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Introduction

The web-based EasyFile Registration Documentation Submission System (RDSS) was designed to facilitate the 4s submission process. RDSS provides an extensive help system to assist you when completing 4s submissions. This user's guide will help you navigate RDSS.

System Requirements

- RDSS requires a currently supported version of Microsoft Edge or Firefox
- JavaScript must be enabled in your web browser
- Cookies must be enabled in your web browser
- 128 Bit Encryption
- Adobe Acrobat Reader

Getting Started

➤ Security

RDSS uses existing security protocols of NFA's [Online Registration System \(ORS\)](#). When your security manager creates a new user for your firm or edits the security of an existing user, the security manager will be able to authorize the user to both submit and enter or only enter 4s submissions for your firm (see picture below). The "Submit and Enter" security will allow a user to both enter and submit the 4s submission once complete. The "Enter" security will allow a user only to enter 4s submissions but not submit them to NFA. Users that have not been designated to enter or submit 4s submissions will be designated as "None."

New Security Options for EasyFile

Security (Easy File System)	
Type	<input checked="" type="radio"/> Submit and Enter
	<input type="radio"/> Enter
	<input type="radio"/> None

The screenshot shows the 'NFA eRegistration - Edit User' page in Microsoft Internet Explorer. The browser address bar shows the URL: <https://test.nfa.futures.org/ereg/Security/UpdateUserInfo.asp?samAccountName=01>. The page contains several form sections:

- Zip/Postal Code****: 60606
- Country***: UNITED STATES
- Contact Information**:
 - E-mail Address (Required for Security Manager): [Empty]
 - Phone Number*: [Empty]
 - Fax Number: [Empty]
- Social Security Number**: [Empty]
- Date of Birth***: July, 1945
- Security (Easy File System)**:
 - Type: Submit and Enter, Enter, None
- Statistics**:
 - Account Locked: False
 - Password Expired: False
 - Last Successful Logon: 6/21/2004 4:37:27 PM
 - Last Failed Logon: Never
 - Password Last Changed: 6/17/2004 4:51:21 PM
 - Bad Login Count: 0

Footnote: * Required to update user information.
** Required to update user information for a United States address.

Update

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Accessing RDSS

Once your Security Manager has set up your security for RDSS, you can access the application through Electronic Filings menu of NFA's main web page (see below).

Electronic Filing Systems | NFA Rulebook | Online Registration System

VISIT BASIC FILE A COMPLAINT

About News & Notices Members Registration Investors Careers

Home > Electronic Filing Systems

Electronic Filing Systems

Members should use the systems listed below to meet their regulatory filings requirements. To use NFA's electronic filing systems, firms will need to designate a [security manager](#). To ensure Members are able to access the systems, visit the [system requirements page](#).

Commodity Pool Operators (CPO)	+
Commodity Trading Advisors (CTA)	+
Futures Commissions Merchants (FCM)	+
Introducing Brokers (IB)	+
Retail Foreign Exchange Dealers (RFED) and Forex Dealer Members (FDM)	+
Swap Dealers (SD)	-

- Access [NFA's Online Registration System \(ORS\)](#) to register with the CFTC and apply for NFA membership electronically. NFA's Dashboard, the entryway to ORS, summarizes periodic filings for firms and outstanding registration filings for firms and individuals.
- Access the [Annual Questionnaire](#), which must be completed annually as part of NFA's membership renewal process.
- Designate an [Executive Representative Contact](#), who has the Member's sole authority to sign nominating petitions, receive notices of Member meetings and proxy materials, complete proxy cards, and provide voting instructions and cast votes on behalf of the Member.
- Use [EasyFile \(RDSS\)](#) to electronically file documentation required to demonstrate compliance with Section 4s Implementing Regulations.
- Access [WinJammer](#) to file risk exposure reports, notices of swap valuation disputes, Chief Compliance Officer Annual Reports and Business Continuity and Disaster Recovery Plan contact information.
- Use [EasyFile AP Statutory Disqualification Form Submission](#) to electronically file criminal and regulatory statutory disqualification forms for its associated persons (AP).
- Access [EasyFile \(Risk Data Filing\)](#) to file monthly risk data reports.
- Access [NFA's Regulatory Filing System](#) to submit regulatory documentation.
- Access the [EasyFile Margin Model Submission System](#) to submit a risk-based initial margin model (margin model), manage ongoing oversight of an approved margin model, or update a previously approved margin model.

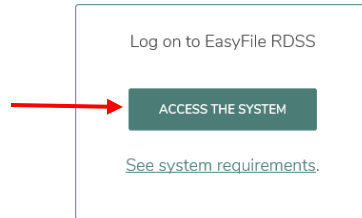
Click on the "Access the System" button.

The screenshot shows the top of the NFA website. On the left is the NFA logo. To its right are links for "Electronic Filing Systems", "NFA Rulebook", and "Online Registration System", followed by a search bar. Further right are two buttons: "VISIT BASIC" and "FILE A COMPLAINT". Below this is a dark blue navigation bar with white text links: "About", "News & Notices", "Members", "Registration", "Investors", and "Careers". At the bottom of the header, there is a breadcrumb trail: "Home > Electronic Filing Systems > EasyFile Registration Documentation Submission System (RDSS)" and a "Print" icon on the right.

EasyFile Registration Documentation Submission System (RDSS)

EasyFile Registration Documentation Submission System (RDSS) allows swap dealers (SD) to file documentation required to demonstrate compliance with Section 4s Implementing Regulations. In order to access this system, the SD's security manager(s) must [set-up EasyFile Security](#).

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval.



You will be prompted to sign on using your ORS user name and password (see [Getting Started](#)).



NFA System Login - Easy File Plus

Please log in with your username and password to access the Easy File Plus system.

The screenshot shows a login form with a light blue background. It has two input fields: "User Name" and "Password". To the right of the "User Name" field is a red asterisk followed by the word "Required". Below the input fields is a dark blue button with white text that says "Log In".

The Filing Index

The Filing Index is the main page of RDSS (see below). It is the first page you will see after signing onto the system. The Filing Index lists information about all of the filings that have been submitted to NFA by your firm and any outstanding filings that are due.

[Registration](#)
[Documentation](#)
[Submission System](#)

[Logout](#)

Filing Index

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval.

Click the Initiation Date of a filing to Open, Enter, Submit, Amend a filing.

Click here for a listing of call schedule and the corresponding rule references on Section 4s Implementing Regulations.

After completing the questionnaire (45QU), non-US firms should wait until the next day to submit any documents, as overnight the system is updated to reflect the later dates afforded under the Exemptive Order Regarding Compliance With Certain Swap Regulations and the Interpretive Guidance and Policy Statement Regarding Compliance with Certain Swap Regulations, which were published in the Federal Register on July 22, 2013 and July 26, 2013 respectively.

NFA ID :

Active
 Historical

Initiation Date	Due Date	Form Type	Form	Received Date	Version of Stmt	Status
03-31-2018	06-01-2018	4SH1	Business Conduct Standards	05-29-2018 9:41 AM	1	Received
03-31-2018	06-01-2018	4SC1	Capital	05-29-2018 9:41 AM	1	Received
03-31-2018	06-01-2018	4SE1	Margin for Uncleared Swaps	05-29-2018 9:42 AM	1	Received

The Filing Index displays the following information about each filing:

- **Initiation Date** – This is the creation date associated with your filing. Click on the "Initiation Date" to open a respective filing.
- **Due Date** – This is the date that the filing should be submitted to NFA. The due date will be the compliance date or the response due date disclosed in NFA's written communication to your firm.
- **Form** – This is the name of the 4s topic area.
- **Form Type** – This is the type of form that was filed.
- **Received Date** – This is the receipt date for a submitted filing. Filings not submitted will not have a Received Date. In the case of amended active filings, the Received Date will not change and will always be the date of the submission of the initial filing (see ["Amending a Filing"](#) for more details).
- **Version of Stmt** – This is the version number of the filing. The initial version of the filing will be 1. The version number will increase by 1 with each subsequent amendment.
- **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.
 - **Due in X days** – Indicates how many days are left to submit a required filing based on the due date.
 - **X days overdue** – Indicates that the filing is past due and should be submitted as soon as possible. An overdue filing will appear in red.
 - **Amending** – Indicates that the filing is currently being amended by your firm and has not yet been submitted to NFA.

Filings can be viewed by Active or Historical status by clicking on the applicable radio button below the firm's name. The Active status represents filings that require further action by your firm, or are under NFA review. NFA written communication regarding your firm's filing can be accessed within each respective Active filing (see ["Viewing NFA Written Communication"](#) for more details). Active filings may be amended by a firm at any time. Historical filings represent filings that do not require any further action by your firm. These filings can be viewed in a read-only format. Once an Active filing moves to Historical, you may see two Historical filings with the same Form name. The Historical filing with the older Due Date contains your firm's filing information prior to the issuance of NFA written communication. Any subsequent filing contains NFA-issued written

communication and your firm's filing information subsequent to the issuance of such communication(s).

Viewing Filings

To view a Historical or Active filing, click on the respective radio button which would populate the appropriate filings in the Filing Index. Click on the "Initiation Date" of the filing to view the respective filing.

Registration
Documentation
Submission System

Logout

Filing Index

You are accessing a system containing U.S. Commodity Futures Trading Commission records. Your usage may be monitored, recorded, and subject to audit, and, by your use, you consent to monitoring and recording. Unauthorized use of the system is prohibited and subject to criminal and civil penalties. The Commission requires that you use a complex password for accessing Commission records and that you change your password at a regular interval.

Click the Initiation Date of a filing to Open, Enter, Submit, Amend a filing.

Click here for a listing of call schedule and the corresponding rule references on Section 4s Implementing Regulations.

After completing the questionnaire (4SQU), non-US firms should wait until the next day to submit any documents, as overnight the system is updated to reflect the later dates afforded under the Exemptive Order Regarding Compliance With Certain Swap Regulations and the Interpretive Guidance and Policy Statement Regarding Compliance with Certain Swap Regulations, which were published in the Federal Register on July 22, 2013 and July 26, 2013 respectively.


NFA ID :

➔ Active Historical

Initiation Date	Due Date	Form Type	Form	Received Date	Version of Stmt	Status
03-31-2018	06-01-2018	4SH1	Business Conduct Standards	05-29-2018 9:41 AM	1	Received
03-31-2018	06-01-2018	4SC1	Capital	05-29-2018 9:41 AM	1	Received
03-31-2018	06-01-2018	4SE1	Margin for Uncleared Swaps	05-29-2018 9:42 AM	1	Received
03-31-2018	06-01-2018	4SQ1	Margin Questionnaire	05-29-2018 9:42 AM	1	Received
03-31-2018	06-01-2018	4S11	Swap Processing and Clearing	05-29-2018 9:42 AM	1	Received

Top Menu Items

Based on the filing status of a submission and the user's security settings for EasyFile, the top menu may display any of the items below.



Filing Index Submit Filing Help Logout

- **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 uploaded documents. 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 click "Submit Filing" which will then direct you to the Submission Oath (see ["Completing the Oath and Submitting a Filing"](#) for more details). Submit Filing is only displayed when an unsubmitted filing is open and the person signed in has Submit privileges.
- **Help** – Links to this current RDSS User's Guide. 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.

Uploading Filings

To upload documents within an Active filing, click on the "Initiation Date" of the respective filing in the Filing Index. After clicking the "Initiation Date", the Cover Page will display. To upload a document, click the "Browse..." button to locate and select the desired document from your computer. Once the document is located and selected, click the "Upload Document" button. This process may be repeated to upload multiple documents.

Uploading documents does not complete the submission process. When you are ready to submit the uploaded document(s), click the "Next" button.

Filing Index Submit Filing Help Logout

Registration
Documentation
Submission System

Review filing for errors

Cover Page

Logout

Cover Page - 4SJ6

03-29-2016 NFA ID :

Previous Save Next

Uploading documents does not complete the submission process. When you are ready to submit the uploaded document(s), please press the "Next" button to check for errors and continue with the submission process

Upload Documents

Select a document to attach to the filing:

Browse...

Enter details about the document:

You do not have any documents attached to this filing.

Previous Save Next

Types of Supporting Documents Accepted

The system requires a currently supported version of Microsoft Internet Explorer or Firefox and accepts any submission in the format of PDF, XLS, XLSX, DOC or DOCX. Note the capacity for each filing must not exceed 32 megabytes

Summary of Errors

After you have finished uploading your documents, click on "Next" to continue onto submitting the filing. The system will then check for errors. The following screen will display below if there are no errors. To proceed with submission, click "Submit Filing."

Registration
Documentation
Submission System

Summary of Errors and/or Warnings

No errors were found in this filing. Click on **Submit Filing** to proceed with submission. Thank you.

[Submit Filing](#)

[Back To Filing](#)

If you do not attach a document to the filing and try to submit, then the validation page will display with an error message 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 where no documents have been uploaded.



Registration
Documentation
Submission System

Summary of Errors and/or Warnings

Description	Type
You must include one or more documents in your filing.	Error

[Back To Filing](#)

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Completing the Oath and Submitting a Filing

Once documents have been uploaded into an Active filing (see ["Uploading Filings"](#)) and checked for errors (see ["Summary of Errors"](#)), the next step is to read the oath. If you agree with the oath, click the "Submit Filing" button below the oath to complete the submission process. Filings that have been submitted cannot be edited and will open in read-only format.

To cancel submitting the file, do not click the 'Submit Filing' button. Click the "Save" button and either logout or return to the Filing Index.

OATH

03-31-2018

NFA ID :

I hereby affirm that, to the best of my knowledge and belief, the information contained in this filing is accurate and complete. This affirmation also constitutes an attestation that this filing has been reviewed by a listed principal of the company identified above and that I am duly authorized to bind the filing.

Name of the individual signing this Form :

Submit Filing

After clicking the "Submit Filing" button the following confirmation will be displayed.

Business Conduct Standards

Thank you. Your filing has been successfully filed with NFA.

Filing Index

Viewing NFA Written Communication

Periodically, NFA will issue written communications specific to your firm's filing(s) solely within RDSS. NFA will not email written communications regarding your firm's filing(s). Notification to access NFA's written communication will be made via email to your firm's Chief Compliance Officer and/or Compliance Contact as provided in NFA's Online Registration System.

To view NFA's written communication on your firm's filing, you will need to access the applicable Cover Page from the Filing Index (see "[Viewing Filings](#)" and "[Uploading Filings](#)" sections). Then, click on the applicable NFA letter under "Letters from NFA."

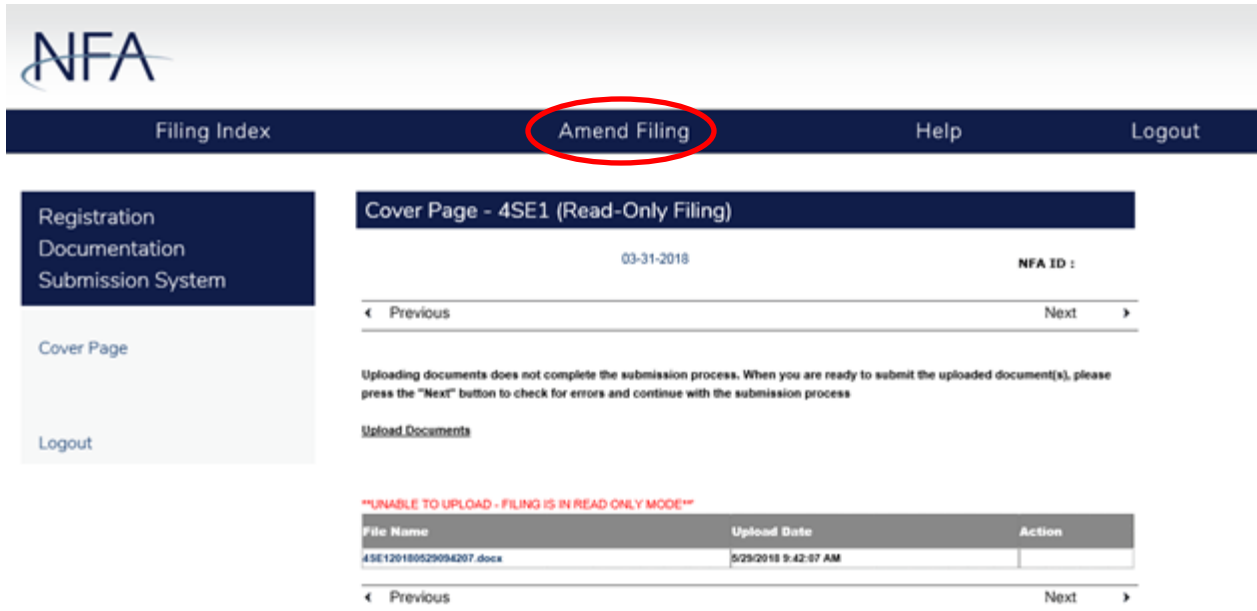
The screenshot shows the NFA Filing Index interface. At the top, there is a navigation bar with 'Filing Index', 'Help', and 'Logout'. On the left, a sidebar contains 'Registration Documentation Submission System', 'Cover Page', and 'Logout'. The main content area is titled 'Cover Page - 4SJ3 (Read-Only Filing)' and includes the date '09-05-2014' and 'NFA ID :'. Below this, there are navigation links for 'Previous' and 'Next'. A section titled 'Letter from NFA' is circled in red and contains two links: 'Click here to view your Acknowledgement Letter' and 'Click here to view your Feedback Letter'. Below this, a message states: 'Uploading documents does not complete the submission process. When you are ready to submit the uploaded document(s), please press the "Next" button to check for errors and continue with the submission process'. There is an 'Upload Documents' link. A red error message reads: '**UNABLE TO UPLOAD - FILING IS IN READ ONLY MODE**'. Below this is a table with columns 'File Name', 'Upload Date', and 'Action':

File Name	Upload Date	Action
4SJ320150218031606.pdf	2/18/2015 3:16:06 PM	
4SJ320141107024852.pdf	11/7/2014 2:48:52 PM	

At the bottom, there are 'Previous' and 'Next' navigation links.

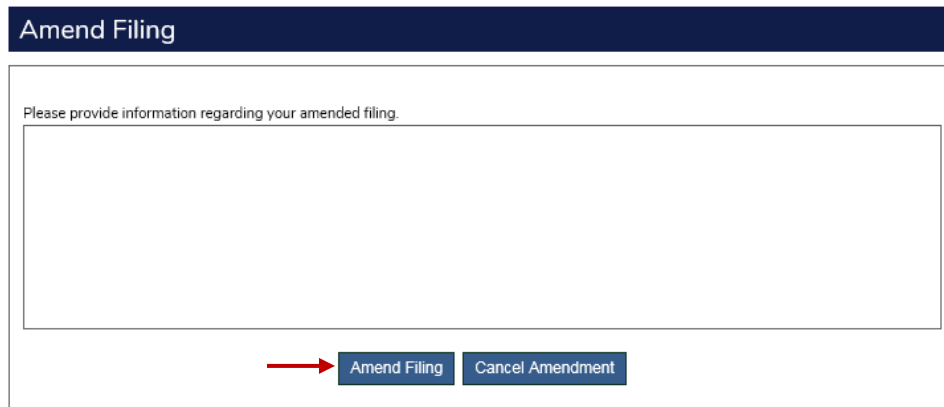
Amending a Filing

You can amend filings by uploading and submitting additional documents that may be necessary to support the filing. To amend a filing, click the applicable "Initiation Date" on the Filing Index. Then, click on the "-" button located in the Top Menu.



The screenshot shows the NFA website interface. The top navigation bar includes 'Filing Index', 'Amend Filing' (circled in red), 'Help', and 'Logout'. On the left, a sidebar contains 'Registration Documentation Submission System', 'Cover Page', and 'Logout'. The main content area is titled 'Cover Page - 4SE1 (Read-Only Filing)' and shows the date '03-31-2018' and 'NFA ID :'. Below this, there are 'Previous' and 'Next' navigation buttons. A message states: 'Uploading documents does not complete the submission process. When you are ready to submit the uploaded document(s), please press the "Next" button to check for errors and continue with the submission process'. There is an 'Upload Documents' link. A red error message reads: '**UNABLE TO UPLOAD - FILING IS IN READ ONLY MODE**'. Below this is a table with columns 'File Name', 'Upload Date', and 'Action'. The table contains one row: '4SE120180529094207.docx' with an upload date of '5/29/2018 9:42:07 AM'. 'Previous' and 'Next' navigation buttons are at the bottom of the table.

To continue the process, enter information regarding your amended filing. Please note that entering this information is required to continue amending the filing. When the information is entered, click "Amend Filing" to continue.



The screenshot shows the 'Amend Filing' form. The title 'Amend Filing' is at the top. Below the title, the text reads: 'Please provide information regarding your amended filing.' There is a large empty text input area. At the bottom of the form, there are two buttons: 'Amend Filing' and 'Cancel Amendment'. A red arrow points to the 'Amend Filing' button.

The Filing Index will be displayed and the status of the filing will be "Amending." You will then need to follow the steps outlined in ["Completing the Oath and Submitting a Filing"](#) so that your amended documents will be deemed Received.