



U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
www.cftc.gov

COMPLAINANT'S CHECKLIST

Office of Proceedings

Before you file your reparations complaint, please complete this checklist to ensure that your filing is complete.

- _____ Has the two-year statute of limitations clearly expired?
- _____ Were the named respondents registered at the time of the alleged violations?
- _____ Is the subject matter clearly within the jurisdiction of the reparations program?
- _____ Have you listed the name, address, and telephone number, if known, of each individual/firm alleged in the complaint to have violated the Act or any rule, regulation or order thereunder?
- _____ Have you provided a complete description of your case, including but not limited to: a complete chronological account of the specific acts of which you complain; the names of persons who committed each act; the date and place of each act; and the manner in which these acts caused you to be injured?
- _____ Have you explained the amount of damages you are claiming and the method by which those damages have been computed?
- _____ Have you attached supporting documents such as account statements, account opening documents, etc.
- _____ Have you included a statement indicating whether an arbitration proceeding or civil court litigation has ever been filed which is based on the same set of facts, and involves any party named as a respondent in the complaint?
- _____ Have you included a statement indicating whether any of the respondents is the subject of pending receivership or bankruptcy proceedings?
- _____ Have you made an election of the Voluntary, Summary, or Formal decisional procedure?
- _____ Have you included a filing fee with the complaint in the correct amount?
See Notice to Customers Making Payment by Check.
- _____ (1) Voluntary Decisional Procedure: \$50.00
- _____ (2) Summary Decisional Procedure: \$125.00
- _____ (3) Formal Decisional Procedure: \$250.00
- _____ Have you and each other complainant personally signed the complaint?