

# 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.**



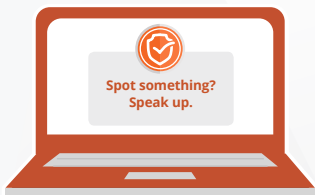
## GOOD INSTINCTS

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

