OMB Control No.
3038-0115

Commodity Futures Trading Commission
Reparations Complaint Form

If the space provided on this form is not sufficient, attach your own supplementary sheets containing the required information. This form must be typed or printed legibly. Note: Fill out both completely.

1. COMPLAINANT'S NAME	TEL.NO. (Home)	TEL. NO (Work)	FAX NO.	EMAIL ADDRESS
ADDRESS (Street)	(City)		(State)	(ZIP)
COMPLAINANT'S NAME	TEL. NO. (Home)	TEL. NO (Work)	FAX NO.	EMAIL ADDRESS
ADDRESS (Street)	(City)		(State)	(ZIP)

2. Registered persons and/or firms you think violated the Commodity Exchange Act

RESPONDENT'S NAME	TEL. NO.	FAX NO.	EMAIL ADDRESS
ADDRESS (Street)	(City)	(State)	(ZIP)

Was this individual/firm registered with the CFTC and an NFA Member at the time of the alleged violation? YES NO

RESPONDENT'S NAME	TEL. NO.	FAX NO.	EMAIL ADDRESS
ADDRESS (Street)	(City)	(State)	(ZIP)

Was this individual/firm registered with the CFTC and an NFA Member at the time of the alleged violation? YES NO

RESPONDENT'S NAME	TEL. NO.	FAX NO.	EMAIL ADDRESS
ADDRESS (Street)	(City)	(State)	(ZIP)

Was this individual/firm registered with the CFTC and an NFA Member at the time of the alleged violation? YES NO

3. If known, cite the specific portions of the Act, rules or regulations violated:

4. Description of complaint. Describe in detail, giving names, dates and the facts which will show how the Commodity Exchange Act was violated and how you were injured by that violation. You must set forth this information on supplementary sheets which you must attach to this complaint form.

5. Amount of damages claimed. You must include an explanation of how you calculated the damages you have claimed.

6. Have you brought another action based on the same set of facts in an arbitration forum or civil court? YES NO

7. If yes, has the case been decided? YES NO

8. To your knowledge, are any of the respondents you named the subject of an ongoing receivership or bankruptcy proceedings? YES NO

YOU MUST ALSO COMPLETE THE BACK OF THIS FORM

Important: You must enclose the total amount of the filing fee for the type of decisional procedure you select or your complaint will not be processed. Please indicate the procedure you select and enclose a check or money order made payable to the Commodity Futures Trading Commission in the total amount. The filing fee must accompany your complaint. (See attached Notice to Customers Making Payment by Check) **Under no circumstances will the filing fee be refunded. CHECK ONE:**

____ **$50 Voluntary Decisional Procedure**. This procedure entitles you, if the respondents agree, to present your case in written form before a CFTC decisional official. A final decision will be issued without explanation of the reasons. By electing this procedure, you will waive your right to appeal as well as prejudgment interest and costs. Post-judgment interest may be awarded if you prevail.

____ **$125 Summary Decisional Procedure**. If your claim is $30,000 or less, it can be heard by a CFTC decisional official. You may present your case in written form, and if deemed necessary by the CFTC decisional official, orally, in Washington, or by telephone under this procedure. The CFTC decisional official will issue brief statements of factual findings and conclusions based on law which are appealable first to the Commission and from there to a U.S. Court of Appeals. Prejudgment and post-judgment interest may be awarded if you prevail.

____ **$250 Formal Decisional Procedure**. If your claim is over $30,000, it can be assigned to a CFTC decisional official for a formal hearing. You may present your case in written form. If oral testimony is deemed necessary by the CFTC decisional official, you may be required to travel up to 300 miles to attend the hearing. The CFTC decisional official will issue findings of fact and conclusions of law which are appealable first to the Commission and from there to a U.S. Court of appeals. Prejudgment and post-judgment interest may be awarded if you prevail.

NOTICE: Filing fees, once paid to the Commodity Futures Trading Commission, are not refundable. Verify that the person or persons named in the complaint were registered with the CFTC and were an NFA Member at this time of the alleged offense. Call (202) 418-5506 for registration information. If individuals named in the complaint were registered, send the complaint form and check for the filing fee made payable to the Commodity Futures Trading Commission to: Proceedings Clerk, 1155 21st Street, N.W., Washington, D.C. 20581.

VERIFICATION

I hereby swear or affirm (under penalty of law) that the facts set forth in this complaint are known to be true or, based on my best information, are believed to be true. To the extent that any facts are believed, instead of known, to be true, the information upon which I formed that belief is set forth as follows (attach detailed, specific information on a supplementary sheet):

Each complainant must sign:

_____

Complainant's signature Date

_____

Complainant's signature Date

_____

Notary Date

NOTICE: Reporting burden for this collection of information is estimated to average 1.5 hours per response. Send comments regarding this burden estimate or another aspect of this collection of information to Agency Clearance Officer, Office of General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581; or to the OMB Office of Information and Regulatory Affairs, Attn: CFTC Desk Officer, Washington, DC 20503. Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subjected to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number. For this collection, OMB has issued control number 3038-0115.

PRIVACY ACT NOTICE: The Commission's authority for soliciting this information is granted in 7 U.S.C. § 18 and Part 12 of the Commission's regulations. The information on this form is primarily used by the Commission's Office of Proceedings to determine if the complaint is sufficiently complete for further processing and to initiate and move forward a reparations proceeding. Information contained in the form and complaint may be used by the Commission during any and all phases of a reparations case including, but not limited to, discovery, litigation, appeals and in written opinions and orders. Information provided may be made public in accordance with provisions of the CEA and other applicable laws. Under "open government" principles and rules, the Commission generally posts final reparations and appellate decisions to its public website, which may result in the decisions being captured and displayed through Internet search engines. The information may also be disclosed to other government agencies or CFTC divisions, for example the Division of Enforcement, to meet their responsibilities assigned to them by law. It will be maintained and additional disclosures may be made in accordance with CFTC System of Records Notices, e.g., CFTC-3, Docket Files for Reparations and Administrative Adjudication and CFTC-29, Reparations Cases Closed in the Complaints Section, available on http://www.cftc.gov/Transparency/PrivacyOffice/SORN/index.htm. If you do not provide the requested information, the Office of Proceedings may not be able to process your complaint.