

NFA Customer Complaint Form



We strongly encourage investors to file their complaint using NFA's online File A Complaint Form at www.nfa.futures.org/basicnet/Complaint.aspx. Filing online is the most effective way for us to receive your complaint.

Another option for filing your complaint is to complete this printable complaint form and fax or mail it to us at the address noted at the end of the form.

If you have submitted your complaint online, please do not send duplicate copies by mail or fax, as this will only delay the time it takes us to respond to your complaint.

DESCRIBE YOUR COMPLAINT

1. Product(s) Involved: *

☐ **Futures and Options on Futures**

Futures Contract: An agreement to purchase or sell a commodity for delivery in the future: (1) at a price that is determined at initiation of the contract; (2) that obligates each party to the contract to fulfill the contract at the specified price; (3) that is used to assume or shift price risk; and (4) that may be satisfied by delivery or offset.

Options Contract: A contract that gives the buyer the right, but not the obligation, to buy or sell a specified quantity of a commodity or other instrument at a specific price within a specified period of time, regardless of the market price of that instrument.

☐ **Foreign Currency (Forex)**

Foreign Currency (Forex): Retail forex transactions are leveraged off-exchange foreign currency transactions where one party is a customer. The term "forex" does not include transactions that result in actual delivery within two days or that create an enforceable obligation to deliver between parties who are capable of making and taking delivery for business purposes.

☐ **Swaps**

Swap: The statutory definition of "swap" is detailed and comprehensive, though certain agreements, contracts, and transactions are excluded from the definition. It includes, for example, interest rate swaps, commodity swaps, currency swaps, equity swaps and credit default swaps. Congress directed both the Commodity Futures Trading Commission and the Securities and Exchange Commission to further define the term "swap" (and security-based swap) jointly. The Commissions in 2012 adopted rules and interpretations to clarify that a few types of transactions in particular are swaps. These include foreign currency options, commodity options, non-deliverable forwards in foreign exchange, cross-currency swaps, forward rate agreements, contracts for differences, options to enter into swaps and forward swaps. See [7 U.S.C. §1a\(47\)](#) and [17 C.F.R. 1.3](#).

☐ **Security Futures Products**

Security Futures: A contract for the sale or future delivery of a single security or of a narrow-based security index. See [7 USC 1a\(31\)](#) and [7 USC 1a\(44\)](#). Security Futures Products do not include broad-based indices such as the S&P 500 or Dow.

☐ **Binary Options**

A binary option is a type of options contract in which the payout will depend entirely on the outcome of a yes/no proposition.

- Refer to the following link for information regarding Binary Options fraud:
<http://www.cftc.gov/ConsumerProtection/FraudAwarenessPrevention/CFTCFraudAdvisories/fraudadvbinaryoptions>

☐ **Precious Metals**

Refers to engaging in an off-exchange transaction involving physical precious metals (i.e., gold, silver, platinum, palladium, etc.).

- Please be advised that the product you have selected does not fall within the jurisdiction of NFA. Refer to the following link to file a complaint with the Commodity Futures Trading Commission (CFTC):
<http://www.cftc.gov/ConsumerProtection/FileaTiporComplaint/index.htm#WBRBox>

☐ **Securities**

Generally, a transferable instrument representing an ownership interest in a corporation (equity security or stock) or the debt of a corporation, municipality, or sovereign. Other forms of debt such as mortgages can be converted into securities. Certain derivatives on securities (e.g., options on equity securities and security based swaps) are also considered securities for the purposes of the securities laws.

- Please be advised that the product you have selected does not fall within the jurisdiction of NFA. Refer to the following links to file a complaint with US Securities Exchange Commission (SEC) or FINRA: <https://www.sec.gov/complaint/select.shtml> AND <http://www.finra.org/investors/investor-complaint-center>

☐ **Other**

Describe below.

2. Firm Information: *

NFA ID			
NAME			
ADDRESS			
Street			
City			
State		Zip Code	
COUNTRY			
PHONE NUMBER			
EMAIL ADDRESS			
WEBSITE			
This party was contacted about the complaint <input type="radio"/> Yes <input type="radio"/> No			

3. Individual(s) dealt with:

NFA ID	
NAME	
PHONE NUMBER	
EMAIL ADDRESS	
This party was contacted about the complaint <input type="radio"/> Yes <input type="radio"/> No	

4. Allegation(s): *

- ☐ Fraud or Theft
- ☐ Unable to Withdraw Funds
- ☐ Unauthorized Trading
- ☐ General Trading Practices or Account Mishandling
- ☐ Misleading or High Pressure Sales Solicitation
- ☐ Misleading Promotional Material
- ☐ Unregistered Firm or Individual
- ☐ Other

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5. Provide a detailed summary of complaint or suspicious business practices: *

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6. Amount in dispute:

Filing this complaint will not provide you with any monetary relief. However, if you are interested in attempting to recover your investment, you can obtain information about [NFA's Arbitration Program](#).

7. Type of account: *

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Self-Directed (Non-Discretionary)

Help Text: You have not authorized anyone in writing to place trades in your account.

i.	List the futures commission merchant (FCM)/forex dealer member (FDM)/ retail foreign exchange dealer (RFED) that holds your funds. Enter the firm's full name as it appears on the top of your trading account statement.

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Managed (Discretionary)

Help Text: Your broker or a third party had your written authorization to place trades in your account.

i.	Enter the name of the broker or third party who managed your account:
ii.	List the futures commission merchant (FCM)/forex dealer member (FDM)/ retail foreign exchange dealer (RFED) that holds your funds. Enter the firm's full name as it appears on the top of your trading account statement:

☐**Pooled Investment Vehicle (Commodity Pool)**

Help Text: An entity in which funds contributed by a number of persons are combined for the purpose of trading futures contracts, options on futures, retail off-exchange foreign currency contracts or swaps, either directly or through another commodity pool.

i.	Name of pool:	
	Enter the pool's full name as it appears on your account statement.	

8. Other parties contacted about this complaint:

- ☐ Commodity Futures Trading Commission (CFTC)
- ☐ Securities Exchange Commission (SEC)
- ☐ Financial Industry Regulatory Authority (FINRA)
- ☐ Exchange (describe):
- ☐ Federal Bureau of Investigation
- ☐ State Regulator (describe):
- ☐ Other (describe):

Contact Information: *

☐ I want to remain anonymous

Name *			
Phone Number *			
Email Address			
Address			
Street			
City			
State		Zip Code	
Country *			
Are you currently an NFA Member? * <input type="radio"/> Yes <input type="radio"/> No			
<small>(If Yes, please describe)</small>			
Have you ever been an NFA Member? * <input type="radio"/> Yes <input type="radio"/> No			
<small>(If Yes, please describe)</small>			

Please print the completed form and mail or fax it to:

National Futures Association
Compliance Department - Customer Complaints
300 South Riverside Plaza, Suite 1800
Chicago, IL 60606
Fax: 312-559-3599

If you are interested in attempting to recover your investment and would like more information about NFA's Arbitration program, please visit the Arbitration and Mediation section of NFA's website (www.nfa.futures.org/NFA-arbitration-mediation/index.HTML).

*** Required Field**

NFA is the premier independent provider of efficient and innovative regulatory programs that safeguard the integrity of the futures markets.