETOR>. The page features the NFA (National Futures Association) logo in the top left corner. The main heading is "Enrollment Form". Below this, a green instruction box states: "Enter enrollment information and click Submit. Enter the full legal name of the individual that is the Sole Proprietor. The name should not be a 'doing business as' name the Sole Proprietor may be doing business under. Do not use nicknames or abbreviations. For example, if the individual's first name is Charles, enter Charles, not Chuck." The form contains several input fields: "First Name*", "Last Name*", "NFA ID (if known)", "Social Security Number" (with a hyphenated format), and "Date of Birth*" (with dropdown menus for month, day, and year). Below these is a section titled "Security Manager Information" with "First Name*" and "Last Name*" fields. At the bottom, a message states "P.O. Box address is not acceptable." The browser's taskbar at the bottom shows the Start button and several open applications: Microsoft PowerPoint, Begin Enrollment..., Online Registration..., and Centauro Studio. The system clock indicates 3:47 PM.

On the next screen enter the full legal name of the individual that is the Sole Proprietor. This is the Sole Proprietor's name and not a "doing business as name". For example, if the Sole Proprietor's name is Vic Viking and the name of his IB business is Viking Forex, you would enter Vic Viking as the name here, not Viking Forex. Also, if Vic's full first name is Victor, be sure to enter Victor, not Vic.

Next, if the Sole Proprietor filed an application previously with NFA, enter the NFA ID number. For the purposes of this demonstration, we're going to assume that this is the Sole Proprietor's first application, so we'll leave this blank.

Next, enter the Sole Proprietor's Social Security Number. Although the Social Security Number is not required, it is useful for identification purposes.

Next, enter the Sole Proprietor's Date of Birth. This is a required field.

Now it's time to indicate who will be your firm's Security Manager. This is an important decision to make because the Security Manager has complete authority and responsibility to establish and administer all accounts for other ORS users at your firm.

In most Sole Proprietor organizations, the Sole Proprietor is also the Security Manager. However, that is not always the case and you can assign someone else to be the Security

Manager. In fact, depending on the size of the firm NFA recommends that every firm designates two people as Security Managers.

So once you decide who will be your firm's Security Manager, fill in all of the required fields.

The screenshot shows a web browser window titled "Online Registration Enrollment - Windows Internet Explorer". The address bar displays a URL from "test.nfa.futures.org". The page content is divided into two main sections: "Applicant Main Office Address" and "User Identification".

Applicant Main Office Address

☐ Same as Security Manager

P.O. Box address is not acceptable.

Street Address 1*

Street Address 2

Street Address 3

City**

State* (United States Only)

Province

Zip/Postal Code**

Country*

User Identification

The following information is required and will be used to verify your identity should your password need to be reset.

Mother's Maiden Name*

Please select a question that's easy to remember.*

Please enter your answer to your easy to remember question.*

Next you will be asked to provide your main office address. If you are the designated Security Manager and the main office address of your firm is the same as your address, click this box and the fields will be populated automatically.

Finally, you will be prompted to provide information that will be used to verify your identity should your password need to be reset. As you can see, you are asked to indicate your mother's maiden name and then select a question that will be easy to remember from the drop down menu. Then just enter your answer to the question.

That's all there is to it. Now you're ready to click the Submit button. Before I do that, however, I want to point out a couple of things to you.

This screen will look a little different if you select a different type of organization. So, let's go back to the first screen and select Corporation.

Online Registration Enrollment - Windows Internet Explorer

https://test.nfa.futures.org/orenroll/enroll/enrollmentform2.asp?FirmType=FIRM&MainFormOrg=CORPORATION

Links: Customize Links, NYTimes, WSJ.com, NECS mailing

Online Registration Enrollment

NFA
NATIONAL
FUTURES
ASSOCIATION

Enrollment Form

Enter enrollment information and click Submit.
Enter the full legal name that appears on the firm's corporate filings.

Firm Name*

NFA ID (if known)

Security Manager Information

First Name*

Last Name*

P.O. Box address is not acceptable.

Street Address 1*

Street Address 2

City**

State* (United States Only)

Done

start, Microsoft PowerP..., Begin Enrollment..., Online Registrato..., Camtasia Studio..., Desktop

Trusted sites, 100%, 3:50 PM

This is the screen that will appear if you select Limited Liability Company, Partnership, Limited Liability Partnership, Corporation, Trust or US Federally Chartered Bank as the form of Organization. You can see that you will only be asked to enter the full legal name that appears on the firm's corporate filings and the firm's NFA ID number if it has been previously registered.

Online Registration Enrollment - Windows Internet Explorer

https://test.nfa.futures.org/orenroll/enroll/enrollmentform2.asp?FirmType=FIRM&ManFormOrg=CORPORATION

Links Customize Links NYTimes WSJ.com NECS mailing

Online Registration Enrollment

Applicant Organization Information

Enter the state in which the entity is incorporated, organized or established.**

Enter the date that the entity was incorporated, organized or established.**

Enter the number assigned to the entity by the state of which the entity is incorporated, organized or established.

User Identification

The following information is required and will be used to verify your identity should your password need to be reset.

Mother's Maiden Name*

Please select a question that's easy to remember.*

Please enter your answer to your easy to remember question.*

* Required to submit enrollment form.

Done

start Microsoft PowerPoint... Begin Enrollment... Online Registrato... Camtasia Studio... Desktop 3:51 PM

The Security Manager Information section is the same. However, in addition to the User Identification Section I described earlier, there is an Applicant Organization Information Section. Here you will be asked to enter the state in which the entity is incorporated, organized or established; the date that the entity was incorporated, organized or established; and the number assigned to the entity by the state of which the entity is incorporated, organized or established. Please note that this section will not appear if you chose US Federally Chartered Bank as your form of organization.

When all of the information is complete, click the Submit button.

Enrollment Form

First Name ABC
Last Name INDIVIDUAL

Your enrollment information has been submitted to NFA. Keep this page for your records as it contains user identification information and the temporary password that will be required to access the NFA Online Registration System.

NFA will notify you by letter when it approves your enrollment request and will provide a user name for the Security Manager to use along with the temporary password listed below. The first time the Security Manager logs in, he or she will be prompted to change the password.

Temporary Password TidototehE2

Registration Information

Organization Type FCM, RFED, III, CPO, CTA, SD and/or MSP
Form of Organization SOLE PROPRIETOR
Date of Birth 06/25/1960

Security Manager Information

First Name: ABC
Last Name: INDIVIDUAL
Street Address 1 300 S RIVERSIDE PLAZA
City CHICAGO
State ILLINOIS
Zip/Postal Code 60605
Country UNITED STATES
E-mail Address ABC@NFA.FUTURES.ORG
Phone Number 312 555 5555
Date of Birth 06/25/1960

Applicant Main Office Address

Street Address 1 300 S RIVERSIDE PLAZA
City CHICAGO
State ILLINOIS
Zip/Postal Code 60605
Country UNITED STATES

User Identification

Mother's Maiden Name SMITH
Question What is your favorite flower?
Answer ROSE

The next screen that appears will contain a temporary password. It's very important to print this screen and keep it for your records because it contains user identification information and the temporary password that will be required to access NFA's Online Registration System. That's all you have to do for now.

NFA ID: 0433371

Dear Sir or Madam:

Now that your firm is enrolled in NFA's Online Registration System ("ORS"), your firm's Security Manager, ABC INDIVIDUAL, will be able to quickly and accurately administer your firm's registration process. Attached is a guide that will help him/her through the process. We have also developed an online tutorial that provides a step-by-step look at several sections of ORS.

The Security Manager can access ORS using the User Name, individuals and temporary password that was provided when the enrollment form was submitted. In order to maintain a high level of protection for your data as possible, NFA has established a policy regarding passwords and their use.

When the Security Manager signs on to ORS using the temporary password, he or she will be asked to change it to a new "complex" password. That means that the new password must contain at least three of the following four types of characters and must be at least nine characters long. User Names and passwords are case sensitive.

English upper case	(i.e., A...Z)
English lower case	(i.e., a...z)
Number	(i.e., 0...9)
Non-Alphanumeric	(i.e., !, \$, %, etc.)

His or her first and last names or portions of them may not be used as part of the password. Finally, passwords will need to be changed every 60 days.

If the Security Manager has forgotten the temporary password, he or she can reset it using the password reset process on our web site at www.nfa.futures.org. Information about how to access and use the password reset process is included in the guide.

If we can be of further assistance to your firm with using ORS or if you are unable to access ORS, please call our Information Center at (312) 781-1410 or (800) 621-3570.

Sincerely,

Yvette Christman
Yvette Christman
Senior Manager, Registration

Attachment

Within a few days, the Security Manager will receive a letter like this one from NFA approving his or her enrollment request. Notice that the firm has been assigned an NFA ID number. The letter also will provide a User Name for the Security Manager to use along with the temporary password you printed out earlier to log into ORS. The first time the Security Manager logs into ORS, he or she will be prompted to change that password.

Contact Us

Information Center:

(800) 621-3570

(312) 781-1410

Email: information@nfa.futures.org



You have now completed the enrollment process and are ready to begin the actual registration process. We encourage you to watch the other videos in this series to help you through the registration process. As always, if you have any questions, you can call NFA's Information Center at 800-621-3570 or 312-781-1410 during normal business hours. Or you can email your questions to information@nfa.futures.org.

Thanks for watching.