

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

2. Is the conduct on-going?

Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

- Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions
- Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).
- Someone or some firm that should be registered under the Commodity Exchange Act, but is not.
- Disruptive or manipulative trading activity in the futures, options or swaps markets.
- The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.
- If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

- A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.
- An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.
- A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.
- A cash (or physical) contract traded in interstate commerce.
- A foreign currency transaction.
 - If a foreign currency transaction:
 - Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
 Yes No
 - Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
 Yes No