

TCR Number: (b)(3);7 U.S.C. §26(h)(2)(A) (CEA)

CONFIDENTIAL

Submission Received: (b)(3);7 U.S.C. §26(h)(2)(A) (CEA)

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

Please refer to the attached Privacy Act Statement, Submission Procedures and Completion Instructions as needed to help you complete this form.

A. TELL US ABOUT YOURSELF

COMPLAINANT 1:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.

3. Name
BFXNA Inc

4. Street Address
12 Harcourt Rd

5. Apartment/Unit #
Bank of America Tower, Room
1308, 13/F

6. City
Hong Kong

7. State/Province
Central

8. ZIP/Postal Code

9. Country
Hong Kong

10. Telephone

11. E-mail Address
stu@bitfinex.com

12. Internet Address
www.bitfinex.com

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14a. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6);
(b)(7)(C)

14b. If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15a. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15b. If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):
08/02/2016

2. Is the conduct on-going?
Yes No Don't Know

3a. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

3b. If your complaint does not fit into any of the above-described categories please describe below.

4a. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce?

A foreign currency transaction.

- If a foreign currency transaction:

o 4b. Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No

o 4c. Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty,

or someone acting in concert with the offeror or counterparty.

- If checked:

- o 4d. Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o 4e. Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

4f. If other, please describe:

This company is a Bitcoin "currency" exchange, which permits leveraged trading, and peer-to-peer lending for providing margin liquidity. I believe the CFTC is already familiar with this company and had previously fined them. Additionally, the company allows trading of debt instruments which they created following their illegal seizure of client's funds.

5. If applicable, what is the name of product/investment?

Bitfinex Margin funding, "BFX tokens"

6a. Have you suffered a monetary loss? (b)(3):7 U.S.C. § 26(h)(2)(A) (CEA)

6b. If yes, describe how much.

(b)(3):7 U.S.C. § 26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8a. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

8b. If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

8c. Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court)

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

This is largely public info. Bitfinex website, and reddit/r/bitcoinmarkets are good sources (their agents communicate there for public "outreach")

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

3a. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? Yes No

3b. If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4a. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

4b. If "Yes," please provide details.

4c. If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.

5a. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

5b. If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

5c. If "Yes," please provide details including the date you took the action(s).

6a. Have you taken any other action regarding your complaint? Yes No

6b. If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

8. May the CFTC have your consent to share your identifying information with other governmental authorities? Yes No

Other governmental authorities may include: The Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate state department or agency; or a foreign governmental authority.

As a whistleblower, you have confidentiality protections and we may only reveal your identity under certain conditions, including with your consent, as enumerated in 17 C.F.R. § 165.4.

You may choose not to consent. If you do not consent, we will maintain your identity as confidential as required by 17 C.F.R. § 165.4.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization; a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization, or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. WHISTLEBLOWER’S DECLARATION

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower’s valid, unexpired government issued identification (e.g., driver’s license, passport) and will retain an original, signed copy of this form, with Section F signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower’s non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Check this box to agree with the declaration above.

Date

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Act Statement and the privacy policy for www.cftc.gov.

FILES UPLOADED

N/A

Privacy Act Statement

This notice is given under the Privacy Act of 1974. The Privacy Act requires that the Commodity Futures Trading Commission (CFTC) inform individuals of the following when asking for information. The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S.C. § 1 *et seq.* This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and CFTC's regulations. This information may be disclosed to federal, state, local or foreign agencies or other authorities responsible for investigating, prosecuting, enforcing or implementing laws, rules or regulations implicated by the information consistent with the confidentiality requirements set forth in Section 23 of the Commodity Exchange Act and Part 165 of the CFTC's regulations. The information will be maintained and additional disclosures may be made in accordance with System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files." Furnishing the information is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration.

Questions concerning this form may be directed to: Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

Submission Procedures

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the web portal found on the CFTC's website at <http://www.cftc.gov>. You may also print this form and submit it by mail to: Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. However, in order to receive a whistleblower award, you will need to be identified to CFTC staff for a final eligibility determination, and in unusual

circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an e-mail address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the whistleblower.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).

- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14a: Indicate if you are or were associated with the individual or firm when the alleged conduct occurred?

Question 14b: If the answer to Question 14a is yes, describe how you are or were associated with the individual or firm you are complaining about.

Question 15a: Indicate what the initial form of contact between you and the person against whom you are filing this complaint.

Question 15b: If the answer to question 15a is "Other", please provide details.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Indicate whether this conduct is on-going

Question 3a: Choose the following option that you believe best describes your complaint. If you are alleging more than one violation, please list all that you believe may apply.

- Fraudulent representations that persuaded you to trade futures, options, swaps, forex, or leveraged transactions
- Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you

deposited to pay off someone else or you have asked for the return of your funds and have been refused).

- Someone or some firm that should be registered under the Commodity Exchange Act, but is not.
- Disruptive or manipulative trading activity in the futures, options or swaps markets.
- The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.
- Complaint does not fit into any of the above-described categories.

Question 3b: If your complaint does not fit into any of the above-described categories please describe below.

Question 4a: Choose the following option that you believe best describes the type of financial product or investment at issue, if applicable:

- A futures contract, including a single stock futures contract, a narrow based or broad based security future contract;
- An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities;
- A swap, including a mixed swap, BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities;
- A cash (or physical) contract traded in interstate commerce;
- A foreign currency transaction;
- A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty;
- Other

Question 4b: If "A foreign currency transaction" is selected, state whether you or an individual trades or invests more than \$10,000,000 on a discretionary basis.

Question 4c: If "A foreign currency transaction" is selected, state whether you are individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability.

- Question 4d: If "A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty" is selected, state whether you are an individual that trades or invests more than \$10,000,000 on a discretionary basis.
- Question 4f: If "A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty" is selected, state whether you are an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability.
- Question 4g: If "Other" is selected, please provide details.
- Question 5: Provide the name of the financial product or investment, if applicable.
- Question 6a: State whether you suffered a monetary loss.
- Question 6b: If the answer to Question 6a is yes, state how much.
- Question 7: State whether the individual or firm who engaged in the conduct acknowledged their fault.
- Question 8a: State whether you or anyone else has taken action against the firm or person who engaged in the alleged conduct.
- Question 8b: If the answer to Question 8a is yes, indicate whether you or someone else complained to the CFTC, another regulator, a law enforcement agency, or initiated legal action in the court of law.
- Question 8c: If the answer to Question 8a is yes, provide details, including the date on which you (or someone else) took the action(s) described, the name of the person or entity to whom you (or someone else) directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number, and forum of any legal action you have taken.
- Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.
- Question 10: Describe all supporting materials in your possession, custody or control, and the availability and location of additional supporting materials not in your possession, custody or control.

Section E: Whistleblower Program

- Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.
- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3a: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
- Question 3b: If the answer to Question 3a is yes, identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4a: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any agency or organization has requested the information or related information from you.
- Question 4b: If the answer to Question 4a is yes, provide details.
- Question 4c: If the answer to Question 4a is "yes", provide the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5a: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
- Question 5b: If the answer to Question 5a is yes, state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations.
- Question 5c: If the answer to Question 5b is yes, provide details including the date you took the action(s).
- Question 6a: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization; or initiated legal action, mediation, arbitration, or any other action.
- Question 6b: If you answered yes to Question 6a, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or

complaint, and contact information for the person or entity, if known, and the complete case name, case number, and forum of any legal action you have taken.

Question 7: Provide any additional information you think may be relevant.

Question 8: State whether you chose to share your identifying information with government authorities. Other governmental authorities may include: The Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate state department or agency; or a foreign governmental authority. As a whistleblower, you have confidentiality protections and we may only reveal your identity under certain conditions, including with your consent, as enumerated in 17 C.F.R. § 165.4. You may choose not to consent. If you do not consent, we will maintain your identity as confidential as required by 17 C.F.R. § 165.4.

Section F: Whistleblower Eligibility Requirements and Other Information

Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization; a law enforcement organization; or a foreign regulatory authority or law enforcement organization.

Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.

Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory

organization, or (iii) in connection with an investigation by the Congress, or any other federal or state authority.

Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.

Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.

Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records. If you are not submitting your information pursuant to the CFTC whistleblower program, you do not need to sign this Declaration or check the box.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581

OMB APPROVAL
OMB Number: 3038-0082

FORM TCR
TIP, COMPLAINT OR REFERRAL

See attached Submission Procedures and Completion Instructions Below.

A. TELL US ABOUT YOURSELF

COMPLAINANT 1:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

B. YOUR ATTORNEY'S INFORMATION (If Applicable – See Instructions)

1. Attorney's Name

2. Firm Name

3. Street Address

4. City
5. State/Province
6. ZIP/Postal Code
7. Country

8. Telephone
9. Fax
10. E-mail Address

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
Bitfinex as well trader(s) there-in

3. Name
Bitfinex / Potentially Unknown trader(s)

4. Street Address 5. Apartment/Unit #

6. City 7. State/Province 8. ZIP/Postal Code 9. Country

10. Telephone 11. E-mail Address 12. Internet Address
<https://www.bitfinex.com/>

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

2. Is the conduct on-going?

Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

I read a blog post outlining a possible spoofing/wash trading of cryptocurrency on the bitfinex exchange, and a possible lack of oversight by bitfinex

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No

o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:
 - o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
 - Yes No
 - o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
 - Yes No

Other

If other, please describe:

I am not sure what bitcoin qualifies as but I have been told that you guys regulate it. So I am not sure if it is cash (or physical) contract traded in interstate commerce or A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty. Or just magical internet money that makes no sense to anyone but seems to keep going up in price for unknown reasons (Speculation: possibly because it lets people buy illegal but perhaps fun and potentially life destroying chemicals from each in a way they perceive to be anonymous but which in fact is the total opposite and records every time a transaction occurs in a way that will never be erased. that's pure conjecture and a joke.)

5. If applicable, what is the name of product/investment?
Bitcoin / other cryptocurrencies listed on the bitfinex exchange.

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how much.
(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

I read (i did not write do I know who wrote) a blog post that lays out a potentially pretty blatant case of spoofing / wash trading if true on the bitfinex exchange, which also shows signs of spreading to other exchanges according to the post. <https://medium.com/@bitfinexed/meet-spoofy-how-a-single-entity-dominates-the-price-of-bitcoin-39c711d28eb4> Again I did not write the post just passing it along.

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

I don't have any please read the blog post. I'll attach a printed out pdf copy of the blog post.

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

Originally I read the post on a news aggregation website called <https://news.ycombinator.com> this was the link to the story on that platform <https://news.ycombinator.com/item?id=14934874>

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

I don't believe there are any outside of obviously this form and receipts / correspondences that will in the future potentially result.

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details.

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s).

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

I saw a blog post, seems to outline a potential violation of Dodd-Frank. Figured I would pass it along to guys in case you weren't aware of it. I am guessing you have already received 10 trillion complaints about it, but just in case you haven't.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER’S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC’s regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC’s whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual’s eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC’s regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6);
(b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C.
§26(h)(2)(A) (CEA);

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Check this box to agree with the declaration above.

Date

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

You have successfully uploaded the following 1 file:

meet-spoofy-how-a-single-entity-dominates-the-price-of-bitcoin-39c711d28eb4.pdf

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter. If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.

Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you. If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.

Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor. If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.

Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action. If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

TCR Number: (b)(3);7 U.S.C. §26(h)(2)(A)

CONFIDENTIAL

Submission Received: (b)(3);7 U.S.C. §26(h)(2)(A) (CEA)

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

See attached Submission Procedures and Completion Instructions Below.

**A. TELL US ABOUT YOURSELF
COMPLAINANT 1:**

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

[Redacted area for Complainant 1 information]

The Commission and its staff are not responsible for the accuracy or completeness of the information provided in this form. The Commission and its staff are not responsible for the accuracy or completeness of the information provided in this form.

This form is provided for informational purposes only. It is not intended to be used for legal or financial advice. The Commission and its staff are not responsible for the accuracy or completeness of the information provided in this form.

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.

3. Name
BFXNA/BFXWW Inc. d/b/a Bitfinex (Bitfinex)

4. Street Address 5. Apartment/Unit #

6. City 7. State/Province 8. ZIP/Postal Code 9. Country
BVI

10. Telephone 11. E-mail Address
info@bitfinex.com 12. Internet Address
http://www.bitfinex.com

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):
07/22/2017

2. Is the conduct on-going?
Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No

o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

If other, please describe:

5. If applicable, what is the name of product/investment?
Bitcoin

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details.
SEC Whistleblower report on Bitfinex

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.
No contact from SEC.

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s).

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.
See attached documentation.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER’S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC’s regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC’s whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual’s eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC’s regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Check this box to agree with the declaration above.

Date

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

You have successfully uploaded the following 2 files:

- Meet 'Spoofy'.pdf
- Bitfinex Information.pdf

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

TCR Number: (b)(3):7 U.S.C.
§26(h)(2)(A)

CONFIDENTIAL

Submission Received: (b)(3):7 U.S.C.
§26(h)(2)(A) (CEA)

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

See attached Submission Procedures and Completion Instructions Below.

**A. TELL US ABOUT YOURSELF
COMPLAINANT 1:**

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

The Commission and its staff are not responsible for the accuracy or completeness of the information provided by you or any other person. The Commission and its staff are not responsible for the accuracy or completeness of the information provided by you or any other person.

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**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
"Tether Limited", Corporation

3. Name
TETIER LIMITED

4. Street Address 5. Apartment/Unit #
1308 BANK OF AMERICA TOWER, 12 HARC

6. City 7. State/Province 8. ZIP/Postal Code 9. Country
HONG KONG HONG KONG

10. Telephone 11. E-mail Address 12. Internet Address

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

09/01/2016

2. Is the conduct on-going?

Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

- Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?

Yes No

- Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?

Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

If other, please describe:

5. If applicable, what is the name of product/investment?
Tether

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).
Michael Frisch has asked me to fine a TCR specifying Tether.

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

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Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (h)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

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I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

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Print Name of Attorney and Law Firm, if Applicable

Check this box to agree with the declaration above.

Date

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

You have successfully uploaded the following 7 files:

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- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney’s Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney’s name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual’s profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

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Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

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Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

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Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
- If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.
- If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
- If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.
- Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.
- If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.
- Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.

Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.

Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.

Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.

Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.

Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

TCR Number: (b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

CONFIDENTIAL

Submission Received: (b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

See attached Submission Procedures and Completion Instructions Below.

**A. TELL US ABOUT YOURSELF
COMPLAINANT 1:**

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

[Redacted area for Complainant 1 information]

B. YOUR ATTORNEY'S INFORMATION (If Applicable – See Instructions)

1. Attorney's Name

2. Firm Name

3. Street Address

4. City
5. State/Province
6. ZIP/Postal Code
7. Country

8. Telephone
9. Fax
10. E-mail Address

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.

3. Name
Noble Bank International

4. Street Address 5. Apartment/Unit #
30 Vesey Street

6. City 7. State/Province 8. ZIP/Postal Code 9. Country
New York NY 10007 US

10. Telephone 11. E-mail Address 12. Internet Address

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6);
(b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

07/31/2018

2. Is the conduct on-going?

Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

- Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?

Yes No

- Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?

Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

5. If applicable, what is the name of product/investment?
Bitcoin, Ethereum, litecoin and tether

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Noble Bank is helping Bitfinex and JUMP Trading with creation of Tether which is then distributed in different exchanges via third party (potentially other traders or parties related to JUMP). They are breaching regulatory reporting requirements when it comes to handling Bitfinex's dollar account (regulatory issue). Tether is not a typical Crypto currency because it is backed by USD (dollar peg) its fine if you are a country to peg your currency but those dollars are deposited with Federal Reserve and we have a way to track any suspicious transaction. Bitfinex is acting like a central bank printing their own money pegging it with USD then circulating into the world. Also, when Tether is released in the market Bad players can convert their Bitcoins into Tether and take delivery into various Fiat currencies. There is no way to track any transactions and expose who is behind it due to the anonymous nature of Block chain technology (Criminal aspect). Also, they are booking trades without any rates so tax liability can be avoided (Taxation). Phill Potter from Bitfinex was confirming Crypto transactions with Jump trading that seem out of ordinary.

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? Yes No

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details.

FBI, SEC, Fincen

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.

FBI, SEC, Fincen

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s).

FBI SEC, Fincen internal compliance officers.

6. Have you taken any other action regarding your complaint? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA);

If "Yes," please provide details.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Provide any additional information that you think may be relevant.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER’S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC’s regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC’s whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual’s eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC’s regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA);
(b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C.
§26(h)(2)(A)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Check this box to agree with the declaration above.

Date

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

N/A

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.
If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.
- Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.
If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.
- Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

See attached Submission Procedures and Completion Instructions Below.

A. TELL US ABOUT YOURSELF

COMPLAINANT 1:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
Tether coin

3. Name
Tether coin

4. Street Address 5. Apartment/Unit #

6. City 7. State/Province 8. ZIP/Postal Code 9. Country

10. Telephone 11. E-mail Address 12. Internet Address
Tether.to

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6);
(b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

INDIVIDUAL / ENTITY 2:

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
Bitfinex exchange

3. Name
Bitfinex

4. Street Address

5. Apartment/Unit #

6. City

7. State/Province

8. ZIP/Postal Code

9. Country

10. Telephone

11. E-mail Address

12. Internet Address
Bitfinex.com

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):
12/21/2017

2. Is the conduct on-going?
Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No

Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

If other, please describe:

Crypto currency

5. If applicable, what is the name of product/investment?

Tether coin, USDT

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Exchanges trading USDT (Tether coin) are impersonating the US dollar and doing so to bypass banking regulations related to money laundering and provisions of the US Patriot Act. The exchange Bitfinex owns Tether coin, using newly created USDT, allegedly not backed by USD, to purchase and artificially inflate the price of other crypto currencies. Tether also provides the coins to un-banked and un-regulated crypto currencies exchanges. The exchange Kraken is the gateway for USDT to USD.

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? Yes No

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details.

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s).

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER'S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC's regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name
(b)(3):7 U.S.C. §26(h)(2)(A) (CEA);
(b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date
(b)(3):7 U.S.C. §26(h)(2)(A)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Check this box to agree with the declaration above.

Date

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

N/A

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.
If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.
- Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.
If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.
- Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581

OMB APPROVAL
OMB Number: 3038-0082

FORM TCR
TIP, COMPLAINT OR REFERRAL

See attached Submission Procedures and Completion Instructions Below.

A. TELL US ABOUT YOURSELF
COMPLAINANT 1:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
Phil Potter, Bitfinex/Tether executive admits to trading on his own exchange.

3. Name
Bitfinex

4. Street Address 5. Apartment/Unit #

6. City 7. State/Province 8. ZIP/Postal Code 9. Country

10. Telephone 11. E-mail Address 12. Internet Address
bitfinex.com

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

2. Is the conduct on-going?

Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?

Yes No

o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?

Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

If other, please describe:

5. If applicable, what is the name of product/investment?

Tether Bitcoin

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).
All investigations had no conclusion.

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Phil Potter, Bitfinex/Tether executive admits to playing shell games with banks

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

<https://medium.com/@bitfinexcd/the-audio-recordings-bitfinex-doesnt-want-you-to-hear-44d677cf1094>

<https://youtu.be/62cvxPIDBGY>

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER'S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC's regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA)

H. COUNSEL CERTIFICATION

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.
If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.
- Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.
If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.
- Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

See attached Submission Procedures and Completion Instructions Below.

**A. TELL US ABOUT YOURSELF
COMPLAINANT 1:**

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

B. YOUR ATTORNEY'S INFORMATION (If Applicable – See Instructions)

1. Attorney's Name

2. Firm Name

3. Street Address

4. City
5. State/Province
6. ZIP/Postal Code
7. Country

8. Telephone
9. Fax
10. E-mail Address

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
Cryptocurrency exchange

3. Name
Bitfinex

4. Street Address

5. Apartment/Unit #

6. City
Hong Kong

7. State/Province

8. ZIP/Postal Code

9. Country
China

10. Telephone

11. E-mail Address

12. Internet Address
www.Bitfinex.com

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6);
(b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

01/01/2013

2. Is the conduct on-going?

Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions

Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

Someone or some firm that should be registered under the Commodity Exchange Act, but is not.

Disruptive or manipulative trading activity in the futures, options or swaps markets.

The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.

Complaint does not fit into any of the above-described categories

If your complaint does not fit into any of the above-described categories please describe below.

Unlawful manipulation of cryptocurrency trading market.

4. Select the type of product/instrument:

A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.

An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.

A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.

A cash (or physical) contract traded in interstate commerce.

A foreign currency transaction.

- If a foreign currency transaction:

o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?

Yes No

o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?

Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:
 - o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
 - Yes
 - No
 - o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
 - Yes
 - No

Other

If other, please describe:
Multiple cryptocurrencies, such as bitcoin, Ether, Tether, etc.

5. If applicable, what is the name of product/investment?
Bitcoin, Ether, Tether, etc.

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how much.
(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

- If yes, select the appropriate category:
- Prior complaint to the CFTC.
 - Complaint to another regulator.
 - A state or federal criminal law enforcement entity.
 - A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).
Simultaneously with this filing, I have filed a claim with the SEC's Office of the Whistleblower.

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? Yes No

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details.

As noted above, simultaneously with this filing, I have filed a claim with the SEC's Office of the Whistleblower.

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.
SEC - Office of the Whistleblower

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s).

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER'S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC's regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

You have successfully uploaded the following 2 files:

- 2018-11-15 -- Ltr to CFTC Office of Whistleblower - Bitfinex.pdf
- Bitcoin 10-2.pdf

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC’s whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC’s *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC’s staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to “you” and “your” are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney’s Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney’s name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual’s profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
- If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.
- If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
- If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.
- Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.
- If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.
- Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

TCR Number: (b)(3):7 U.S.C.

CONFIDENTIAL

Submission Received: (b)(3):7 U.S.C.
§26(h)(2)(A) (CEA)

**UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581**

OMB APPROVAL
OMB Number: 3038-0082

**FORM TCR
TIP, COMPLAINT OR REFERRAL**

See attached Submission Procedures and Completion Instructions Below.

**A. TELL US ABOUT YOURSELF
COMPLAINANT 1:**

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

[Redacted area]

This document contains information that is confidential or otherwise exempt from disclosure under the Freedom of Information Act (5 U.S.C. 552). It is intended only for the use of the individual or entity named in the document. It is not to be disseminated to the public or other personnel not directly involved in the processing of the information reported herein. If you have received this document in error, please notify the person whose name appears at the top of this page. This document is not to be distributed outside the agency to which it is addressed.

The Commission and its staff are not responsible for the accuracy or completeness of the information provided by you. The Commission and its staff are not responsible for the accuracy or completeness of the information provided by you. The Commission and its staff are not responsible for the accuracy or completeness of the information provided by you.

B. YOUR ATTORNEY'S INFORMATION (If Applicable – See Instructions)

1. Attorney's Name

2. Firm Name

3. Street Address

4. City

5. State/Province

6. ZIP/Postal Code

7. Country

8. Telephone

9. Fax

10. E-mail Address

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
Cryptocurrency exchange

3. Name
Bitfinex

4. Street Address

5. Apartment/Unit #

6. City
Hong Kong

7. State/Province

8. ZIP/Postal Code

9. Country
China

10. Telephone

11. E-mail Address

12. Internet Address
www.Bitfinex.com

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- o Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
Yes No
- o Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
Yes No

Other

If other, please describe:

Multiple cryptocurrencies, such as bitcoin, Ether, Tether, etc.

5. If applicable, what is the name of product/investment?

Bitcoin, Ether, Tether, etc.

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(f)(2)(A) (CEA).

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? Yes No

If yes, select the appropriate category:

- Prior complaint to the CFTC.
- Complaint to another regulator.
- A state or federal criminal law enforcement entity.
- A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court). Simultaneously with this filing, I have filed a claim with the SEC's Office of the Whistleblower.

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? Yes No

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details.

As noted above, simultaneously with this filing, I have filed a claim with the SEC's Office of the Whistleblower.

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.
SEC - Office of the Whistleblower

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s).

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER'S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S. C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC's regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

(b)(3):7 U.S.C. §266(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree with the declaration above.

Date

(b)(3):7 U.S.C. §266(h)(2)(A)

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

FILES UPLOADED

You have successfully uploaded the following 2 files:

- 2018-11-15 -- Ltr to CFTC Office of Whistleblower - Bitfinex.pdf
- Bitcoin 10-2.pdf

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred method of communication; and
- your occupation.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
- e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- **For Individuals:** accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- **For Entities:** bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

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Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

- Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.
- Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.
- If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.
- Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.
- If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.
- Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.
- If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.
- Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.
- If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.
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- Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.
- Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.
- Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.
- Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.
- Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.
- Question 6: If you answered "Yes" to any Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.



COMMODITY FUTURES TRADING COMMISSION

**FORM TCR
TIP, COMPLAINT OR REFERRAL
OMB Approval Number: 3038-0082
UNITED STATES**

COMMODITY FUTURES TRADING COMMISSION

Please be advised that pursuant to 5 C.F.R. § 1320.5(b)(2)(i), you are not required to respond to this collection of information unless it displays a currently valid OMB control number. Information provided on this Form TCR, and its related attachments and addendums, is CONFIDENTIAL and cannot be distributed outside of the Commission without the written approval of the CFTC Whistleblower Office and the Division of Enforcement.

SUBMISSION INFORMATION

Confirmation Number

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Submission Received

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA);
(b)(6); (b)(7)(C)

A. TELL US ABOUT YOURSELF

COMPLAINANT 1

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

B. YOUR ATTORNEY'S INFORMATION (If Applicable - See Instructions)

1. Attorney's Name

2. Firm Name

3. Street Address

4. City

5. State/Province

6. ZIP/Postal Code

7. Country

8. Telephone

9. Fax

10. E-mail Address

C. TELL US WHO YOU ARE COMPLAINING ABOUT

INDIVIDUAL/ENTITY 1

Confirmation Number

(b)(3):7 U.S.C. §26(h)(2)(A)
(CEA); (b)(6); (b)(7)(C)

Submitted

(b)(3):7 U.S.C. §26(h)(2)(A)
(CEA); (b)(6); (b)(7)(C)

1. Type <input type="checkbox"/> Individual <input checked="" type="checkbox"/> Entity	2. If an individual, specify profession. If an entity, specify type (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)
--	---

3. Name
bitfinexgloba

4. Street Address 15 carmine St, nova York, NY 10014, EUA	5. Apartment/Unit#
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6. City NY	7. State/Province nova York	8. ZIP/Postal Code	9. Country
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10. Telephone +1 (585) 357-2791	11. E-mail Address admin@bitfinexglobal.com	12. Internet Address https://bitfinexglobal.com/?a=logout
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13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual?
No

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?
(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about
(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?
Internet Advertisement

If other, please describe

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy) (b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)	2. Is the conduct on-going? Yes
---	---

3. Please select the option(s) that best describes your complaint

- Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions
- Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused).

<input checked="" type="checkbox"/> Someone or some firm that should be registered under the Commodity Exchange Act, but is not.
<input type="checkbox"/> Disruptive or manipulative trading activity in the futures, options or swaps markets.
<input type="checkbox"/> The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information.
<input type="checkbox"/> Complaint does not fit into any of the above-described categories
If your complaint does not fit into any of the above-described categories please describe below.
4. Select the type of product/instrument:
<input type="checkbox"/> A futures contract, including a single stock futures contract, a narrow based or broad based security future contract.
<input type="checkbox"/> An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities.
<input type="checkbox"/> A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities.
<input type="checkbox"/> A cash (or physical) contract traded in interstate commerce.
<input type="checkbox"/> A foreign currency transaction.
If a foreign currency transaction:
Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability? <input type="checkbox"/> YES <input type="checkbox"/> NO
<input type="checkbox"/> A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.
If yes:
Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis? <input type="checkbox"/> YES <input type="checkbox"/> NO
Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability? <input type="checkbox"/> YES <input type="checkbox"/> NO
<input checked="" type="checkbox"/> Other
If other, please describe Bitcoin
5. If applicable, what is the name of product/investment? Bitcoin
6. Have you suffered a monetary loss? <input type="checkbox"/> YES <input type="checkbox"/> NO
If yes, describe how much.
7. Has the individual or firm who engaged in the conduct acknowledged their fault? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO
8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct?

YES NO

If yes, select the appropriate category:

Prior complaint to the CFTC.

Complaint to another regulator.

A state or federal criminal law enforcement entity.

A legal action filed against the person or firm in a court of law.

Additional comments based on above selection (e.g., Who, When, Contact, To whom made, Case Number, Court).

9.State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter?

YES NO

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you?

YES NO

If "Yes," please provide details.

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor?

YES NO

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations?

YES NO

If "Yes," please provide details including the date you took the action(s).

6. Have you taken any other action regarding your complaint?

YES NO

If "Yes," please provide details.

7. Provide any additional information that you think may be relevant.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

YES NO

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

YES NO

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C.78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

YES NO

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

YES NO

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

YES NO

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details.

G. PRIVACY NOTICE AND WHISTLEBLOWER'S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S.C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC's regulations. The CFTC may disclose this information when required to be disclosed to a defendant or

respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files", (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Check this box to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

Check this box to agree to agree with the declaration above.

Date

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

I agree to the collection, processing, use and disclosure of my personal information as stated in the Privacy Policy for www.cftc.gov.

Confirmation Number

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Submitted

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

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Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the Web portal found on the CFTC's *Web site* at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically - defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an email address.

Instructions for Completing Form TCR

General

- All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us about Yourself

Questions 1-14: Please provide the following information about yourself:

- last name, first name, and middle initial;
- complete address, including city, state and zip code;
- telephone number and, if available, an alternate number where you can be reached;
- your e-mail address (to facilitate communications, we strongly encourage you to provide an email address, especially if you are filing anonymously).
- your preferred method of communication; and
- your occupation

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;
- firm name;
- complete address, including city, state and zip code;
- telephone number and fax number; and
e-mail address.

Section C: Tell Us Who You Are Complaining About

Questions 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

- For **Individuals**: accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).
- For **Entities**: bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name
- complete address, including city, state and zip code;
- telephone number;
- e-mail address; and
- internet address, if applicable.

Question 13: If you are complaining about a firm or individual that has custody or control of your investments, indicate if you have had difficulty contacting that entity or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe.

Question 6: Identify whether you have suffered a monetary loss. If yes, please describe.

Question 7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action. If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this

matter. If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.

Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you. If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.

Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor. If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.

Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action. If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: The CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.

Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.

Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.

Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been

convicted of a criminal violation, in connection with the information that you submitted to the CFTC and upon which your application for an award is based.

Question 5: State whether you acquired the information that you provided to the CFTC from any individual described in Questions 1 through 4 of this section.

Question 6: If you answered "Yes" to any of Questions 1 through 5 of this section, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.

UNITED STATES
COMMODITY FUTURES TRADING COMMISSION
Washington, DC 20581

OMB APPROVAL
OMB Number: 3038-0082

FORM TCR
TIP, COMPLAINT OR REFERRAL

See attached Submission Procedures and Completion Instructions Below.

A. TELL US ABOUT YOURSELF

COMPLAINANT 1:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

[Redacted area for Complainant 1 information]

COMPLAINANT 2:

- 1. Last Name
- 2. First Name
- 3. M.I.
- 4. Street Address
- 5. Apartment/Unit #
- 6. City
- 7. State/Province
- 8. ZIP/Postal Code
- 9. Country
- 10. Telephone
- 11. Alt. Phone
- 12. E-mail Address
- 13. Preferred Method of Communication
- 14. Occupation

Please be advised that pursuant to 5 CFR 1320.5(b)(2)(i), you are not required to respond to this collection of information unless it displays a currently valid OMB control number.

B. YOUR ATTORNEY'S INFORMATION (If Applicable – See Instructions)

(b)(3); 7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

**C. TELL US WHO YOU ARE COMPLAINING ABOUT
INDIVIDUAL / ENTITY 1:**

1. Type: Individual Entity 2. If an individual, specify profession. If an entity, specify type.
British Virgin Islands Corporation (parent of BFXNA)

3. Name
iFinex Inc.

4. Street Address 1308 Bank of America Tower, 12 Harcourt Road 5. Apartment/Unit #
Suite 13/F

6. City Hong Kong 7. State/Province 8. ZIP/Postal Code 9. Country
China

10. Telephone 11. E-mail Address 12. Internet Address
<https://www.bitfinex.com/>

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred? (b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

INDIVIDUAL / ENTITY 2:

1. Type: Individual Entity

2. If an individual, specify profession. If an entity, specify type.

British Virgin Islands Corporation (subsidiary of iFinex)

3. Name

BFXNA Inc. d/b/a Bitfinex

4. Street Address

1308 Bank of America Tower, 12 Harcourt Road

5. Apartment/Unit #

Suite 13/F

6. City

Hong Kong

7. State/Province

8. ZIP/Postal Code

9. Country

China

10. Telephone

11. E-mail Address

12. Internet Address

<https://www.bitfinex.com/>

13. If you are complaining about a firm or individual that has custody or control of your investments, have you had difficulty contacting that entity or individual? Yes No Unknown

14. Are you, or were you, associated with the individual or firm when the alleged conduct occurred?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

15. What was the initial form of contact between you and the person against whom you are filing this complaint?

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

If other, please describe:

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

D. TELL US ABOUT YOUR COMPLAINT

1. Occurrence Date (mm/dd/yyyy):

11/29/2017 & 12/22/2017

2. Is the conduct on-going?

 Yes No Don't Know

3. Please select the option(s) that best describes your complaint.

 Fraudulent representations that persuaded you to trade futures, options, swaps, forex, retail commodity, or leveraged transactions Some type of cheating or fraud that occurred after you had deposited funds to trade futures, options, swaps, forex, retail commodity, or leveraged transactions (for example, if someone used the funds you deposited to pay off someone else or you have asked for the return of your funds and have been refused). Someone or some firm that should be registered under the Commodity Exchange Act, but is not. Disruptive or manipulative trading activity in the futures, options or swaps markets. The trading of futures options, or swaps based upon confidential information by someone not allowed to use such information. If your complaint does not fit into any of the above-described categories please describe below.

4. Select the type of product/instrument:

 A futures contract, including a single stock futures contract, a narrow based or broad based security future contract. An option on a futures contract, an option on a commodity, BUT NOT an option on a security or a basket of securities. A swap, including a mixed swap BUT NOT a swap based on a single security or based on a narrow (i.e., nine or less) index of securities. A cash (or physical) contract traded in interstate commerce. A foreign currency transaction.

- If a foreign currency transaction:

 Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis? Yes No Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability? Yes No

A commodity transaction entered into or offered on a leveraged or margined basis, or financed by the offeror, the counterparty, or someone acting in concert with the offeror or counterparty.

- If yes:

- Are you an individual that trades or invests more than \$10,000,000 on a discretionary basis?
 Yes No
- Are you an individual that trades or invests more than \$5,000,000 and enters into the foreign currency agreement to manage the risk associated with some other asset or liability?
 Yes No

Other

If other, please describe:

Cryptocurrency

5. If applicable, what is the name of product/investment?

EOS tokens

6. Have you suffered a monetary loss? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA):

If yes, describe how much.

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Has the individual or firm who engaged in the conduct acknowledged their fault? Yes No

8. Have you or anyone else taken any action against the firm or person who engaged in the alleged conduct? (b)(3):7 U.S.C. §26(h)(2)(A) (CEA):

If yes, select the appropriate category:

(b)(3):7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

9. State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act. If necessary, please use additional sheets.

Please see annexed submission

10. Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession. If necessary, please use additional sheets.

Please see annexed submission

E. WHISTLEBLOWER PROGRAM

1. Describe how and from whom you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible. Use additional sheets, if necessary.

Please see annexed submission

2. Identify with particularity any documents or other information in your submission that you believe could reasonably be expected to reveal your identity and explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

Please see annexed submission

3. Have you or your attorney had any prior communication(s) with the CFTC concerning this matter? Yes No

If "Yes," please identify the CFTC staff member(s) with whom you or your attorney communicated:

4. Have you or your attorney provided the information to any other agency or organization, or has any other agency or organization requested the information or related information from you? Yes No

If "Yes," please provide details. Use additional sheets, if necessary.

If "Yes," please provide the name and contact information of the point of contact at the other agency or organization, if known.

5. Does this complaint relate to an entity of which you are or were an officer, director, counsel, employee, consultant or contractor? Yes No

If "Yes," have you reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations? Yes No

If "Yes," please provide details including the date you took the action(s). Use additional sheets, if necessary.

6. Have you taken any other action regarding your complaint? Yes No

If "Yes," please provide details. Use additional sheets, if necessary.

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

7. Provide any additional information that you think may be relevant.

F. WHISTLEBLOWER ELIGIBILITY REQUIREMENTS AND OTHER INFORMATION

1. Are you currently, or were you at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); a law enforcement organization; or a foreign regulatory authority or law enforcement organization?

Yes No

2. Are you providing this information pursuant to a cooperation agreement with the CFTC or another agency or organization?

Yes No

3. Before you provided this information, did you (or anyone representing you) receive any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or (iii) in connection with an investigation by the Congress, or any other federal or state authority?

Yes No

4. Are you currently a subject or target of a criminal investigation, or have you been convicted of a criminal violation, in connection with the information that you are submitting to the CFTC?

Yes No

5. Did you acquire the information being provided to the CFTC from any person described in Questions 1 through 4 above?

Yes No

6. If you answered "Yes" to any of Questions 1 through 5 above, please provide details. Use additional sheets, if necessary.

G. PRIVACY NOTICE AND WHISTLEBLOWER'S DECLARATION

The solicitation of this information is authorized under the Commodity Exchange Act, 7 U.S.C. 1 et seq. This form may be used by anyone wishing to provide the CFTC with information concerning a violation of the Commodity Exchange Act or the CFTC's regulations. This form and related information will be processed in the United States of America, the location of the CFTC. If an individual is submitting this information for the CFTC's whistleblower award program pursuant to Section 23 of the Commodity Exchange Act, the information provided will be used to enable the CFTC to determine the individual's eligibility for payment of an award. This information will be used to investigate and prosecute violations of the Commodity Exchange Act and the CFTC's regulations. The CFTC may disclose this information when required to be disclosed to a defendant or respondent in connection with a public proceeding instituted by the Commission. In addition, if the Commission determines such disclosure is necessary or appropriate to accomplish the purposes of the CEA and to protect customers, the Commission may provide such information to the Department of Justice; an appropriate department or agency of the Federal Government; a state attorney general; any appropriate department or agency of a state; a registered entity, registered futures association, or self-regulatory organization (as defined in Section 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a)); or a foreign futures authority. Those entities are subject to the same confidentiality requirements as the Commission. The Commission also may disclose such information in accordance with Privacy Act of 1974 System of Records Notices CFTC-49, "Whistleblower Records" (exempted), CFTC-10, "Investigatory Records" (exempted), and CFTC-16, "Enforcement Case Files," (available on the CFTC Privacy Program web page, www.cftc.gov/Transparency/PrivacyOffice) exercised in accordance with the confidentiality provisions in the CEA and 17 CFR 165.4. Furnishing information on or through this form is voluntary. However, if an individual is providing information for the whistleblower award program, not providing required information may result in the individual not being eligible for award consideration. Also, you may choose to submit this form anonymously, but in order to receive a whistleblower award, you would need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. [See instructions for further information.] By signing this Declaration, I am agreeing to the collection, processing, use, and disclosure of my personally identifiable information as stated herein.

I declare under penalty of perjury under the laws of the United States that the information contained herein is true, correct and complete to the best of my knowledge, information and belief. I fully understand that I may be subject to prosecution and ineligible for a whistleblower award if, in my submission of information, my other dealings with the Commodity Futures Trading Commission, or my dealings with another authority in connection with a related action, I knowingly and willfully make any false, fictitious or fraudulent statements or representations, or use any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry.

Print Name

(b)(3); 7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Signature

(b)(3); 7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Date

(b)(3); 7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

H. COUNSEL CERTIFICATION

I certify that I have reviewed this form for completeness and accuracy and that the information contained herein is true, correct and complete to the best of my knowledge, information and belief.

I further certify that I have verified the identity of the whistleblower on whose behalf this form is being submitted by viewing the whistleblower's valid, unexpired government issued identification (e.g., driver's license, passport) and will retain an original, signed copy of this form, with Section G signed by the whistleblower, in my records. I further certify that I have obtained the whistleblower's non-waivable consent to provide the Commodity Futures Trading Commission with his or her original signed Form TCR upon request in the event that the Commodity Futures Trading Commission requests it due to concerns that the whistleblower may have knowingly and willfully made false, fictitious or fraudulent statements or representations, or used any false writing or document knowing that the writing or document contains any false, fictitious or fraudulent statement or entry; and that I consent to be legally obligated to do so within seven (7) calendar days of receiving such a request from the Commodity Futures Trading Commission.

Print Name of Attorney and Law Firm, if Applicable

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Signature

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Date

(b)(3);7 U.S.C. §26(h)(2)(A) (CEA); (b)(6); (b)(7)(C)

Submission Procedures

Questions concerning this form may be directed to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581.

- If you are submitting information for the CFTC's whistleblower award program, you *must* submit your information using this Form TCR.
- You may submit this form electronically, through the web portal found on the CFTC's website at <http://www.whistleblower.gov>. You may also print this form and submit it by mail to Commodity Futures Trading Commission, Whistleblower Office, Three Lafayette Centre, 1155 21st Street, NW, Washington, DC 20581, or by facsimile to (202) 418-5975.
- You have the right to submit information anonymously. If you do not submit anonymously, please note that the CFTC is required by law to maintain the confidentiality of any information which could reasonably identify you, and will only reveal such information in limited and specifically-defined circumstances. See 7 U.S.C. 26(h)(2); 17 CFR 165.4. However, in order to receive a whistleblower award, you will need to be identified to select CFTC staff for a final eligibility determination, and in unusual circumstances, you may need to be identified publicly for trial. You should therefore provide some means for the CFTC's staff to contact you, such as a telephone number or an e-mail address.

Instructions for Completing Form TCR

General

All references to "you" and "your" are intended to mean the complainant.

Section A: Tell Us About Yourself

Questions 1-14: Please provide the following information about yourself:

- last name**, first name and middle initial;
- complete address**, including city, state and zip code;
- telephone number and, if available, an alternate number** where you can be reached;
- your e-mail address** (to facilitate communications, we strongly encourage you to provide an e-mail address, especially if you are filing anonymously);
- your preferred** method of communication; and
- your occupation**.

Section B: Your Attorney's Information

Complete this section only if you are represented by an attorney in this matter.

Questions 1-10: Provide the following information about your attorney:

- attorney's name;**
- firm name;**
- complete address, including city, state and zip code;**
- telephone number and fax number; and**
- e-mail address.**

Section C: Tell Us Who You Are Complaining About

Question 1-2: Choose one of the following that best describes the individual's profession or the type of entity to which your complaint relates:

For Individuals: accountant, analyst, associated person, attorney, auditor, broker, commodity trading advisor, commodity pool operator, compliance officer, employee, executing broker, executive officer or director, financial planner, floor broker, floor trader, trader, unknown or other (specify).

For Entities: bank, commodity pool, commodity pool operator, commodity trading advisor, futures commission merchant, hedge fund, introducing broker, major swap participant, retail foreign exchange dealer, swap dealer, unknown or other (specify).

Questions 3-12: For each individual and/or entity, provide the following information, if known:

- full name;**
- complete address, including city, state and zip code;**
- telephone number;**
- e-mail address; and**
- internet address, if applicable.**

Questions 13: If the firm or individual you are complaining about has custody or control of your investment, identify whether you have had difficulty contacting that firm or individual.

Question 14: Identify if you are, or were, associated with the individual or firm you are complaining about. If yes, describe how you are, or were, associated with the individual or firm you are complaining about.

Question 15: Identify the initial form of contact between you and the person against whom you are filing this complaint.

Section D: Tell Us About Your Complaint

Question 1: State the date (mm/dd/yyyy) that the alleged conduct occurred or began.

Question 2: Identify if the conduct is on-going.

Question 3: Choose the option that you believe best describes the nature of your complaint. If you are alleging more than one violation, please list all that you believe may apply.

Question 4: Select the type of product or instrument you are complaining about.

Question 5: If applicable, please name the product or instrument. If yes, please describe. Question

6: Identify whether you have suffered a monetary loss. If yes, please describe. Question

7: Identify if the individual or firm you are complaining about acknowledged their fault.

Question 8: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered yes, provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 9: State in detail all facts pertinent to the alleged violation. Explain why you believe the facts described constitute a violation of the Commodity Exchange Act.

Question 10: Describe all supporting materials in your possession and the availability and location of any additional supporting materials not in your possession.

Section E: Whistleblower Program

Question 1: Describe how you obtained the information that supports your allegations. If any information was obtained from an attorney or in a communication where an attorney was present, identify such information with as much particularity as possible. In addition, if any information was obtained from a public source, identify the source with as much particularity as possible.

Question 2: Identify any documents or other information in your submission on this Form TCR that you believe could reasonably be expected to reveal your identity. Explain the basis for your belief that your identity would be revealed if the documents or information were disclosed to a third party.

Question 3: State whether you or your attorney have had any prior communication(s) with the CFTC concerning this matter.

If you answered "yes", identify the CFTC staff member(s) with whom you or your attorney communicated.

Question 4: Indicate whether you or your attorney have provided the information you are providing to the CFTC to any other agency or organization, or whether any other agency or organization has requested the information or related information from you.

If you answered "yes", provide details and the name and contact information of the point of contact at the other agency or organization, if known.

Question 5: Indicate whether your complaint relates to an entity of which you are, or were in the past, an officer, director, counsel, employee, consultant or contractor.

If you answered "yes", state whether you have reported this violation to your supervisor, compliance office, whistleblower hotline, ombudsman, or any other available mechanism at the entity for reporting violations. Please provide details, including the date on which you took the action.

Question 6: Indicate whether you have taken any other action regarding your complaint, including whether you complained to the CFTC, another regulator, a law enforcement agency, or any other agency or organization, or initiated legal action, mediation, arbitration or any other action.

If you answered "yes", provide details, including the date on which you took the action(s) described, the name of the person or entity to whom you directed any report or complaint, and contact information for the person or entity, if known, and the complete case name, case number and forum of any legal action you have taken.

Question 7: Provide any additional information you think may be relevant.

Section F: Whistleblower Eligibility Requirements and Other Information

Question 1: State whether you are currently, or were at the time that you acquired the original information that you are submitting to the CFTC, a member, officer or employee of: the CFTC; the Board of Governors of the Federal Reserve System; the Office of the Comptroller of the Currency; the Board of Directors of the Federal Deposit Insurance Corporation; the Director of the Office of Thrift Supervision; the National Credit Union Administration Board; the Securities and Exchange Commission; the Department of Justice; a registered entity; a registered futures association; a self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))); a law enforcement organization; or a foreign regulatory authority or law enforcement organization.

Question 2: State whether you are providing the information pursuant to a cooperation agreement with the CFTC or with another agency or organization.

Question 3: State whether you are providing this information before you (or anyone representing you) received any request, inquiry or demand that relates to the subject matter of this submission (i) from the CFTC, (ii) in connection with an investigation, inspection or examination by any registered entity, registered futures association or self-regulatory organization (as defined in 3(a) of the Securities Exchange Act of 1934 (15 U.S.C. 78c(a))), or (iii) in connection with an investigation by the Congress, or any other federal or state authority.

Question 4: State whether you are currently a subject or target of a criminal investigation, or whether you have been convicted of a criminal violation, in connection with the information you are submitting to the CFTC.

Question 5: State whether you acquired the information you are providing to the CFTC from any individual described in Questions 1 through 4 of this section.

Question 6: If you answered yes to any of Questions 1 through 5, please provide details.

Section G: Privacy Notice and Whistleblower's Declaration

You must sign this Declaration if you are submitting this information pursuant to the CFTC whistleblower program and wish to be considered for an award. If you are submitting your information using the electronic version of Form TCR through the CFTC's web portal, you must check the box to agree with the declaration. If you are submitting your information anonymously, you must still sign this Declaration (using the term "anonymous") or check the box as appropriate, and, if you are represented by an attorney, you must provide your attorney with the original of this signed form, or maintain a copy for your own records.

Section H: Counsel Certification

If you are submitting this information pursuant to the CFTC whistleblower program and you are doing so anonymously through an attorney, your attorney must sign the Counsel Certification Section. If your attorney is submitting your information using the electronic version of Form TCR through the CFTC's web portal, he/she must check the box to agree with the certification. If you are represented in this matter but you are not submitting your information pursuant to the CFTC whistleblower program, your attorney does not need to sign this Certification or check the box.