# How to set up EasyFile Security: Instructions for Security Managers

Please Note: Only a Security Manager can change EasyFile security or add a new user. If you do not know who the Security Manager for your firm is, contact NFA's Information Center (800-621-3570 or information@nfa.futures.org), and a representative will assist you. ORS Security Managers do not automatically receive EasyFile security. Only those individuals who have been assigned EasyFile security will be able to see and file EasyFile filings.
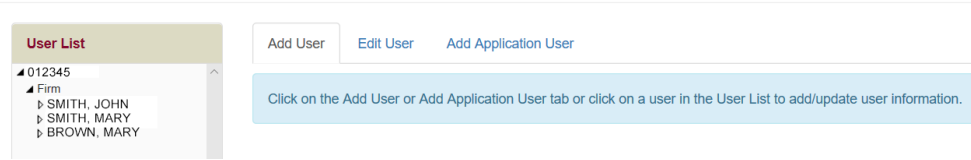
1) Log into NFA's Online Registration System (ORS).
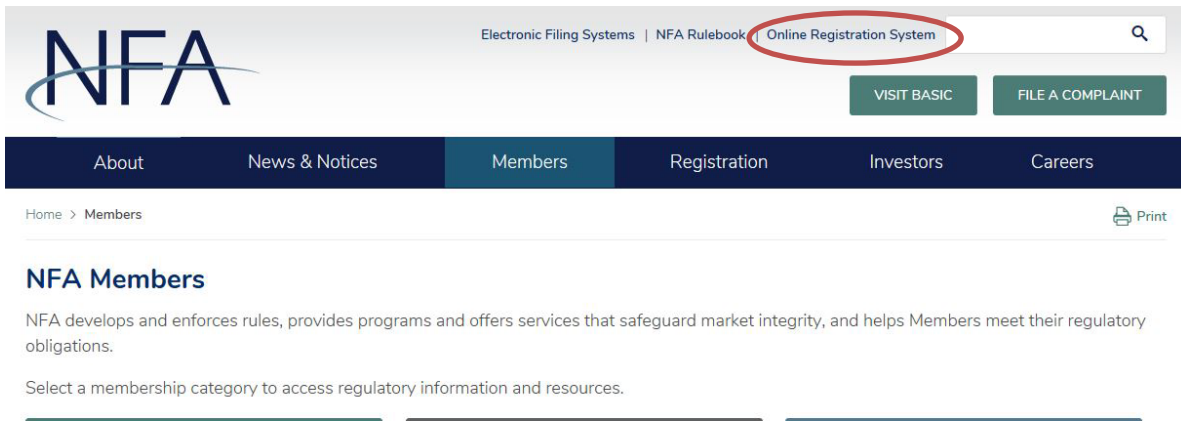
2) After signing on to ORS, you'll be directed to the NFA Dashboard. Under the Security tab in ORS, click "User Management. If you are not a Security Manager, then the Security menu will not be available.
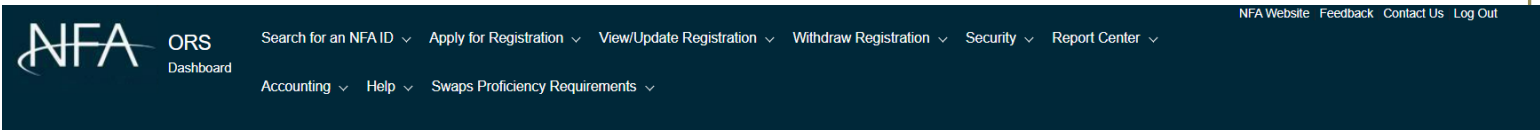
3) The User Management screen will then display with a list of your firm's users.

4) **Edit Existing User**: Click on the Edit User menu item from the top of the User Management screen. Then select the account from the User List to which you would like to give EasyFile security privileges.

5) After selecting the user you want to change, the Edit User screen will display. Look for the section labeled Application Security (EasyFile System). Choose the level of security that you want this user to have for EasyFile and click the Update button at the bottom of the screen.

There are three security options.

- "Enter and Submit" gives a user the ability to enter and submit a filing. The individual submitting the filing must comply with CFTC Regulation 1.10(d)(4) for FCM or IB Members or CFTC Regulation 4.22(h) and 4.27(e) for CPO or CTA Members as the submission of the filing is the equivalent to manually signing a hard copy. An individual submitting a filing on behalf of an SD attests by oath and affirmation that to the best of his or her knowledge and belief the information contained in the filing is true and correct.
  - FCM or IB Members: Assign the Enter and Submit security level to users ONLY if they are one of the following:

1. The sole proprietor of the firm;
2. The firm's general partner if the firm is a partnership;
3. The firm's chief executive officer (CEO) or chief financial officer (CFO) if the firm is a corporation or similar type of organization;
4. The firm's chief executive officer (CEO), chief financial officer (CFO), the manager, the managing member, or a vested member with management authority if the firm is a limited liability company, limited liability partnership or similar type of organization; or
5. The firm's approved FINRA Financial and Operations Principal (FinOp) if the firm is a registered Broker-Dealer.

- CPO or CTA Members: Assign the Enter and Submit security level to users ONLY if they are duly authorized to bind the firm.
- SD Members: Assign the Enter and Submit security level to a supervisory employee who is under the ultimate supervision of a listed principal.

- "Enter" gives a user the ability to enter information into the system, but he or she will not be able to submit the filing. This feature was designed to allow for one individual to enter the data without submitting it in order that appropriate supervisory personnel could then review the data and submit the filing.

- "None" means the user may not view, enter, or submit a filing. It is important that the Security Manager periodically review the security access granted to users to ensure it is up to date.

6) After clicking Update, the user's security is set, and that user will be able to login to EasyFile and perform the functions allowed by the level of security that they were given.

7) **Add a New User**: To add a new user, click "Add User" on the Security menu.
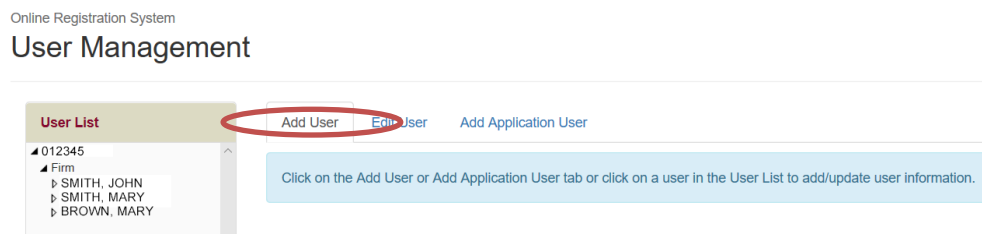
8) When the screen to enter the information for the new user is displayed, you will be able to set up the EasyFile security. When a new user is added, a User ID and password will be generated for the person. You should make note of the User ID and password so the new user will be able to login to NFA's systems.

9) **Delete a User**: To remove an existing firm user, selected the applicable user and then click the Delete button. To remove a user's EasyFile security but leave the user in the system, change the Security level to None under Security (EasyFile

System) when editing the user's profile.

Contact NFA

If you have any questions, please contact NFA's Information Center (312-781-1410 or 800-621-3570 or information@nfa.futures.org).