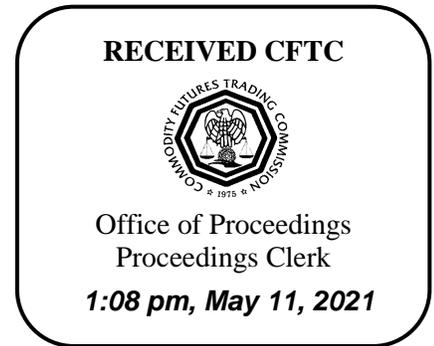




U.S. COMMODITY FUTURES TRADING COMMISSION

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

Office of Proceedings



_____	*	
Sai C. Tsui,	*	CFTC Dkt. No. 20-R021
	*	
Complainant,	*	Served electronically
	*	
v.	*	
	*	
TD Ameritrade Futures & Forex, LLC	*	
	*	
Respondent.	*	
_____	*	

FINAL DECISION

The parties have elected the voluntary decisional procedure. Under the voluntary decisional procedure, the parties are principally responsible for developing the evidentiary record, the parties waive the opportunity for an oral hearing, waive the right to receive a written statement of the findings of fact upon which the Final Decision is based, and waive the right to appeal this Final Decision to the Commission and to the federal courts. *See* Commission Rules 12.100(b), 12.106(d) and Notice of Voluntary Proceeding (Sept. 30 ,2020).

After carefully reviewing the evidentiary record, I find that Complainant Sai C. Tsui has established that Respondent TD Ameritrade Futures & Forex (TD Ameritrade) violated Commission Rule 166.2 and Section 4d(a) of the Commodity Exchange Act, and that these violations resulted in damages to Tsui totaling

\$53,136. Accordingly, TD Ameritrade is ordered to pay Tsui reparations of \$53,136, plus post-judgment interest on that amount at 0.05% compounded annually from the date of this award to the date of payment, plus \$50 in costs for the filing fee.

Dated: May 11, 2021

/s/ Kavita Kumar Puri
Kavita Kumar Puri
Judgment Officer