The U.S. Commodity Futures Trading Commission (CFTC), celebrating its 40 year anniversary in 2015, is the federal government agency that regulates the commodity futures, commodity options, and swaps trading markets.

To help fight fraud, Congress established the CFTC Customer Protection Fund in 2010 and the agency created the Office of Consumer Outreach in 2011.

CONTACT US
Report Suspected Fraud or Suspicious Activity
866-FON-CFTC (866-366-2382)
SmartCheck.gov/Report

Check the Background of Financial Professionals
SmartCheck.gov

U.S. COMMODITY FUTURES TRADING COMMISSION
1155 21st Street, NW
Washington, DC 20581
866.366.2382 (Consumer Hotline)
202.418.5514 (TTY)
consumers@cftc.gov
www.cftc.gov/consumerprotection
FOSTERING OPEN AND FINANCIALLY SOUND MARKETS

**Regulation of Markets**
- The CFTC assures the economic utility of the futures, swaps, and options markets by encouraging their competitiveness and efficiency, protecting market participants against fraud, manipulation, and abusive trading practices, and by ensuring the financial integrity of the clearing process.
- The CFTC conducts daily market surveillance. In an emergency, the CFTC can order an exchange to take specific action or to restore orderliness in any futures contract being traded.

**Regulation of Futures Professionals**
- Companies and individuals who handle customer funds or give trading advice must apply for registration through the National Futures Association, a self-regulatory organization approved by the CFTC.
- The CFTC seeks to protect customers by requiring that:
  - Market risks and past performance are disclosed to prospective customers
  - Customer funds are kept in accounts separate from the firm’s funds for its own use
  - Customer accounts are adjusted to reflect each trading day’s current market value at close
  - The CFTC monitors registrant supervision systems, internal controls, and sales practice compliance programs.
  - The CFTC Division of Enforcement pursues enforcement actions against violators of the Commodity Exchange Act and CFTC regulations.

PROTECTING AND EDUCATING CONSUMERS

**The CFTC Customer Protection Fund (Fund)**
- The Fund consists entirely of monetary sanctions the CFTC levies and collects in enforcement actions.
- No taxpayer money is included in the Fund.
- The CFTC uses the Fund to administer a Whistleblower Office and to conduct consumer education initiatives.
- The Fund allows the CFTC to maintain a permanent staff that solely focuses on anti-fraud educational and social marketing efforts.

**The Office of Consumer Outreach (OCO)**
- The OCO was established in 2011 to administer the CFTC’s consumer education initiatives.
- The OCO created CFTC SmartCheck, the cutting edge anti-fraud campaign based on social marketing principles. The campaign features an interactive website, SmartCheck.gov, where consumers can check the background of financial professionals.
- The OCO is actively involved with ongoing federal financial literacy efforts, including participating as a member of the Financial Literacy and Education Commission.
- The OCO collaborates with entities such as state banking, insurance, and securities regulators, as well as self-regulatory organizations for financial markets, and consumer organizations in anti-fraud efforts.