

DO YOU KNOW WHAT IT TAKES TO HELP STOP FRAUDSTERS?

Every year tips from individual investors help the CFTC to identify and stop fraudulent financial schemes. **Here's what it takes—and the difference you could make.**



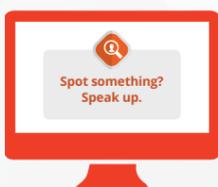
GOOD INSTINCTS

You know when something sounds suspicious and want to **help others avoid the scheme.**



THINKING BIG PICTURE

You understand that **reducing fraud is good for the markets and all investors.**



QUICK ACTION

You use the easy reporting tools on **SmartCheck.gov** to file a tip or complaint.



COOPERATION

You give details, documentation or a statement, as needed, realizing that **not every tip becomes a case, and not everyone reported is prosecuted.**



PATIENCE

You understand that it **takes time for the wheels of justice to turn.**



POWER

With your tip, you not only help justice to be served, but assist the CFTC in fulfilling its **mission to keep markets safe and fair for all.**

POTENTIAL ENFORCEMENT OUTCOMES



Initial review of tip or complaint...

LACK OF EVIDENCE
Closed

SOLID CASE
CFTC investigation is opened

OUTSIDE CFTC JURISDICTION
Referred to local or federal agency

CASE IS FILED DIRECTLY WITH CFTC OR IN FEDERAL DISTRICT COURT

- Fraudster pays fine
- Violation goes on his/her record
- Fraudster's assets may be seized immediately for victim reparations
- Charge listed in public record

POSSIBLE CFTC/COURT RULINGS...

- Fraudster liable for investor losses
- Fraudster ordered to pay fine to the CFTC
- Fraudster banned from trading

POSSIBLE REWARDS...

- Restitution of investor losses if fraudster assets were seized
- Monetary reward for tips provided through the CFTC Whistleblower program

There's smart. And then there's

