EasyFile System Help
(Cybersecurity Notice Filings)

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Introduction

The web based Easy File application was designed to make filing of cybersecurity incidents easy and quicker. The application provides an extensive help system to assist you while you are filling out the notices. This manual will help you to navigate through the Easy File application to get you filing submitted.
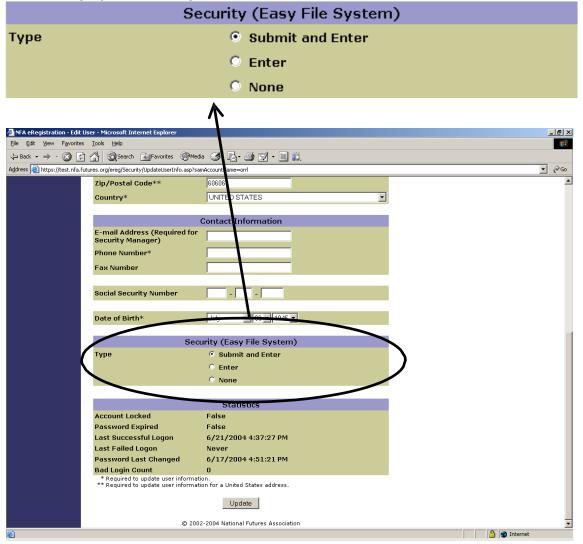
System Requirements

➢ 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. 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

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 appropriate membership category and click the expand button. The various systems applicable to that membership category will appear. Click on the link for EasyFile Notice Filings. You will be taken to the EasyFile Notice Filings page. Click on "Access the System" button.

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		* Required
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 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.

The Filing Index displays the following information about each filing:

- ➢ **End Date** – This is the date discovered of your filing. Information on your filing is current up to this date. To open a filing click on the End 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 be the filing type that you are filing notice for—Non Financial for cyber incident notices.
- ➢ **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.
  - • **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 date discovered of the filing. Select Cybersecurity Incident Notice as the form, Notice as type, and enter the date the incident was discovered, and click Save.

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.

Click the End Date of your new filing.

A form will appear asking for the cybersecurity incident type, monetary loss value and contact information. Complete the fields. Click Browse or drag and drop files into the form to attach supporting documents as required by the Interpretive Notice, and click Save.

Viewing and Editing Filings

To view a filing, click the End Date of the filing in the Filing Index. 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 cybersecurity incident information. 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 filing.

Saving your information

The information you enter into a filing is saved either by clicking the Save button above and below the filing (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. 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.

Permission Security

This is an example of the top menu for a filing that has not been submitted for someone signed on with Submit security. If the user does not have permissions to submit in EasyFile, the Submit Filing option will not appear.

NFA | Filing Index | Submit Filing | Delete Filing | Help | Logout

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.

<u>Summary of Errors and/or Warnings</u>

When a filing is submitted it is first analyzed by evaluating the information 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 filing that the box is on and set focus to the box that is in error. 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 information 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.

NFA

EasyFile Filing System

Summary of Errors and/or Warnings

Description	Type
You must select at least one Cyber security Incident Type.	Error
You cannot enter a negative dollar value	Error
You must provide the Preparer's First Name	Error
You must provide the Preparer's Last Name	Error
You must provide the Preparer's Title	Error
You must provide the Preparer's Phone Number	Error
You must provide the Preparer's Email Address	Error
You must attach at least one document to this filing.	Error
You must select at least one option for Monetary Loss	Error

Back To Filing

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.