

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

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

Other

If other, please describe:

5. If applicable, what is the name of product/investment?

6. Have you suffered a monetary loss?  Yes  No

If yes, describe how much.

7. Has the individual or firm who engaged in the conduct acknowledged their fault?  Yes  No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct?  Yes  No

If yes, select the appropriate category:

Prior complaint to the CFTC.

Complaint to another regulator.

A state or federal criminal law enforcement entity.

A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).