

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
\$K's FOREX INTERNATIONAL, INC.	03-06	CFTC	1/6/03	4(a) 4b(a)		COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES PROHIBITED; CIVIL MONETARY PENALTY OF \$220,000 JOINTLY & SEVERALLY OWED PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
4NEXCHANGE	2-02 CV-432	D UT	5/2/02	4b(a)(i) 4b(a)(iii) 4(a)		COMPLAINT FILED	
65J, INC.	04 CV 02768	SD NY	4/12/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
666 EQUITIES CORPORATION	79-0560	SD NY	2/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS
A & H FINANCIAL SERVICES, INC.	91-22	CFTC	6/30/92	4b(A) 4b(B) 4k(2) 4n(3) 4n(4) 4o(1)	4.21(a) 4.22(a) 4.23(a)		CEASE & DESIST ORDER REG. REVOKED AS CPO SHALL NOT SEEK REGISTRATION OR CLAIM EXEMPTION MAY NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION
A. J. RIFFEL & COMPANY	86-30	CFTC	8/19/86	4b 4d(2) 4g(1) 6(b) 4f(2)	1.17(a) 1.18(a) 1.18(b) 1.20(a) 1.20(c) 1.22 1.23 1.31(a)(1) 1.32 1.35(a) 166.3 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER PENALTY AMOUNT OF \$40,000 SHALL REMOVE RICHARD CRILLY FROM MANAGEMENT
A. L. & T. TRADING, INC.	78-0161	WD LA	2/13/78	4c(b) 4f(1) 4f(2) 4g	1.18 1.31 32.7 32.9 1.17(b)	PERMANENT INJUNCTION	
A.G. EDWARDS & SONS, INC.	97-2	CFTC	6/20/03			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$45,000 TO BE PAID WITHIN FIVE

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							DAYS OF ORDER DATE.
A.J.S. ENTERPRISES, INC. (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
A.S. TEMPLETON GROUP, INC.	03 4999	ED NY	11/24/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; APPOINTMENT OF JAMES ZANE AS RECEIVER IS CONFIRMED.
A+ CURRENCIES INT'L INC.	96-7814	SD NY	12/23/98	4(a) 4b(a)(i) 4d(1) 9(a)(1)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$7,142,393.55 & RESTITUTION OF \$2,380,797.85 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS
ABACUS INVESTMENT GROUP, INC.	97C6528	ND IL	9/23/97	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1) 9(a)(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS ACCESS BOOKS & RECORDS STOP SOLICITATION ACCOUNTING ORDERED TRADING PROHIBITION
ABDO, MICHAEL	87-6637	SD FL	8/30/88			PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT BOOKS & RECORDS SPECIAL MAGISTRATE APPOINTED TO RECEIVE RESTITUTION & DISGORGEMENT AND PROCESS CREDITORS CLAIMS
ABELL, HOWARD	89-27	CFTC	1/16/92	4c(a)(A) 4c(a)(B) 4a(5) 4i	1.38 18.04(d)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$25,000 TRADING PRIVILEGES SUSPENDED ONE MONTH OR LESS SUSPENDED AS FB ONE MONTH OR LESS MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN
ABERNETHY, J. VERNON	04CV1512	D NJ	6/24/2004			COMPLAINT FILED	
ABLE, WILLIAM J.	90-20380	ND CAL	5/8/92	4m(1) 4n(3)(A) 4b 4o	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT ORDERED TO DISGORGE AND RETURN \$4,690,725.55
ABRAHAM & SONS CAPITAL, INC.	98-7	CFTC	2/3/99	4b(a)(i) 4b(a)(ii)	1.31 4.22(a)		CEASE AND DESIST ORDER JOINTLY & SEVERALLY OWED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4m(1) 4o(1)	4.22(b) 4.22(c) 4.22(d) 4.23		RESTITUTION OF \$3.5 MILLION NEVER APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY
ABRAHAMS, DEREK	03-2193	D KS	4/22/03	4o(1)(A) & (B)	4.41(a)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
AC TRADING GROUP	97-CIV-1360	ND CAL	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT OF \$2,633,130.40 AND CIVIL MONETARY PENALTY OF \$320,000 JOINTLY & SEVERALLY OWED BY ALL DEFENDANTS FREEZE OF ASSETS STOP SOLICITATION ACCOUNTING ORDERED TRADING PROHIBITION ENJOINED FROM ACTING IN ANY CAPACITY WHICH REQUIRES REGISTRATION UNDER THE ACT
AC TRADING GROUP FUND, LP	97-CIV-1360	ND CAL	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT OF \$2,633,130.40 AND CIVIL MONETARY PENALTY OF \$320,000 JOINTLY & SEVERALLY OWED BY ALL DEFENDANTS FREEZE OF ASSETS STOP SOLICITATION ACCOUNTING ORDERED TRADING PROHIBITION ENJOINED FROM ACTING IN ANY CAPACITY WHICH REQUIRES REGISTRATION UNDER THE ACT
ACE AMERICAN, INC.	79-18	CFTC	7/11/79	4d 4f(2) 4g 4g(1)	1.20(a) 1.17(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$10,000
ACE CAPITAL ADVISORY GROUP, INC.	CV03-8339	CD CAL	5/10/2004			COMPLAINT FILED	
ACE EMERALD W. HOLDING, INC.	CV03-8339	CD CAL	5/10/2004			COMPLAINT FILED	
ACKERMAN, JOHN F.	98-9	CFTC	6/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER PENALTY AMOUNT OF \$700,000 JOINTLY & SEVERALLY OWED TRADING PRIVILEGES REVOKED REGISTRATION AS AP REVOKED
ACKHOFF, PETER	84-243PHX	D AZ	9/24/86	19		PERMANENT INJUNCTION	DISGORGEMENT PROTECT BOOKS & RECORDS TRADE FOR LIQUIDATION ONLY RECEIVER APPOINTED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ACCOUNTING ORDERED ENJOINED FROM VIOLATIONS OF THE ARIZONA CONSUMER FRAUD ACT PAY \$50,000 TO THE STATE OF ARIZONA FOR COSTS \$3,750,000 FOR PENALTIES AND \$6,992,750 JOINTLY FOR RETURN TO CUSTOMERS
ACLI INTERNATIONAL COMMODITY SERVICES, INC.	86-27	CFTC	7/25/86	4(g)	1.31(a) 1.35(a) 1.37(a) 1.38(b) 17.00(a)(1) 17.00(b) 17.01(b) 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$50,000
ACRO INFORMATION SERVICE, INC.	01-06926	CD CAL	7/1/03	4b(a)(i)-(iii) 4(a)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
ADAMS, RICHARD	98-CIV-1365	SD NY	3/3/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS ACCOUNTING ORDERED
ADKINS, DAVID	87-18	CFTC	7/7/88	4(a)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$40,000 TRADING PRIVILEGES REVOKED
ADLER, SEYMOUR HAROLD	85-6705	SD FL	9/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT
ADM INVESTOR SERVICES, INC.	SD-97-5	CFTC	5/16/97	8a(3)(N) 8a(4)			FCM REGISTRATION SUBJECT TO RESTRICTIONS FOR 4 YEARS
ADRIAN DAY INVESTMENT ANALYST L.P.	92-1	CFTC	9/29/92	4c(b) 4d(1)	1.55 30.3(a) 30.4(b) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER MAY NOT SEEK OR ACT IN ANY CAPACITY REQUIRING REGISTRATION FOR 2 YEARS
ADVENT CAPITAL PARTNERS, LTD.	1:02-CV-1381	ND GA	4/2/03			PERMANENT INJUNCTION	DEFAULT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; MAY NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION IN ANY CAPACITY; RESTITUTION OF \$662,954.79 WHICH INCLUDES PRE-JUDGMENT INTEREST OF \$89,256.84 JOINTLY OWED WITH DALEY; NFA DESIGNATED AS MONITOR; CIVIL MONETARY PENALTY OF \$1,721,093.85 PLUS POST-JUDGMENT INTEREST.
ADVEST, INC.	88-29	CFTC	12/19/89	4b(A) 4k(1)	1.35 166.2		CEASE & DESIST ORDER PENALTY AMOUNT OF \$10,000 TO RETAIN INDEPENDENT AUDIT FIRM TO REVIEW CERTAIN PRACTICES AND PROCEDURES
ADVICORP ADVISORY & FINANCIAL CORP., S.A.	85-12	CFTC	1/6/86	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$1,000,000 TRADING PRIVILEGES REVOKED
AEP ENERGY SERVICES	C2 03 891	SD OH	9/30/03			COMPLAINT FILED	
AFFILIATED PAYROLL SERVICES, INC.	02-60769	SD FL	11/10/03			DEFAULT ORDER	CIVIL MONETARY PENALTY OF \$360,000 JOINTLY OWED WITH AFFILIATED PAYROLL SERVICES.
AGRIDATA	76-21	CFTC	1/11/79	4b 4m 4o			CEASE & DESIST ORDER REGISTRATION REVOKED AS CTA
AGRO-COMMODITIES, INC.	79-30	CFTC	4/21/80	4b 4d 4o 6b	1.10c		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS CTA
AHE CORPORATION	87-N-370WWE	D CT	8/23/88	4b(A) 4m(1) 4o(1) 9(a)	3.4 4.20(a) 4.20(h) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT PERMANENTLY ENJOINED FROM VIOLATING THE CONNECTICUT UNIFORM SECURITIES ACT NOT TO ENGAGE IN ANY BUSINESS REQUIRING REGISTRATION WITH THE COMMISSION OR THE CONNECTICUT DEPARTMENT OF BANKING
AHRENS, KENT ALLEN	1-96-1855	MD PA	10/22/96	4b(a) 4c(b) 4o(1) 4k(3) 4n(3)(A)	33.10 32.9 4.33(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS NEVER APPLY FOR REGISTRATION IN ANY CAPACITY NEVER ACT AS A CPO OR CTA TRADING PROHIBITION FOR 5 YERS RETURN \$182,000 OF CUSTOMER

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							FUNDS (ALSO SATISFIES DISGORGEMENT ORDER ENTERED IN A RELATED SEC PROCEEDING)
AIM INTERNATIONAL, INC.	95-6970	SD FL	11/5/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED
AIZEN, ALEKSANDER	03 CV 1796	ND NY	5/23/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
AKAR, EMIL A.	79-21	CFTC	2/23/81	6(b)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$5,000 REGISTRATION DENIED AS CTA, CPO & AP
AKAR, EMIL A.	82-29	CFTC	2/24/86				REGISTRATION DENIED AS CTA
ALAMA, SAMUEL	75-12	CFTC	12/30/75	4d	1.20 1.7		CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 60 MONTHS
ALAN J. RIDGE AND COMPANY, LTD.	80-16	CFTC	3/22/83				TRADING PRIVILEGES SUSPENDED FOR 12 MONTHS
ALAN J. ROSENBERG, INC.	80-29	CFTC	10/21/86	4b 4c(a)	1.38		CEASE & DESIST ORDER PENALTY AMOUNT OF \$90,000 JOINTLY OWED TRADING PRIVILEGES SUSPENDED FOR 4 MONTHS
ALARONFX, an Illinois Corporation	03 C 4346	ND IL	6/24/03			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ALBINO, GLORIA A.	95-11	CFTC	4/23/98	4c(b)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$25,000 REGISTRATION REVOKED AS AP PROHIBITED FROM SEEKING REGISTRATION WITH THE CFTC IN ANY CAPACITY, OR FROM ACTING IN ANY CAPACITY THAT WOULD REQUIRE REGISTRATION
ALCHEMY FINANCIAL GROUP, INC.	H-96-1213	SD TX	5/28/99			JUDGMENT	DEFENDANTS URBANI AND ALCHEMY JOINTLY & SEVERALLY OWE RESTITUTION OF \$70,832.45 PLUS POST-JUDGMENT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INTEREST
ALEMANIA, RODERICK	80-27	CFTC	1/9/84	4b 4h 4k			CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 36 MONTHS NOT TO APPLY FOR REGISTRATION FOR 3 YEARS
ALEXANDRE-THYSSEN, ELIZABETH	83-19	CFTC	2/10/84	4b(A) 4n(1) 4n(3)(A) 4n(4) 4o(1)	1.10c 1.10d 1.14 4.21(a) 4.22(c) 4.23(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$140,000 JOINTLY OWED TRADING PRIVILEGES REVOKED
ALHAMBRA SUN HING BULLION	92-9	CFTC	12/9/91	4(a)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$140,000 JOINTLY OWED TRADING PRIVILEGES REVOKED MAY NEVER APPLY TO REGISTER
ALHAMBRA SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
ALI, NAWAB ALI KHAN a/k/a NAWAB KHAN AND ERIC ALI	02-6619	CD CAL	5/11/2004	4(a)		DEFAULT ORDER	RESTITUTION OF \$870,352.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR; EACH DEFENDANT OWES \$120,000 IN CIVIL MONETARY PENALTIES.
ALLEGHENY GULF INVESTMENTS	H-03-3526	SD TX	12/17/2004	4b(a)(i)&(iii) 4c(b) 4o(1)(A)	33.10 4.30	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$440,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION.
ALLEN, JAMES A.	79-28	CFTC	1/22/81	4c(b)	32.9 32.3(b)(2)		CEASE & DESIST ORDER SUSPENDED AS AP FOR 12 MONTHS
ALLEN, JEFFREY W.	04-14	CFTC	4/9/2004	4m(1)	4.31(a) & (b)	COMMISSION ORDER	CEASE & DESIST ORDER; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
ALLEN, JOSEPH L.	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	
ALLEN, RICHARD C.	80-7	CFTC	6/26/84	4b 4o 4k 4n 4f 8a(3)	1.10(c) 1.10(d) 1.14		CEASE & DESIST ORDER PENALTY AMOUNT OF \$100,000 TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS CTA, CPO
ALLEN, ROBERT CARTER	76-19	CFTC	12/27/76	4b 4o(1) 4m			CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED

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ALLIANCE EQUITY GROUP, INC.	02-61160	SD FL	7/2/03	4c(b)	32.9 32.11 33.3	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$480,000 CONTINGENT PURSUANT TO PAYMENT PLAN; SHALL MAKE FULL RESTITUTION OF \$194,997.29 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
ALLIED FINANCIAL GROUP, INC.	C2-94-981	SD OH	11/19/97	4b(a)(i) 4b(a)(ii) 4o(1) 4n(3)(A) 4m(1) 4k(s)	4.20(c) 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS
ALLOTTA, GREG	04-60744	SD FL	6/7/2004			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS
ALM, CARL D.	99-11	CFTC	6/22/2004			COMMISSION ORDER	COMPLAINT DISMISSED WITH PREJUDICE.
ALMGREN, CARLTON G.	78-48	CFTC	1/31/84	4b(A) 4d(2) 4g(1)	1.20 1.21 1.37		CEASE & DESIST ORDER PENALTY AMOUNT OF \$35,000 TRADING PRIVILEGES SUSPENDED FOR 33 MONTHS REGISTRATION REVOKED AS AP
ALSAFARI, ABDULLA a/k/a VINCENT ALSAFARI a/k/a VICENTA ALSAFARI a/k/a VICENTA ALSAFARI individually and d/b/a YENTRADING.COM	C 00 3202	ND CAL	4/2/02	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	PERMANENT INJUNCTION	RESTITUTION OF \$60,425.68 TO BE PAID PURSUANT TO 10 YEAR PAYMENT PLAN.
ALTER, JOSEPH	79-1	CFTC	9/27/79				PENALTY AMOUNT OF \$10,000 JOINTLY PAY \$100,000 INTO ESCROW FOR CUSTOMERS NOT TO APPLY FOR REGISTRATION FOR 8 YEARS
ALTER, JOSEPH D.	77-2678EW	SD NY	6/22/77	4c(b) 4o(1)	30.01 32.8(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS
ALTIERI, LINDA FRANCIS	88-21	CFTC	12/16/88	4b			CEASE & DESIST ORDER PENALTY AMOUNT OF \$10,000 TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS AP

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ALTSCHULER, MELVOIN & GLASSER, LLP	04-29	CFTC	9/30/2004			COMPLAINT FILED	
AMALGAMATED REDEMPTION CENTERS, INC.	87-2591HAA	D NJ	11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS
AMERICAN BOAD OF TRADE, INC. (THE)	79-2134VB	SD NY	10/30/81 5/24/85	4c(b) 4c(c)	32.7 32.11	PERMANENT INUNCTION	ACCESS BOOKS & RECORDS APPEALED AFFIRMED ON APPEAL TO 2D CIR. 5/24/85 - DISGORGEMENT AFFIRMED ON APPEAL TO 2D CIR. 10/10/86
AMERICAN COAL COMPANY, INC.	81-2250-W	WD TN	1/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
AMERICAN COMMODITIES TRADING SYSTEMS	80-0689	SD NY	7/22/81	4 4b			
AMERICAN COMMODITY GROUP CORPORATION	82-6	CFTC	5/22/85				TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS CTA, CPO
AMERICAN COMMODITY GROUP CORPORATION	82-6108	SD FL	1/7/83	4 4h 4n(3)(A) 4o(1)	4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS STOP SOLICITATION RECEIVER APPOINTED ACCOUNTING ODERED TO BE DISSOLVED
AMERICAN CURENCY EXCHANGE, INC.	79-4867	SD NY	10/30/79	4c(b) 4c(c)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS
AMERICAN ELECTRIC POWER COMPANY, INC.	C2 03 891	SD OH	9/30/03			COMPLAINT FILED	
AMERICAN FUTURES CORPORATION	88-4	CFTC	2/11/88	4f(2) 6(b)	1.10(b)(2) 1.10(d) 1.17(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$35,000 REGISTRATION REVOKED AS FCM
AMERICAN FUTURES GROUP, INC.	95-15	CFTC	8/20/97				TRADING PRIVILEGES REVOKED
AMERICAN FX, LLC	03-13	CFTC	6/6/03	4(a) 4b(a)	1.1	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000 JOINTLY & SEVERALLY OWED; TRADING PRIVILEGES

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							SUSPENDED FOR 5 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
AMERICAN HERITAGE RESEARCH, INC.	85-1229	SD OH	8/2/85	4(a)		PERMANENT INJUNCTION	PROHIBITED FROM SELLING SECURITIES EXCEPT IN FULL COMPLIANCE WITH THE OHIO SECURITIES ACT
AMERICAN INTERNATIONAL TRADING CO.	76-20	CFTC	9/29/76	4b			TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS FCM CEASE DOING BUSINESS PENALTY AMOUNT OF \$250,000 LESS REPARATION PAYMENTS TO CUSTOMERS
AMERICAN INTERNATIONAL TRADING COMPANY	76-2095R	CD CA	7/30/76	4b 4c		PERMANENT INJUNCTION	
AMERICAN METALS EXCHANGE CORP.	87-2591HAA	D NJ	11/14/91	4b(A) 4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS
AMERICAN MONETARY ASSOCIATED SERVICES, INC.	82-43	CFTC	9/24/84	4b 4n(3) 4n(4) 4o(1)	4.20(c) 4.21 4.22 4.24(a)		CEASE & DESIST ODE PENALTY AMOUNT OF \$5,000
AMERICAN MONETARY INVESTMENTS, INC.	84-0621-R	ND TX	11/19/84	4d(1) 4d(2) 4k 4(a) 4b(D) 4b(A) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS STOP SOLICITATION TRADE FOR LIQUIDATION ONLY RECEIVER APPOINTED ACCOUNTING ORDERED
AMERICAN OPTIONS CORPORATION	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
AMERICAN PETROLEUM & OIL EXCHANGE	80-0689	SD NY	9/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED
AMERICAN POTATO EXPORTERS, INC.	79-36	CFTC	8/24/81	4a(2)(B) 6(b)	150.10(a) 18.00		CEASE & DESIST ORDER TRADING PRIVILEGES

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					18.01 18.03 19.00 19.04 19.10		SUSPENDED FOR 36 MONTHS
AMERICAN TRADING GROUP	87-6637	SD FL	8/30/88	4d(1) 4k(1)		PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT BOOKS & RECORDS SPECIAL MAGISTRATE APPOINTED TO TAKE CONTROL OF ATG'S ASSETS PROCESS CREDITORS CLAIMS AND DISSOLVE ATG
AMERICAN-OVERSEAS TRADING CORPORATION	75-1970A	ND GA	10/15/76	4c(b) 4m	30.01 30.02	PERMANENT INJUNCTION	
AMERINATIONAL FINANCIAL SERVICES	96-D-389	D COL	1/24/97			DEFAULT JUDGMENT	DISGORGEMENT OF \$2,496.16
AMEROGROUP LIMITED	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
AMGINE INC., a Nevada Corporation f/d/b/a BRITISH CAPITAL GROUP	03 C 4346	ND IL	6/24/03			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
AMICI, JAMES JOHN	79-3558	SD FL	2/12/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
AML FUTURES, INC.	86-27	CFTC	7/25/86	4(g)	1.31(a) 1.35(a) 1.37(a) 1.38(b) 17.00(a)(1) 17.00(b) 17.01(b) 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$50,000
AMMONS, JAMES O.	86-H-4366	SD TX	3/9/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS STOP SOLICITATION TRADE FOR LIQUIDATION ONLY RECEIVER APPOINTED ACCOUNTING ORDERED COSTS AWARDED ENJOINED FROM VIOLATION OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TEXAS SECURITIES AND DECEPTIVE TRADE PRACTICES LAWS TO PAY THE STATE OF TEXAS \$10,000 PENALTY AND \$10,000 JOINTLY FOR COSTS 3/28/87 - CHARGED W/ CIVIL CONTEMPT
AMODEO, FRANK	93-2	CFTC	3/24/04			COMMISSION ORDER	COMPLAINT DISMISSED FOR A FAILURE OF PROOF.
AMOS, WILLIAM E.	CV-98-N-1755-S	ND ALA	7/7/98	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B) 4n(4)	4.20(c) 3.21(a) 4.21 4.22 4.24 4.25 4.26	RESTRAINING ORDER	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED
AMUNDSON, LEE DONALD	98-4	CFTC	8/24/98	4(a) 4b(a) 4o(1)(A) 4o(1)(B)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$20,000 JOINTLY OWED AMUNDSON SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION NOR SHOULD HE ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION FOR A PERIOD OF 6 YEARS FROM THE DATE OF THE ORDER
ANCHETA, ROMEO a/k/a ROGER BARRETO	02-6619	CD CAL	5/11/2004	4(a)		DEFAULT ORDER	RESTITUTION OF \$870,352.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR; EACH DEFENDANT OWES \$120,000 IN CIVIL MONETARY PENALTIES.
ANDERSEN, ALLEN	2:04CV00804 BSJ	D UT	9/1/2004			COMPLAINT FILED	
ANDERSON FAMILY TRUST	95-C-5422	ND IL	9/22/95	4b(a)(i) 4b(a)(ii) 4d(1) 4d(2) 4m(1) 4o(1) 9(a)(1)		RESTRAINING ORDER	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED - R. DICKEY HAMILTON, ESQ.
ANDERSON, ALLEN	1:02CV00101	D UT	2/6/03	4b(a)(i)-(iii) 4o(1) 4m(1)	4.21 4.14(a)(9)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; PERMITTED UP TO \$5,000 PER MONTH FOR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGULAR LIVING EXPENSES.
ANDERSON, CHRIS E.	88-18	CFTC	6/7/88	4b(A) 4k(1) 6(b)	1.31(a) 166.2 166.3		CEASE & DESIST ORDER PENALATY AMOUNT OF \$5,000 TRADING PRIVILEGES SUSPENDED FOR 24 MONTHS SUSPENSION AS AP FOR ONE MONTH OR LESS
ANDERSON, DEIRDRE	02-14	CFTC	6/6/03	4b		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
ANDERSON, GARY BRUCE	950C05422	ND IL	4/25/97	4d(1) 4m(1) 4b(a)(i) 4b(a)(ii) 4o(1) 9(a)(1) 4d(2)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS STOP SOLICITATION
ANDERSON, ROBERT F.	80-22	CFTC	10/21/83	4b			CEASE & DESIST ORDER PENALTY AMOUNT OF \$20,000
ANDERSON, ROBERT F.	SD-85-2	CFTC	3/30/87				CONDITIONALLY REGISTERED AS AN AP
ANDREWS, ANTHONY F.	96-2185	D AZ	1/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 4d(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS STOP SOLICITATION DEFENDANTS ARE JOINTLY & SEVERALLY LIABLE FOR RESTITUTION AMOUNT OF \$602,088.05 TRADING PROHIBITION ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT ("ASA"); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER ACT OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT
ANDREWS, CHARLES E.	SD-95-13	CFTC	5/9/95				AP & FB REGISTRATIONS SUSPENDED UNTIL FINAL DISPOSITION OF UNDERLYING CRIMINAL ACTION
ANDREWS, CHARLES E.	SD-95-18	CFTC	8/7/95				REGISTRATION REVOKED AS AP & FB
ANDREWS, HAROLD	76-2095R	CD CA	7/30/76	4b 4k		PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ANDREWS, HAROLD LEIGH	76-14	CFTC	6/23/76				REGISTRATION DENIED AS AP
ANDREWS, PATRICIA G.	96-2185	D AZ	1/22/98				MARITAL PROPERTY W/ ANTHONY F. ANDREWS CAN BE USED TO PAY RESTITUTION
ANGELL, GEORGE	02-08	CFTC	3/6/02	4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)(1)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000; SHALL NOT APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION FOR A PERIOD OF 3 YEARS.
ANGLO-AMERICAN, LTD.	80-01109	CD CA	5/7/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS ENJOINED FROM TRADING PETROLEUM FUTURES
ANGLO-SWISS METALS LTD.	87-2591HAA	D NJ	11/14/91	4b(A) 4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS RECEIVER APPOINTED DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS
ANIXER, SCOTT C.	91-2	CFTC	12/17/90	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER TRADING PRIVILEGES SUSPENDED FOR 6 MONTHS SUSPENDED AS FB FOR 6 MONTHS LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS
ANNAPOLIS FUNDING COMPANY	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	RECEIVER APPOINTED
ANTHONY, MICHAEL	85-1555	ND CA	11/6/87	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS PAY \$400,000 TO RECEIVER
ANTONACCI, GARY S.	83-37	CFTC	4/18/90	4n 6(b)	4.21(a) 4.21(g) 4.21(h) 4.31(a) 4.31(f) 4.31(g)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$15,000 REGISTRATION REVOKED AS CPO, CTA & AP REGISTRATION DENIED AS CPO
ANTONACCI, GARY S.	98-8	CFTC	3/5/98	4m(1)			CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED ALL CONTRACT MARKETS SHALL REFUSE ANTONACCI TRADING PRIVILEGES BEGINNING ON THE 3 RD MONDAY AFTER THE DATE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OF THIS ORDER THE 3/5/98 ORDER STATES THAT ANTONACCI SHALL NOT ACT IN ANY CAPACITY AS A CTA/CPO OR AS AN AGENT OR OFFICER OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED AS CTA OR CPO
APACHE TRADING CORPORATION	87-14	CFTC	8/25/89	4c(b) 4k(1) 6(b)	33.10		CEASE & DESIST ORDER
APPLETON, PHILIP S.	78-1604CSH	SD NY	12/7/78	4f 4g 6(b)	1.10 1.17 1.18	PERMANENT INJUNCTION	
APPLIED CAPITAL MANAGEMENT, LLC	1:99-CV-138	E.D TN.	9/15/00	4b(a)(i) 4b(a)(ii) 4o(1) 4k(2) 4n 9(a)(3)	4.21 4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; JOINT OWED RESTITUTION OF \$334,167 PLUS PRE-JUDGEMENT INTEREST OF \$36,636 W/ CO-DEFENDANT SHELDON; PREVIOUS ORDERS AS TO APPLIED CAPITAL MANAGEMENT SHALL EXPIRE UPON THE ENTRY OF THIS ORDER.
AQUILA MERCHANT SERVICES, INC.	04-08	CFTC	1/28/2004	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$26,500,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
ARABATZIS, STEVEN M.	78-52	CFTC	3/5/84	4c(b) 4k	32.3(b) 32.5(a) 32.5(c) 32.5(d) 32.7(e) 32.9		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS AP
ARABATZIS, STEVEN M.	79-1671	SD NY	1/1/84	4b 4c(b) 4c(c) 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT
ARAKELIAN, ARTOUR	04 CV 02768	SD NY	4/12/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
ARCHARAY ENTERPRISE CORPORATION	79-4873	SD NY	10/23/79	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS PROTECT BOOKS & RECORDS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECEIVER APPOINTED
ARCHER, STEVEN DOYLE	78-32	CFTC	12/12/78	4c(b)	30.01 32.9		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS AP
ARCUS, ARNOLD	79-26	CFTC	1/6/82	4c(b)	32.9		CEASE & DESIST ORDER
ARCUS, ARNOLD	79-53	CFTC	7/17/79				CONSOLIDATED WITH 79-26
ARGUS CORPORATION	90-26	CFTC	9/18/90	4d(2) 4g	1.12(d) 1.20(c) 1.21 1.33(f) 1.37 166.3		CEASE & DESIST ORDER PENALTY AMOUNT OF \$45,000
ARMSTRONG REPORT, INC.	85-47	CFTC	2/8/93	4m 4b(A) 4o(1)	4.32 4.31(b) 4.41(a) 4.41(b)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$4,000
ARMSTRONG, MARTIN A.	85-47	CFTC	3/10/95	4b(A) 4o(1)	4.31(a) 4.31(b) 4.41(a) 4.41(b)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$12,000 RESPONDENT MOTION FOR CLARIFICATION AND RECONSIDERATION DENIED 5/4/95
ARMSTRONG, MARTIN A.	87-10	CFTC	7/16/87				APPEALED CONSOLIDATED WITH 85-47
ARMSTRONG, MARTIN A.	99-CIV-9669	S.D. NY	11/30/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m 4o		INJUNCTION	ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ARNDT, GEORGE PHILIP	86-31	CFTC	8/19/86		4o(1) PRELIMINARY	4.41(a) 4.41(b)	CEASE & DESIST ORDER PENALTY AMOUNT OF \$35,000 JOINTLY OWED TO UNDERTAKE TO COMPLY WITH REGULATION 4.31
ARNOLD, CURTIS MCNAIR	97-12	CFTC	8/14/00	4b(a)(i) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000; TRADING PRIVILEGES SUSPENDED 3 YEARS; SHALL COMPLY WITH UNDERTAKINGS INCLUDING: NEVER APPLYING FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY.
ARNOLD, EDWARD A.	79-35	CFTC	3/21/79	4b(D)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$20,000 TRADING PRIVILEGES REVOKED REGISTRATION REVOKED AS FB
ARNOLD, WILLIAM EUGENE	98-4	CFTC	12/18/98	4(a)	166.4		CEASE & DESIST ORDER

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a) 4o(1)(A) 4o(1)(B)			REGISTRATION REVOKED AS AP
ARNOUX, MARK HARRY	86-22	CFTC	9/10/86	4b(A) 4b(C)	166.2		CEASE & DESIST ORDER PENALTY AMOUNT OF \$25,000 TRADING PRIVILEGES REVOKED
ARONOWITZ, PAUL	98-CIV-1365	SD NY	3/3/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS PROTECT & ACCESS BOOKS & RECORDS ACCOUNTING ORDERED
ARS FINANCIAL SERVICES	H-96-1213	SD TX	6/8/98	4b(a)(ii) 4o(1) 4n(4)	4.20(b) 4.20(c) 4.13(b)(1) 4.13(b)(2) 4.30	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS STOP SOLICITATION TRADING PROHIBITION ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT OR SEEKING REGISTRATION WITH COMMISSION
ARSENAULT, JOSEPH S.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
ARTHUR ANDERSEN & CO.	86-37	CFTC	9/30/86		1.16		CEASE & DESIST ORDER PENALTY AMOUNT OF \$50,000
ASARO, FRANK	03-2193	D KS	4/22/03	4o(1)(A) & (B)	4.41(a)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ASHER, DANIEL B.	SD-98-6	CFTC	5/29/98	8a(3)(M) 8a(4)			FB RESTRICTED AS FOLLOWS: SHALL NOT SERVE ON ANY DISCIPLINARY COMMITTEE, GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION SUBJECT TO REGULATION BY THE COMMISSION; MAY NOT ACT AS FB/FT UNLESS HIS FLOOR TRADING ACTIVITIES ARE SUBJECT TO A SUPPLEMENTAL SPONSOR CERTIFICATION STATEMENT; THE RESTRICTION SHALL REMAIN IN EFFECT UNTIL TWO YEARS AFTER THE ORDER
ASHMAN, BRADLEY STEVEN	91-17	CFTC	4/22/98	4b(A) 4b(B) 4b(D) 4c(a)(A)	1.38(a)		THE TRADING PROHIBITION AND C&D ORDER PREVIOUSLY IMPOSED BY THE ALJ (5/12/95) SHALL BECOME EFFECTIVE 30 DAYS FROM THE ORDER DATED 4/22/98
ASHTON AND ST. JOHN'S	80-3707	SD NY	3/10/81	4o(1)	4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INCORPORATED				4n(4) 4n(3)	4.23 4.24 4.21(b) 4.21(a)		PROTECT BOOKS & RECORDS RECEIVER APPOINTED ACCOUNTING ORDERED
ASHTON AND ST. JOHN'S INCORPORATED	81-10	CFTC	3/27/81	4o(1) 4n(3)(A) 4n(4)	4.21 4.22 4.23 4.24		CEASE & DESIST ORDER TRADING PRIVILEGES REVOKED REGISTRAION REVOKED AS CPO
ASSOCIATED FINANCIAL SERVICES, INC.	87-6895G	SD FL	11/19/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT TRADING PROHIBITION; ENJOINED FROM VIOLATING THE FLORIDA STATUTES GOVERNING FRAUD AND BOILER ROOMS SHALL NOT APPLY FOR REGISTRATION OR ENGAGE IN COMMODITY FUTURES BUSINESS.
ASTOR AND MONTCALM, INC.	79-1671	SD NY	1/1/84	4b 4c(b) 4c(c) 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT
ATHANSON, HARRY J.	86-15	CFTC	8/27/86	4b(A)			CEASE & DESIST ORDER PENALTY AMOUNT OF \$16,000 TRADING PRIVILEGES REVOKED
ATLANTIC FUTURES INC.	85-1	CFTC	4/23/85	4b(A) 4o(1)	4.21(a) 4.21(a)(3) 166.3 4.41(a)		CEASE & DESIST ORDER PENALTY AMOUNT OF \$100,000 JOINTLY OWED CTA & CPO REGISTRATION SUSPENDED FOR 6 MONTHS SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION TRADING PROHIBITION
ATLANTIC GOLD COINS, INC.	84-6717	SD FL	12/4/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT RECEIVER APPOINTED
ATLANTIC MERCANTILE GROUP, INC.	91-CIV-6136	SD FL	8/6/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3	PERMANENT INJUNCTION	
ATLANTIC MERCANTILE GROUP, INC.	92-23	CFTC	7/27/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER IB REGISTRATION REVOKED SHALL NEVER SEEK REGISTRATION W/ COMMISSION IN ANY CAPACITY
ATLANTIC TRADING COMPANY	80-9	CFTC	12/9/81	4b(C) 4d(2) 4f(2)	1.17(a) 1.23 1.31		CEASE & DESIST ORDER FCM REGISTRATION REVOKED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g	1.32 1.33(a)(1) 1.34 1.35(a) 1.46(a)		
AUCELLA, DAVID J.	86-6	CFTC	1/15/91	4b	166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; AP REGISTRATION REVOKED; THIS ACTION WILL NOT TAKE EFFECT UNTIL THE CRIMINAL ACTION AGAINST HIM IS SETTLED.
AUGELLO, VINCENT	SD-96-1	CFTC	11/27/96	8a(2)(D)			FB REGISTRATION REVOKED
AUGELLO, WILLIAM	02-60769	SD FL	8/31/2004	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$75,000 AND CIVIL MONETARY PENALTY OF \$225,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
AUGUSTINE, JAMES DEMETRIUS	86-1479G	ND TX	6/16/86	4c(c) 4c(b)		PERMANENT INJUNCTION	PROHIBITED FROM VIOLATING TEXAS SECURITIES ACT
AURIC EQUITY CORPORATION	80-0421	SD NY	6/21/83	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.20(c) 4.21(a) 4.22(a) 4.23	PERMANENT INJUNCTION	
AUSTER, MORRIS	79-61	CFTC	10/4/81	6(b)			CEASE & DESIST ORDER; AP REGISTRATION REVOKED; AFFIRMED ON APPEAL BY 9 TH CIR.
AUSTER, MORRIS	83-39	CFTC	11/8/83				CTA REGISTRATION REVOKED.
AUTOMATED TRADING SYSTEMS, INC.	96-08202	SD FL	6/25/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4d(1) 4d(2) 4m(1) 4k(1) 4k(2) 9(a) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	RESTITUTION OF \$24,309 PLUS PRE-JUDGMENT INTEREST/
AVCO FINANCIAL CORP.	97-CIV-3119	SD NY	10/13/98	1(a)(5) 4k(3) 4o(1)(A)	1.33(a)(4) 4.41		DISGORGEMENT OF \$701,534 JOINTLY & SEVERALLY OWED W/ ANTHONY VARTULI; FREEZE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)(B) 4b(a)(i)			ASSETS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONEY PENALTY OF \$5,000; JUDGMENT BY COURT AFTER ITS ISSUANCE ON 8/20/98 PERMANENT INJUNCTION.
AXESS TRADE CO., INC.	04 CV 4293	SD NY	6/7/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
AYM FINANCIAL CORP.	96-CV-2640	E.D. PA.	10/20/99			FINAL ORDER OF DISTRIBUTION, SUPPLEMENTING PERMANENT INJUNCTION	JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$3,000,000. ALL BUT \$77,618 IS WAIVED BASED ON PALEY & JUECHTER'S SWORN FINANCIAL STATEMENTS. PAYMENT BY PALEY, JUECHTER & AYM IN ACCORDANCE W/ RESTITUTION ORDER ENTERED IN SEC V. AYM SATISFIES DUTY TO PAY \$77,618 TO CFTC.
B&B COMMODITIES	80-28	CFTC	3/27/86	4c(a)			CEASE & DESIST ORDER; PENALTY AMOUNT OF \$10,000; TRADING PRIVILEGES SUSPENDED FOR 1 MONTH OR LESS; FCM REGISTRATION SUSPENDED FOR 1 MONTH OR LESS; APPEALED; APPEAL WITHDRAWN 11/26/86.
BABIO, JOSEPH JR.	91-22	CFTC	6/30/92	4k(2)			CEASE & DESIST ORDER; PENALTY AMOUNT OF \$2,500; SHALL NOT SEEK REGISTRATION W/ COMMISSION IN ANY CAPACITY; SHALL NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION.
BACHUS & STRATTON COMMODITIES	94-2	CFTC	10/21/93	4b(a) 4c(b) 4o	33.7(f)'		
BACHUS & STRATTON COMMODITIES, INC.	92-6427	SD FL	10/18/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a) 166.3	PERMANENT INJUNCTION	
BAILEY, JEFFREY T. d/b/a JMK FUTURES FUND	C-1-01-212	SD OH	12/18/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	4.20(c) 4.21	PERMANENT INJUNCTION	
BAILIN, ROBERT H.	93-20	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING PRIVILEGES SUSPENDED 1 MONTH OR LESS; FB REGISTRATION SUSPENDED 1 MONTH OR LESS; DIVISION OF ENFORCEMENT MOTION FOR PARTIAL SUMMARY DISPOSITION GRANTED; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO ACT AS FB FOR 6 MONTHS.
BAIRD, LINDA RAE	80-27	CFTC	1/9/84	4b 4h 4k			CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 36 MONTHS; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
BAKAL, BARNETT	89-27	CFTC	1/16/92	4a(5) 4i 6(b)	18.04		CEASE & DESIST ORDER; PENALTY AMOUNT \$35,000; TRADING PRIVILEGES SUSPENDED 4 MONTHS; FB REGISTRATION SUSPENDED 4 MONTHS; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN.
BAKAS, DAVID PETER	75-5	CFTC	9/5/75	4b 4d 9	1.20		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 60 MONTHS.
BAKER, DAVID ANDREW	90-31	CFTC	10/29/91	4b(A) 4c(a)(B) 4b(D) 4g(1) 4c(a)(A)	1.31(a) 1.35(a-1) 1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$5,000; TRADING PRIVILEGES SUSPENDED 4 MONTHS; MAY NOT APPLY FOR REGISTRATION OR ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION FOR 3 YEARS.
BAKER, JOHN M.	93-12	CFTC	5/28/97	4b(a)(iv)	1.38(a)		CEASE & DESIST ORDER; FB REGISTRATION REVOKED; FB REGISTRATAION SUSPENDED 84 MONTHS.
BAKER, ROBERT V.	89-2-SD	CFTC	3/19/90				CPO REGISTRATION REVOKED.
BAKER, SANDY	83-16	CFTC	2/15/83	4e			CEASE & DESIST ORDER; PENALTY AMOUNT \$10,000.
BAKSHEEFF, CONSTANTINE	78-48	CFTC	1/31/84	4b(A) 4d(2) 4f(2) 4f(1) 4g(1)	1.37 1.20(a) 1.21 1.17 1.10(f)		CEASE & DESIST ORDER; PENALTY AMOUNT \$70,000; TRADING PRIVILEGES SUSPENDED 33 MONTHS; AP REGISTRATION REVOKED.
BAKSHEEFF, CONSTANTINE	80-34	CFTC	3/20/86				CTA REGISTRATION DENIED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BALFOUR MACLAINE FUTURES, INC.	90-1	CFTC	4/17/90	4c(a)(A)	166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$150,000 JOINTLY OWED.
BALFOUR MACLAINE INTERNATIONAL, LTD.	90-1	CFTC	4/17/90	4c(a)(A)			CEASE & DESIST ORDER; PENALTY AMOUNT \$150,000 JOINTLY OWED.
BALFOUR MACLAINE, INC.	81-2431	SD NY	10/14/81	4d(2)	1.20(a) 1.22	PERMANENT INJUNCTION	SHALL PAY TO COMMODITY RESOURCES, INC. \$58,527 FOR RETURN TO CUSTOMERS.
BALFOUR MACLAINE, INC.	88-28	CFTC	3/21/89	4g 4i	17.00(a) 17.00(e) 17.00(f) 17.01 17.02 166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$15,000.
BALLARD, TERENCE	86-36	CFTC	3/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$5,000; TRADING PRIVILEGES SUSPENDED 6 MONTHS.
BALLY, JEAN-JACQUES	85-12	CFTC	1/6/86	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PENALTY AMOUNT \$1,000,000; TRADING PRIVILEGES REVOKED.
BALTER, JACK	85-72563	ED MI	11/1/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
BALTER, WILLIAM	85-72563	ED MI	11/1/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
BAMAODAH, AHMED ABDUL QUAWI	84-4	CFTC	4/18/86	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PENALTY AMOUNT \$30,000; TRADING PRIVILEGES SUSPENDED 3 MONTHS.
BAN, MARTA	97-6800	CD CAL	5/4/98	4b(a)(i) 4b(a)(ii) 4m 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	STOP SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
BANDEMER, RICHARD A.	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A) 4o(1)(B) 4b(a)(i)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP SOLICITATION; DISGORGE \$25,000 PLUS ALL ASSETS OF JDI AND PHOENIX TRADING, PLUS 25% OF THE DIFFERENCE BETWEEN HIS INCOME AND \$100,000 FOR 60 MONTHS.
BANQUE POPULAIRE SUISSE	80-8	CFTC	10/9/81	4i	21.02		CEASE & DESIST ORDER; TRADING PRIVILEGES

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSPENDED 3 MONTHS.
BARAGOSH, ESFAND	CIV-PJM-98-3316	D. MD.	3/20/00	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)		SUMMARY JUDGEMENT	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; SHALL NOT SEEK APPLICATION FOR REGISTRATION W/ COMMISSION; STOP SOLICITATION; RESTITUTION OF \$5,264,251 PLUS PRE & POST JUDGEMENT INTEREST. CIVIL MONETARY PENALTY OF \$1,211,058 PLUS POST JUDGEMENT INTEREST.
BARAL CORPORATION	83-CV-1885	ED MI	7/6/85	4o(1) 4d 4n(3) 4b	4.21(a) 4.41(b) 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE ASSETS; PROTECT BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
BARATH, HARRY	79-3	CFTC	1/8/79				AP REGISTRATION DENIED.
BARATZ, PHILIP J.	87-14	CFTC	4/26/88		166.3		CEASE & DESIST ORDER; SUSPENDED AS AP 3 MONTHS; NOT TO ACT IN SUPERVISORY CAPACITY FOR 1 YEAR.
BARBACK, RONALD	3:97CV638	ED TN	3/24/98	4b(a)(i) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION W/ COMMISSION IS REQUIRED OR SEEKING ANY SUCH REGISTRATION WITH THE COMMISSION; PROHIBITED FROM TRADING HIS ACCOUNTS FOR 3 YEARS; SHALL PAY RESTITUTION IN THE AMOUNT OF \$102,843.98; NFA WILL MONITOR HIS COMPLIANCE.
BARBAKOW, MAURICE	79-03851	CD CA	5/10/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
BARBARINO, FRANK	SD-99-3	CFTC	12/21/99		8a(3)(M) 8a(4)	COMMISSION ORDER	REGISTRATION AS FB RESTRICTED.
BARBEE, PHILIP	86-36	CFTC	3/27/87		166.3		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$5,000.
BARCAL, WILLIAM A. III	91-16	CFTC	5/5/94	4b(B) 4b(D)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPEALED; RESPONDENT APPEAL DISMISSED 6/19/95.
BARCLAY COMMODITIES CORPORATION	78-1069	SD FL	10/26/81	4c(b) 4o(1)	32.5(a) 32.8 32.9 30.01(c)	PERMANENT INJUNCTION	
BAREN, MARTIN RICHARD	SD 95-2	CFTC	4/3/95				FT REGISTRATION DENIED.
BARGER, EDWARD L.	86-16	CFTC	2/3/87	4(a)			CEASE & DESIST ORDER; PENALTY AMOUNT OF \$15,000; SHALL NOT APPLY FOR REGISTRATION FOR 3 YEARS.
BARLEY, CHARLES M.	90-30	CFTC	9/25/90	4a(5) 4c(a) 4g	17.00 17.01 1.35(a-1)(1)		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$35,000; SUSPENSION AS AP FOR 1 MONTH OR LESS.
BARNARD, ROSS A.	86-6	CFTC	11/28/99	4b	166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP.
BARNES, DON F.	78-120A	ND GA	1/26/78	4f 4g	1.17 1.18 1.32	PERMANENT INJUNCTION	
BARNES, DON F.	78-45	CFTC	8/2/79	4f(1) 4f(2) 4g	1.17 1.18 1.32		CEASE & DESIST ORDER; REGISTRATION REVOKED AS AP.
BARRETT BELL INVESTMENT CORP.	93-C1022E	ND OK	12/11/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)(A) 4n(3)(A) 9(A)(1) 4o(1)(B)	4.21 4.22	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
BARRICK, LARRY D	81-0633	D UT	8/26/81	4o(1)		PERMANENT INJUNCTION	
BARRIER, JERRY B.	85-5	CFTC	8/30/85	4a(2)(B) 4i	18.00 18.01(a) 18.01(d) 18.04 150.2		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 12 MONTHS; REGISTRATION REVOKED AS AP; SHALL COOPERATE W/ COMMISSION.
BARRY CALLEBAUT SOURCING AG	04-16	CFTC	5/13/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
BARTELSTEIN, ALAN M.	85-46	CFTC	2/21/86	4c(a)(B) 4e	1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$20,000; TRADING PRIVILEGES SUSPENDED FOR 1 MONTH OR

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							LESS; SHALL NOT APPLY FOR REGISTRATION FOR SIX MONTHS.
BARTEX PETROLEUM CORP. BARTH, CHARLES NICHOLAS	80-0689 95-279-L-S	SD NY WD KY	7/19/82 12/1/98	4b 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4d(1) 4o 4m 4n 4k(1) 4k(2)	 4.20 4.23 3.12 4.21	PERMANENT INJUNCTION PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE ACT AND FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
BARTLETT, ROBERT S.	92-041-LDG	D NV	8/3/93				COURT ORDERED DISGORGEMENT; RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; DISGORGE AT LEAST \$434,834.00 WITHIN 90 DAYS; ALL CONTRACTS RESCINDED COURT ORDER.
BARTON, MATTHEW FRANCIS	SD 94-3	CFTC	1/5/94				CONDITIONAL FT REGISTRATION GRANTED; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
BARTONE BROKERAGE CORPORATION	88-34	CFTC	9/30/88				REGISTRATION REVOKED AS IB; SHALL NEVER SEEK REGISTRATION W/ COMMISSION.
BARTONE, WILLIAM A. JR.	88-0584OHLH	CD CA	9/30/88	4(a) 4b(A)		PERMANENT INJUNCTION	
BARTONE, WILLIAM A. JR.	88-34	CFTC	9/30/88	4a 4b(A)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP; SHALL NEVER SEEK REGISTRATION W/ COMMISSION.
BASHISTA, RONALD	78-48	CFTC	1/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PENALTY AMOUNT \$6,000; REGISTRATION REVOKED AS AP.
BASMAN, LEONARD	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
BASSETT, RONALD K.	2-02 CV-432	D UT	5/2/02	4b(a)(i)		COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iii) 4(a)			
BATES, UNDERWOOD & CO., INC.	79-03851	CD CA	5/9/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
BAUER, FRANK J.	79-30	CFTC	4/21/80	4b 4d 4c(b) 4o 6(b)	32.3 1.10b 1.10c		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP & CPO.
BAUGH, DERON	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)	33.10(a) & (c)	COMPLAINT FILED	
BAUMAN, BERNARD	79-1	CFTC	2/1/85				REGISTRATION REVOKED AS AP.
BAUMAN, BERNARD	79-3558	SD FL	2/6/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	SHALL PAY \$1,000 TO RECEIVER.
BAUMGARD, JAMES	00-07	CFTC	3/7/00	4b(a)(i) 4b(a)(iii) 4c(b)	33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; REGISTRATION AS AP SUSPENDED 60 DAYS; REGISTRATION AS AP CONDITIONED & RESTRICTED AFTER 60 DAY SUSPENSION IS CONCLUDED; SHALL COMPLY W/ UNDERTAKINGS, INCLUDING: PAY FARMER'S COMMODITIES CORP. \$75,000 IN CONNECTION WITH CONDUCT IN CASE. PENALTY AMOUNT \$25,000.
BAXTER INVESTMENTS, INC.	88-2185	SD FL	12/14/89	4b 4c(b) 4g(1) 4n(3) 9(a) 4k	33.10 1.31 1.35 4.23 4.32 166.3 3.12 3.16	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
BAXTER INVESTMENTS, INC.	90-2	CFTC	12/1/89	4b 4c(b) 4g(1) 4k 4n(3) 9(a)	3.16 4.23 4.32 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS CTA, CPO, AND FCM; SHALL NEVER SEEK REGISTRATION.
BAY HARBOR TRADING COMPANY	SD 02-03	CFTC	5/28/02	8a(2)(H)		COMMISSION ORDER	IB REGISTRATION REVOKED.
BE LOW, RICHARD	86-19	CFTC	2/10/87	4(a)			CEASE & DESIST ORDER; PROHIBITED FROM ANY ACTIVITY REQUIRING CFTC REGISTRATION FOR 5 YEARS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPEAL WITHDRAWN 3/24/87.
BEACON HILL ASSET MANAGEMENT, LLC	SD 03-01	CFTC	1/7/03			COMMISSION ORDER	CTA REGISTRATION SUSPENDED FOR 6 MONTHS.
BEAR STEARNS & CO., INC.	92-5	CFTC	11/19/91	6(b)	166.3 1.35(a-1)(2)		CEASE & DESIST ORDER; PENALTY AMOUNT \$250,000.
BEAR, STEARNS & CO., INC.	86-28	CFTC	7/25/86		166.3		CEASE & DESIST ORDER; PENALTY AMOUNT \$80,000.
BEAR, STEARNS AND COMPANY	80-31	CFTC	3/14/83	4b 4b(D) 4c(a) 4g	1.35 1.37 1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$80,000.
BEARD, BARRY W.	81-2250-W	WD TN	5/6/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
BEARE, BRUCE R.	89-5363	CD CA	3/5/91	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
BEARE, BRUCE R.	91-5	CFTC	3/5/91	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATIN REVOKED AS AP.
BEARE, DAVID C.	89-5363	CD CA	3/5/91	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
BEARE, DAVID C.	91-5	CFTC	3/5/91	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION REVOKED AS AP.
BECHAM, GLENN L.	85-3	CFTC	7/3/85	4o(1) 4n(3)(A) 4n(4)	4.24 4.23(a) 4.22(b) 4.21(b)		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 12 MONTHS.
BECK, LAWRENCE A.	90-14	CFTC	3/12/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 4 MONTHS; REGISTRATION REVOKED AS FB; SHALL NOT APPLY FOR REGISTRATION WITH COMMISSION FOR 6 YEARS; MUST LIQUIDATE POSITIONS FOR 4 MONTHS.
BECKWITH, RICHARD	SD 93-9	CFTC	7/16/93				CONDITIONAL FB REGISTRATION GRANTED; CONDITIONS IN EFFECT FOR 2 YEARS.
BEDERSON, EDWIN	79-4867	SD NY	9/29/79	4c(b) 4c(c)		PERMANENT INJUNCTION	
BEDERSON, EDWIN	80-0689	SD NY	7/15/81	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BOOKS & RECORDS; ACCOUNTING ORDERED.
BEHAM, PHILIP L.	81-7	CFTC	2/9/81	4k(1)			CEASE & DESIST ORDER; PENALTY AMOUNT \$1,500.
BEHR, ERNST H.	04-2181	WD TN	9/13/2004			COMPLAINT FILED	
BELANGER, GEORGE d/b/a IFC L.C., INVESTMENT FREEDOM CLUB, VENTURE FREEDOM FUND LTD., and VENTURE FREEDOM FOUNDATION	8:03-CV-54-T	MD FL	2/5/03			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; 1/13/03 STATUTORY RESTRAINING ORDER SHALL REMAIN IN FULL FORCE AND EFFECT; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY; ENTITLED TO NO MORE THAN \$1,000 PER MONTH FOR LIVING EXPENSES.
BELIDA, CHARLES	78-6508	SD FL	6/28/79				ORDER.
BELL EGG FARMS, INC.	75-13	CFTC	8/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 1-2 MONTHS.
BELL, CRAIG H.	90-29	CFTC	5/30/91	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.31(a)(1) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PENALTY AMOUNT \$115,000; TRADING PRIVILEGES SUSPENDED FOR 12 MONTHS; REGISTRATION REVOKED AS FB; SHALL NEVER APPLY FOR REGISTRATION; SHALL NEVER APPEAR ON ANY TRADING FLOOR; MUST LIQUIDATE ALL EXISTING FUTURES POSITIONS.
BELL, NORMAN	75-13	CFTC	8/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 1-2 MONTHS.
BELL, PAUL RICHARD	89-4	CFTC	9/15/95	4b(A)			CEASE & DESIST ORDER; PENALTY AMOUNT \$100,000; REGISTRATION REVOKED AS AP; AFFIRMED (11 TH CIR.).
BELL, RICHARD CONROY	93-C1022E	ND OK	12/11/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)(A) 9a(1) 4o(1)(B) 4n(3)(A)	4.21 4.22	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
BELLASSAI, NANCY A.	01-01	CFTC	7/25/03	4b(a)(i) &		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				(iii) 4m 4o(1)			MONETARY PENALTY OF \$440,000; TRADING PRIVILEGES PROHIBITED FOR TEN YEARS; REGISTRATION REVOKED.
BELLMAN, LEON	79-3558	SD FL	2/5/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	SHALL PAY \$1,000 TO RECEIVER.
BELLMAN, LEON	SD 82-1	CFTC	12/8/81				REGISTRATION AS AP DENIED.
BELLO, ANDREW JR.	91-22	CFTC	6/30/92	4b(A) 4b(B) 4k(2) 4n(3) 4n(4) 4o(1)	4.21(a) 4.22(a) 4.23(a)		CEASE & DESIST ORDER; REGISTRATION REVOKED AS AP; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT ENGAGE IN ACITVITIES REQUIRING REGISTRATION; MUST MAKE RESTITUTION WITHIN TWO YEARS TO ALL CHAMPION FUTURES FUND INVESTORS.
BELPEDIO, LOUIS RAYMOND	SD 95-8	CFTC	1/17/95				CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
BELZ, RICHARD G.	3:99-CV-378	ED TN	9/3/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 1.31 4.21 4.22 4.23 4.24 4.25 4.26	PERMANENT INJUNCTION	DISGORGEMENT OF \$596,581 PLUS POST JUDGMENT INTEREST JOINTLY & SEVERALLY OWED; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
BEMILLER, BART	3:98CV0281AS	N.D. IND.	1/12/00	4b(a)(i) 4m(1) 4o(1)	4.20(a)(1) 4.20(c) 4.21 4.24	PERMANENT INJUNCTION	DISGORGEMENT OF \$69,722; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE RESTITUTION OF \$606,830 PLUS PRE-JUDGEMENT INTEREST OF \$53,327 W/ CO-DEFENDANT HUDKINS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
BENGAL TRADING CORPORATION	80-6563	SD FL	02/09/81	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	
BENGSON, TIMOTHY M.	00-21	CFTC	10/2/00	4b(a)(i) 4b(a)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CONTINGENT CIVIL MONETARY PENALTY OF \$110,000; SHALL LIQUIDATE ALL FUTURES & OPTIONS POSITIONS HELD BY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							HIM OR ON HIS BEHALF, OR IN WHICH HE HAS ANY BENEFICIAL INTEREST, BEFORE THE COMMENCEMENT OF THE DENIAL OF HIS TRADING PRIVILEGES; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION WITH COMMISSION.
BENJAMIN, MAURICE	80-3952	SD NY	12/23/80	4d(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS
BENJAMIN, MAURICE	82-23	CFTC	2/23/84	6(b) 4f(1) 4k(1)	1.10(a)(1)		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$4,000; TRADING PRIVILEGES REVOKED.
BENNETT, RICHARD W.	78-48	CFTC	1/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PENALTY AMOUNT OF \$6,000; REGISTRATION REVOKED AS AP.
BENSON-QUINN COMMODITIES INC.	SD-97-6	CFTC	5/16/97	8a(3)(N) 8a(3)(4)			ALL EMPLOYEES OR ASSOCIATES OF BQCI OR ADM ARE RESTRICTED FROM ALL ACTIVITIES; SHALL APPOINT OFFICER, DEPARTMENT HEAD OR OTHER EMPLOYEE; DESIGNATED EMPLOYEE SHALL MAINTAIN RECORDS; PROVIDE COMM'N WITH A COPY OF ANY WRITTEN NOTICES; DISTRIBUTE A COPY OF THE ORDER OF THE COMM'N; RESTRICTIONS TO REMAIN IN EFFECT FOR 4 YEARS.
BENTLEY, DAVID	82-6	CFTC	05/22/85	4o(1)	1.14		CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP CTA CPO.
BENTLEY, DAVID L.	82-6108	SD FL	01/07/83 06/09/84	4 4h 4n(3)(A) 4o(1)	4.32	PERMANENT INJUNCTION	DISGORGEMENT; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONVICTED OF CRIM. CONTEMPT
BENTLY, DAVID L.	84-6401NCR	SD FL	04/09/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS.
BENUN, MORRIS J.	99-CIV-4822	SD NY	07/19/99	4b(a)(i) 4b(a)(ii) 4o(1)(A) 4o(1)(B) 4n(3) 9(a)(1)	1.31 4.20(c) 4.23	PERMANENT INJUNCTION JUDGMENT	TRADING PROHIBITION; NEVER TO APPLY FOR REGISTRATION REG; OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; RESTITUTION OF \$996,985; DISGORGEMENT OF \$49,531; CIVIL MONETARY PENALTY NOT ORDERED BASED ON SWORN FINANCIAL STATEMENT.
BERG, HOWARD G.	88-32	CFTC	9/30/88		166.3		CEASE & DESIST ORDER; PENALTY AMOUNT.: \$15,000.
BERG, LAWRENCE M.	89-29	CFTC	9/29/89	4a(2)(B)	150.2		CEASE & DESIST ORDER; PENALTY AMOUNT.: \$30,000.
BERGAMO, GARY R.	92-19	CFTC	11/20/95	4b(A) 4b(B) 4b(C) 4b(D) 4(c)(A) 4(c)(B) 4g	1.38(a) 1.31(a) 1.35(a)		PEN. AMNT.: \$150,000; TRADING PRIVILEGES SUSPENDED 60 MO.; REGISTRATION REVOKED AS FB; APPEALED.
BERGAMO, GARY RALPH	83-27	CFTC	4/12/84	4e			CEASE & DESIST ORDER; PENALTY AMOUNT.: \$10,000.
BERGEN, RAY A.	87-1	CFTC	11/7/86	4c(a)(A)	1.38		CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS
BERGSTROM, CHARLES W.	89-27	CFTC	1/16/92	4c(a)(A) 4c(a)(B)	1.38		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; MUST LIQUIDATE POSITIONS PRIOR TO COMMENCEMENT OF BAN
BERGSTROM, CHARLES W.	SD-93-15	CFTC	5/11/94				FT DENIED.
BERMAN, HAROLD	76-20	CFTC	9/29/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; TO WITHDRAW CTA REGISTRATION APPLICATION.
BERMAN, HERMAN	76-2095R	CD CA	7/30/76	4b 4c		PERMANENT INJUNCTION	
BERMAN, MELVIN	76-20	CFTC	9/29/76	4(b)			TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
BERMAN, MELVIN	76-2095R	CD CA	7/30/76	4b		PERMANENT INJUNCTION	

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				4c			
BERMONT, RICHARD	88-10	CFTC	11/22/89		166.3		CEASE & DESIST ORDER.
BERNTH, DOUGLAS ERIK	88-8130	SD FL	6/17/88	4b 4b(A) 4b(B) 4b(C) 9(a) 4d(1) 4k(1)		INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS
BERRY, FELIX A.	SD-99-6	CFTC	6/2/99	8a(2)(E)	PRELIMINARY		REG. REVOKED AS AP; RESPONDENT SHALL NEVER REAPPLY FOR REGISTRATION IN ANY CAPACITY UNDER THE ACT AND NEVER ACT IN A CAPACITY REQUIRING REGISTRATION.
BERTUCCI, JOSEPH MICHAEL	83-50	CFTC	8/4/83	4e			CEASE & DESIST ORDER; PEN. AMNT.; \$10,000.
BERUS, GARY	96-74525	ED MI	5/20/98	4b(a)(i) 4b(a)(ii) 4m(1) 4m 4k(2) 4o(1)(B) 9(a)(1) 4n(4)	4.21(a) 4.21(b) 4.22 4.20(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE ACT AND ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
BERZINS, PETER	3:99CV592	E.D. VA.	1/18/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4m(1) 4n(4) 4o(1)(A) 4o(1)(B)	33.10 4.20 4.21 4.22(a)	PERMANENT INJUNCTION	TRADING PROHIBITION; RESTITUTION OF \$1,424,456 PLUS PRE-JUDGEMENT INTEREST; SHALL NOT SEEK REGISTRATION W/ COMMISSION; MAY REAPPLY TO COURT TO RESTORE TRADING PRIVILEGES AFTER 10 YEARS.
BESNER, ROBERT A.	96-C-0076		10/03/96	4b(a)(i) 4b(a)(ii) 4o(1) 9(a)(1)	4.30	PERMANENT INJUNCTION	DISGORGEMENT; ENJOINED FROM SOLICITING; PROHIBITED FROM ANY ACTIVITY RELATED TO COMMODITY TRADING; PAY CMP NOT TO EXCEED 100,000 AND PAY RESTITUTION.
BEVILL BRESLER & SCHULMAN SECURITIES, INC.	SD-85-10	CFTC	6/19/85				REG. REVOKED AS FCM
BFC COMMODITIES, INC.	SD-99-6	CFTC	6/02/99	8a(2)(E) 8a(2)(H)			CEASE AND DESIST ORDER; REG. REVOKED AS CPO; REG. REVOKED AS CTA & IB; RESPONDENTS SHALL NEVER REAPPLY FOR REGISTRATION IN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ANY CAPACITY UNDER THE ACT AND NEVER ACT IN A CAPACITY REQUIRING REGISTRATION
BIBAS LEVY CORPORATION	03-22624	SD FL	4/16/2004	4b(a)(2)(i) & (iii)	1.1(b)(1) & (3)	DEFAULT ORDER	DEFENDANTS JOINTLY OWE RESTITUTION OF \$351,686, DISGORGEMENT OF \$110,013.50 AND CIVIL MONETARY PENALTY OF \$120,000; STOP SOLICITATION; CASE CLOSED - ALL PENDING MOTIONS ARE DENIED AS MOOT.
BIBAS, ZACARIAS	03-22624	SD FL	4/16/2004	4b(a)(2)(i) & (iii)	1.1(b)(1) & (3)	DEFAULT ORDER	DEFENDANTS JOINTLY OWE RESTITUTION OF \$351,686, DISGORGEMENT OF \$110,013.50 AND CIVIL MONETARY PENALTY OF \$120,000; STOP SOLICITATION; CASE CLOSED - ALL PENDING MOTIONS ARE DENIED AS MOOT.
BIELFELDT & CO.	96-1	CFTC	12/2/2004			COMMISSION ORDER	COMMISSION REVERSED ALJ'S LIABILITY FINDINGS, VACATE THE SANCTIONS IMPOSED, AND DISMISS THE COMPLAINT FOR A FAILURE OF PROOF.
BIELFELDT, CARLOTTA	96-1	CFTC	12/2/2004			COMMISSION ORDER	COMMISSION REVERSED ALJ'S LIABILITY FINDINGS, VACATE THE SANCTIONS IMPOSED, AND DISMISS THE COMPLAINT FOR A FAILURE OF PROOF.
BIELFELDT, GARY K.	96-1	CFTC	12/2/2004			COMMISSION ORDER	COMMISSION REVERSED ALJ'S LIABILITY FINDINGS, VACATE THE SANCTIONS IMPOSED, AND DISMISS THE COMPLAINT FOR A FAILURE OF PROOF.
BIG RED COMMODITY CORPORATION	78-0122	WD MO	02/15/79	4o	1.33 1.33(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS
BIG RED COMMODITY CORPORATION	80-21	CFTC	02/23/82	4b 4o			CEASE AND DESIST ORDER; REG. REVOKED AS CPO
BIGGS, BYRON G.	04-22	CFTC	8/11/2004	4c(a)(A) & (B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000 TO BE PAID WITHIN TEN DAYS; TRADING PRIVILEGES SUSPENDED FOR ONE YEAR; SHALL COMPLY WITH UNDERTAKINGS.
BIGGS, MICHAEL DESMOND	02-61160	SD FL	3/24/03	4b(a) 4c(b)	1.1(b) 32.9	PERMANENT INJUNCTION	DEFAULT ORDER; FREEZE OF ASSETS; PROTECT & ACCESS

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				4(a)	32.11 33.3		BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$480,000 TO BE PAID WITHIN 30 DAYS; SHALL MAKE FULL RESTITUTION WITHIN 30 DAYS INCLUDING, BUT NOT LIMITED TO \$362,533.93.
BIGHAM, ROBERT W. JR.	87-19	CFTC	03/13/95				PEN. AMNT.: \$100
BILAL, MUHAMMAD	79-1580	ED NY	07/13/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS
BILELLO, LAWRENCE J.	93-5	CFTC	06/26/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; BILELLO SHALL NEVER APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
BILLFUND, INC.	00-25	CFTC	7/17/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4n(4)	4.20 4.21 4.22	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER APPLY FOR REGISTRATION W/ COMMISSION.
BILLINGS, WILLIAM G.	00-25	CFTC	7/17/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4n(4)	4.20 4.21 4.22	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; CONTINGENT CIVIL MONETARY PENALTY OF \$400,000; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER APPLY FOR REGISTRATION W/ COMMISSION.
BIRMA, LTD.	2:00CV00622ST	D. UT	9/25/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.20(a) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING MADE.
BIRMINGHAM, WILLIAM M.	87-16	CFTC	09/22/87	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION FOR 6 MONTHS
BLANCO, FRANK	85-6705	SD FL	09/30/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT

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				4b(A) 4b(C)			
BLANKENSHIP, LARRY J.	78-10	CFTC	01/27/81	4(c) 4b(B)			CEASE AND DESIST ORDER; SUSP. AS FB 1 MO. OR LESS
BLANKOPH, ROBERT	80-29	CFTC	11/05/87	4c(a) 4b	1.38		CEASE AND DESIST ORDER PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
BLESS, JACK	79-17	CFTC	03/12/79				REG. DENIED AS AP
BLEVINS, JAY	94-661-CIV	MD FL	07/08/96	4b(a)(i) 4o1 4k(2)			DISGORGEMENT; AMENDED COMPLAINT; 7/3/95; DISGORGEMENT OF 315,859.00 PLUS INTEREST OF 61,757.51 BY ORDER DATED 8/22/96
BLITZ, DENNIS	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) ORDER	COMPLAINT FILED	
BLJ CONSULTING CORP.	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
BLOCH, HARVEY M.	83-18	CFTC	06/20/89	4b(A) 4o(1)	4.21(a) 4.21(d)		CEASE AND DESIST ORDER; NOT TO APPLY FOR REGISTRATION; NOT TO TRADE FOR OTHERS; NOT TO TRADE FOR SELF FOR 10 YEARS; NOT TO RECEIVE COMPENSATION FROM A REGISTRANT
BLUE CHIP INFORMATION CORP.	3:99-CV-378	ED TN	09/03/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 1.31 4.21 4.22 4.23 4.24 4.25 4.26	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$596,581; PLUS POST JUDGMENT INTEREST JOINTLY & SEVERALLY OWED; MAY NOT APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
BLUMENREICH, WILLIAM D.	89-28	CFTC	09/29/89	4b			CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; NEVER TO SEEK REGISTRATION OR ACT IN THE CAPACITY OF A REGISTRANT

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BLUMERT, JEFFREY S.	SD-96-4	CFTC	03/07/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS AS SET FORTH IN THE ORDER.
BLUMEYER-LECKAR, NANCY J.	83-1	CFTC	06/08/83	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED
BOARD OF TRADE OF CITY OF CHICAGO	93-17	CFTC	04/18/94	5a(a)(8) 5a(a)(9)	1.12(e) 1.51 1.52		PEN. AMNT.: \$300,000; COMPLY WITH AGREED UNDERTAKINGS
BOBO, ROBERT G.	C2-94-981	SD OH	11/19/97	4b(a)(i) 4b(a)(ii) 4o(1) 4n(3)(A) 4m(1) 4k(2)	4.20(c) 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS
BOLT, JAMES W.	88-12	CFTC	03/11/88	4b(A) 4o(1) 4m(1)	4.21(a)		TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION
BONE, ROBERT	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE AND DESIST ORDER; PROHIBITED FROM ALL TRADING FOR 30 DAYS AND TRADING FOR HIS OWN ACCOUNT FOR 11 MONTHS.
BONE, ROBERT L.	80-14	CFTC	11/02/81	8b			CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 36 MO.; SUSP. AS AP 12 MO.
BONNEY, JAMES F.	98C0087C	W.D. WISC.	10/22/99			SUPPLEMENTAL CONSENT ORDER	RESTITUTION OF \$315,101 PLUS PRE-JUDGEMENT INTEREST OF \$30,242 AND POST JUDGEMENT INTEREST.
BORDERS, ROBERT IV.	80-32	CFTC	12/02/85	4c(a)	1.38		CEASE AND DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 60 MO.
BOROSAK, DAVID G.	89-9	CFTC	11/28/89	4b			CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP & IB
BOSTON FINANCIAL GROUP, INC.	85-21	CFTC	09/18/85	4d(1)			CEASE AND DESIST ORDER; PEN. AMNT.: \$40,000
BOSTON TRADING ADVISORS, LLC	04-03	CFTC	10/27/03	4m(1)	4.21(a) & (b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
BOSTON TRADING GROUP, INC.	81-1809	D MA	07/17/81	4b(A) 4o(1)	4.22(c) 4.21(a)	PERMANENT INJUNCTION	TO SERVE ORDER ON ALL SALES STAFF

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BOSTON TRADING GROUP, INC.	81-22	CFTC	07/15/81	4b(A) 4o(1)	4.21(a) 4.21(b) 4.22(c)		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000
BOSTON TRADING GROUP, INC.	82-0305	D MA	05/21/85	4o(1) 4b(A) 4.21(b)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED
.BOUTCHIE, CHRISTOPHER	01-7402	SD FL	1/20/2004	4c(b)	32.9 32.11 33.3(a)	PERMANENT INJUNCTION	CONSENT ORDER; RESTITUTION OF \$300,000 TO BE PAID PURSUANT TO PAYMENT PLAN; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
BOWEN, WILL STEEL	3-93-0975	MD TN	04/12/95	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	SHALL NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; COMPLY WITH SEVERAL UNDERTAKINGS AS SET FORTH IN ORDER
BOWMAN, EARL LEON	H-90-559	SD TX	01/22/93	4b(A) 4o(1) 4n(4) 4n(3) 9(a)	4.22 4.20(c) 4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; NOT ACT AS FCM, IB, FB, CTA, CPO, OR AP
BRADSHAW, JAMES WILLIAM	98-6	CFTC	05/27/99	4b(a)(i) 4o(1)(A) 4o(1)(B) 4n(3)(A)	4.35 4.33 4.36 1.31		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA
BRADY, MICHAEL P.	86-36	CFTC	01/19/89	4b(A)	30.02		CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.
BRADY, RICK	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS FB 1 MO. OR LESS
BRANCH, DAVID CLINTON	92-8529	SD FL	10/26/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	DISGORGEMENT \$25,000; PETER HORNIK APPOINTED ESCROW AGENT
BRANCH, DAVID CLINTON	94-5	CFTC	11/03/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE AND DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; NEVER BE ASSOCIATED WITH OR RECEIVE COMPENSATION FROM ANY REGISTRANT; COOPERATE WITH

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMISSION
BRANDENBURG, GREGORY J.	84-3	CFTC	07/02/84	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP
BRANDENBURG, VERNON H.	84-3	CFTC	07/02/84	4b(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 36 MO.
BRANDON, MARVIN D.	86-4792WDK	CD CAL	01/08/87	4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 9TH CIR. 8/3/88
BRANDVOLD, LOYD T.	76-12	CFTC	03/11/76				REG. REVOKED AS CTA; REG. DENIED AS AP
BRANIFF, THOMAS M.	89-12	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; AT EXPIRATION OF TRADING SUSPENSION, MAY NOT TRADE FOR OTHERS AND MAY NOT EXECUTE TRADES FOR HIMSELF NEVER TO APPLY FOR REGISTRATION NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS TO MAKE FULL RESTITUTION TO CUSTOMERS
BRATMAN, FRANK	84-243PHX	D AZ	09/24/86	19		PERMANENT INJUNCTION	DISGORGEMENT; PROTECTIVE BOOKS & RECORDS; TRADE FOR LIQUIDATION ONLY; RECEIVER APPOINTED; ACCOUNTING ORDERED; ENJOINED FROM VIOLATIONS OF ARIZONA CONSUMER FRAUD ACT; TO PAY \$10,000 TO THE STATE OF ARIZONA FOR COSTS, \$3,750,000 FOR PENALTIES, AND \$6,992,750 JOINTLY FOR RETURN TO CUSTOMERS
BRAVERMAN, DONALD J.	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED
BRAY, DANA CHRISTOPHER	04-18	CFTC	7/6/2004	4g	1.35(a-1)(2)(i) 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$13,000 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							WITH UNDERTAKINGS.
BRAZIER CORPORATION, INC.	84-2066-ER	CD CA	08/28/86	19(b) 19(c) 4(a) 4b(a) 4b(c) 4o(1) 4o(2)	31.1 31.2 31.03	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING THE CALIFORNIA BUSINESS AND PROFESSIONS CODE
BRAZIL, THOMAS E.	04-03	CFTC	10/27/03	4k(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
BRECKENRIDGE FINANCIAL GROUP, INC.	H-90-559	SD TX	01/22/93	4b(A) 4o(1) 4n(4) 4n(3)	4.22 4.20(c) 4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; RECEIVERSHIP TERMINATED
BREECKER, HARRY	75-12	CFTC	12/30/75	4b(B) 4b(c) 4b(D) 4d	1.20 1.7		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
BRENNAN, TIMOTHY R.	80-26	CFTC	06/27/80	4e			CEASE AND DESIST ORDER; PEN. AMNT.: \$1,000
BRENNER, JAMI WEISNER	00-08	CFTC	10/2/02			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$100,000; SANCTIONS SHALL BECOME EFFECTIVE ON 30 TH DAY FOLLOWING ORDER DATE.
BRENNER, STEVEN C.	90-7	CFTC	08/16/90	14(f)	12.407(c)		CEASE AND DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 120 MO.; MOTION TO FILE NOTICE OF APPEAL DENIED AS UNTIMELY
BRENNER, STEVEN C.	92-4350	ND IL	07/06/92	14(f) 6(b) 8b 6(c)	12.407(c)	PERMANENT INJUNCTION	
BRENNER, STEVEN C.	00-08	CFTC	10/2/02			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$300,000; TRADING PROHIBITION; SANCTIONS SHALL BECOME EFFECTIVE ON 30 TH DAY FOLLOWING ORDER DATE.
BRIEN SULLIVAN CAPITAL MANAGEMENT, LAVA TR	97-01478ACK	D HA	01/16/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a) 4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ORDERED
BRINKS, HANS J.	94-14	CFTC	07/19/99				COMMISSION AFFIRMS THE ALJ'S 8/24/98 INITIAL DECISION IN ALL RESPECTS; TRADING PROHIBITIONS, REGISTRATION REVOCATIONS AND CIVIL MONETARY PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM DATE ORDER IS SERVED.
BRITISH AMERICAN COMMODITY OPTIONS CORP.	76-15	CFTC	12/02/77	4c(b) 4m	32.3(a) 32.3(b)(1) 32.7(e) 32.9		CEASE AND DESIST ORDER; REG. DENIED AS FCM CTA
BRITISH AMERICAN COMMODITY OPTIONS CORP.	76-3247CBM	SD NY	12/19/78	4m		PERMANENT INJUNCTION	
BRITISH AMERICAN COMMODITY OPTIONS CORP.	77-1822LPG	SD NY	12/12/78	4c(b)	32.3(a) 32.3(b) 32.9	PERMANENT INJUNCTION	RECEIVER APPOINTED
BRITISH AMERICAN COMMODITY OPTIONS CORP.	77-3	CFTC	01/14/77				CONSOLIDATED WITH DOCKET 76-15
BROCK INTERNATIONAL, INC.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION
BROCK RESOURCES, INC.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION
BROCKBANK, STEPHEN W.	1:02CV00101	D UT	8/13/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	COMPLAINT FILED	
BROCKBANK, STEPHEN W.	2:00CV00622S	D UT	11/3/03	4m(1)	4.14(a)(9)	PERMANENT INJUNCTION	RESTITUTION OF \$74,000 TO BE PAID PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							STOP SOLICITATION; TRADING PROHIBITION.
BRODY, ROBERT JAY	83-9	CFTC	05/20/86	4e			PEN. AMNT.: \$2,500
BRODY, WHITE & COMPANY, INC.	85-2	CFTC	12/26/84	4d(1)			CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000
BRONSTEIN, JACK	79-27	CFTC	01/18/80	4b(D) 4g	1.38 1.39 1.35		CEASE AND DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 12 MO.; SUSP. AS FB 12 MO.
BROOKS, NORMAN L.	92-12258	D MA	03/23/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; 75,000 JOINTLY LIABLE; ALL CONTRACTS RESCINDED; MICHAEL UNGER SPECIAL MASTER ON JUNE 30, 1993
BROWER, GEORGE	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500; SUSP. AS AP 1 MO. OR LESS
BROWN, BRENDA L.	00 C 7344	ND IL	3/27/02			ORDER	DISMISSED WITH PREJUDICE.
BROWN, BRUCE N.	SD 04-04	CFTC	9/23/2004			ALJ INITIAL DECISION	ASSOCIATED PERSON REGISTRATION REVOKED.
BROWN, J. SPENCER	96-8	CFTC	09/03/96	4m(1)	4.31 4.36(d) 4.41(b)		CEASE AND DESIST ORDER
BROWN, JAMES SPENCER	401-CV-0250-A	ND TX	3/27/01	4b(a)(i) 4b(a)(iii) 4m(1) 4o(1)	4.41 4.41(b) 4.31 4.36(d)	COMPLAINT FILED	
BROWN, MARTIN	00 C 7344	ND IL	3/27/02	4b(a)(i) 4b(a)(iii)	166.2	PERMANENT INJUNCTION	JOINT OWED RESTITUTION OF \$200,000 PLUS PRE JUDGMENT INTEREST; DISGORGEMENT OF \$229,734; CIVIL MONETARY PENALTY OF \$229,734 PURSUANT TO A PAYMENT PLAN.
BROWN, NORMAN	78-29		09/14/78	6(b)			CEASE AND DESIST ORDER; REG. DENIED AS AP
BROWNLOW, RONALD L.	SD 85-9	CFTC	10/29/85				REG. DENIED AS CTA; AFFIRMED ON APPEAL TO 10TH CIR 04/23/87
BRUBAKER, BRETT G.	98-7	CFTC	02/03/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	1.31 4.22(a) 4.22(b) 4.22(c) 4.22(d) 4.23		CEASE AND DESIST ORDER; TRADING PRIVILEGES SUSPENDED PERMANENTLY; RESTITUTION OF \$3.5 MILLION JOINTLY & SEVERALLY OWED; NEVER APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY.
BRUCKMANN, KURT	SD 93-6	CFTC	05/04/93	8a(3)(M)			CEASE AND DESIST ORDER; FB

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION SUBJECT TO CONDITIONS
BRUGGEMANN ENERGY FUTURES, INC.	85-33	CFTC	03/04/86	4f(1)	21.02		CEASE AND DESIST ORDER; PEN. AMNT.: \$2,500
BRUNO, JOSEPH J.	91-20	CFTC	03/31/92	4c(b)	33.10		CEASE AND DESIST ORDER; PEN. AMNT.: \$12,500; REG. REVOKED AS APNEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY, NOR ENGAGE IN ANY ACTIVITIES REQUIRING REGISTRATION
BRYANT, RICHARD C.	88-105-W	SD IA	02/06/92	4b(A) 4b(C) 9(a) 4d(1) 4d(2) 4m 4o(1) 4n(4)	1.20(a) 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADE FOR LIQUIDATION ONLY; RECEIVER APPOINTED; PERMANENTLY ENJOINED FROM ACTING AS AN IB, FB, FCM, CTA, CPO OR AN AP
BT SECURITIES CORPORATION	95-3	CFTC	12/22/94	4o(1)(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$10,000,000; PAYMENT OF THE CIVIL MONETARY PENALTY ALSO SETTLES RELATED SEC PROCEEDING; BT MUST COMPLY WITH UNDERTAKINGS SET FORTH IN COMMISSION'S ORDER
BUCCELLATO, RICHARD	80-28	CFTC	03/27/86	4c(a)			CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 6 MO.; APPEALED; APPEAL WITHDRAWN 12/2/86
BUCCELLATO, V.	80-28	CFTC	03/27/86	4c(a)			CEASE AND DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; APPEALED; APPEAL WITHDRAWN 12/2/86
BUCHBINDER, SAM	SD-85-14	CFTC	11/19/85				REG. REVOKED AS AP
BUCK, RAYMOND S.	75-1	CFTC	02/09/76	4g(1) 4i	18.00		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; SUSTAINED ON APPEAL TO 7TH CIR.
BUCKEYE COUNTRYMARK INC.	97-2	CFTC	06/30/97	4(a) 4c(b) 4m(1)			AMENDED COMPLAINT FILED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BUCKWALTER, STANLEY	80-28	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4g 4b	1.38(a) 1.35 1.37		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION FOR 5 YEARS; MUST DISMISS APPEAL TO 2nd CIRCUIT
BUDICAK, LISA	99-17	CFTC	9/26/00	4g	1.35(a-1)(1) 1.35(a-1)(2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000; REGISTRATION, IF ANY, SHALL BE CONDITIONED FOR 4 YEARS; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR 3 YEARS SHALL NOT SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGULATION BY THE COMMISSION.
BUELL, CHARLES L.	84-243PHX	D AZ	01/05/85		31.1 31.2	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; TO PAY TO ARIZONA ATTY. GENERAL \$250 COSTS AND \$1500 CIVIL PENALTY, \$2,153.85 PUNISHMENT
BUFKIN, BRADFORD KENT	79-28	CFTC	02/04/81	4c(b)	32.9		CEASE AND DESIST ORDER
BULL & BEARS, LTD.	CIV-PJM-98-3316	D MD	10/26/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED
BULLSEYE INTERNATIONAL, INC.	95-6970	SD FL	11/05/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
BUMGARNER, NORA JO	85-6	CFTC	01/03/86	4c(a)(A)	1.38(a)		CEASE AND DESIST ORDER;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(B)			PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS
BUNN, ROBERT J.	80-15	CFTC	08/07/81	4k 4f(1)	1.14(a) 1.14(d)		CEASE AND DESIST ORDER
BURKE, DANIEL G.	SD-94-6	CFTC	03/24/94				CONDITIONALLY REGISTRATION AS FB GRANTED; CONDITIONS TO REMAIN IN EFFECT 2YRS
BURKE, MICHAEL	79-828	D AZ	05/18/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS
BURKETT, HUGH ALAN	87-N-370WW	ED CT	04/07/89	4b(A) 4m(1) 4o(1) 9(a)	3.4 4.20(a) 4.20(b) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; TRADE FOR LIQUIDATION ONLY; ALSO PERMANENTLY ENJOINED FROM VIOLATING THE CONNECTICUT UNIFORM SECURITIES ACT NOT TO ENGAGE IN ANY BUSINESS REQUIRING REGISTRATION WITH THE COMMISSION OR THE CONN. DEPT OF BANKING
BURNAZOS, ROBERT E.	81-1809	D MA	07/17/81	4b(A) 4o(1)	4.22(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	TO SERVE ORDER ON ALL SALES STAFF.
BURNAZOS, ROBERT E.	81-22	CFTC	07/15/81	4b(A) 4o(1)	4.21(a) 4.21(b) 4.22(c)		CEASE AND DESIST ORDER
BURNETT, GREG	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3		COMPLAINT FILED
BURNSIDE, ROBERT	78-1604CSH	SD NY	05/06/83	4c(b) 4d(2)	32.6(a) 32.9		UNDERTAKING NOT TO VIOLATE SECTIONS 4c(b), 4d(2) OF ACT AND 32.6(a), 32.9 OF REGS.
BURROW, JAMES L.	80-10	CFTC	11/12/81	4b(A) 4b(C) 4k(2)	166.2 1.14(a)(3)		CEASE AND DESIST ORDER; REG. REVOKED AS AP FB
BURSTEIN, RANDY JAY	04-61235	SD FL	12/7/2004	4c(b)	33.10(a)&(c)	PRELIMINARY INJUNCTION	
BURSZTYN, IAN	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
BURSZTYN, IAN	03 CV 9127	SD NY	11/18/03			EX PARTE STATUTORY	FREEZ OF ASSETS; PROTECT &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
						RESTRAINING ORDER	ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
BURSZTYN, IAN	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
BUSACCA, SALVATORE	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE AND DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1 MO. OR LESS
BUSCH, ROBERT E.	CV-98-N-1755-S	N.D. ALA.	8/8/00			ORDER	FINAL JUDGMENT ENTERED AGAINST DR. RICHARD E. BUSCH REQUIRING HIM TO PAY RESTITUTION & CIVIL MONETARY PENALTY OF OVER \$45 MILLION; BUSCH HAS APPEALED THE ORDER TO THE U.S. COURT OF APPEALS FOR THE ELEVENTH CIRCUIT.
BUSH, BAKER HOSKINS	SD-82-2	CFTC	03/18/82				REG. DENIED AS AP
BUSHMAN, BERNARD	78-1069	SD FL	10/26/81	4c(b) 4o(1)	32.5(a) 32.8 32.9 30.01(c)	PERMANENT INJUNCTION	
BUTERIN, JOHN J.	80-2019	D KS	07/26/84	4m 4n(3)(A) 4o	1.31 4.23	PERMANENT INJUNCTION	
BUTLER, CURTIS	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED
BUTLER, THEODORE	88-10	CFTC	05/04/93	4i 6(b) 4g	18.01(a) 18.04(a) 1.31(a) 1.35(a) 1.35(a-1)(1) 166.2		CEASE AND DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 6 MO.
BYRD, TINA	98-CIV-1682	SD NY					
C.O.M. CONSULTANTS D/B/A GOLDEN STATE BULL	97-4443	CAL	07/23/97	4b(a)(2)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; TRADING PROHIBITION
CAAN, GLENN W.	86-21	CFTC	11/10/87	4b(A) 4b(B) 4n(3)(A) 6(b)	1.31(a)(2)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 180 MO.; NOT TO APPLY FOR REGISTRATION FOR 15 YEARS; ALSO PROHIBITED FOR 15 YEARS FROM (1) DIRECTING ANY FUTURES OR OPTIONS TRADING (2) ENGAGING IN BUSINESS OF ADVISING OTHERS AS TO SUCH TRADING (3) SOLICITING OR ACCEPTING FUNDS FOR SUCH TRADING
CACERES, RICARDO FALLA	79-34	CFTC	10/26/83	6(b) 6(c) 9(b) 4c(a)			CEASE AND DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED
CAFÉ NORD CORPORATION	03-23	CFTC	8/18/03	4c(a)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CAFFERKY, ANDREW E.	3:99-CV-378	ED TN	09/03/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 1.31 4.21 4.22 4.23 4.24 4.25 4.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$596,581 PLUS POST JUDGMENT INTEREST JOINTLY & SEVERALLY OWED. MAY NOT APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION
CAHN, ROBERT L.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; TO PAY \$5,000 TO RECEIVER
CAL. COMMODITIES FUTURES INT'L	94-7910	CD CA	08/21/95	4b(a) 4n(3)(A) 4o(1)(A) 4o(1)(B)	1.31 4.20(b) 4.20(c) 4.23 4.32	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; \$151,000.00 JOINTLY WITH WILLIAM ZEITLIN
CALCATERRA, SALVATORE	90-1	CFTC	09/25/90	4c(a)(A) 4g	1.31(a)(1) 1.35(a) 1.35(a-1)(2)		CEASE AND DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS FB 1 MO. OR LESS
CALHOUN, KENT C. individually,	SA 99 CA 0684	W.D. TX.	7/27/00	4b(a)(i)	4.16	PERMANENT INJUNCTION	ENJOINED FROM REFERENCING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
as an agent of or d/b/a KCI				4o(1)	4.41(a)		THE CFTC OR OTHERWISE USING THE COMMISSION'S NAME IN THE SOLICITATION OF CUSTOMERS OR POTENTIAL CUSTOMERS; CIVIL MONETARY PENALTY OF \$25,000; MUST PUBLISH RETRACTIONS IN THE MEDIA.
CALI, SAM	92-2	CFTC	08/13/93	4b(A) 4b(B)	1.38(a)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; INITIAL DECISION SUMMARILY AFFIRMED
CALIGARIS, DAVID P.	88-1569	D CO	09/28/88	4(a) 4d(1)		PERMANENT INJUNCTION	
CALLAHAN, DONALD E.	90-3	CFTC	12/19/89	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; TO MAKE RESTITUTION TO CUSTOMERS NOT TO SEEK REGISTRATION, LEASE OR PURCHASE EXCHANGE MEMBERSHIP OR APPEAR ON TRADING FLOOR DURING TRADING HOURS
CALO, MICHAEL d/b/a FIRST FINANCIAL TRADING	00-17	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
CALPINE ENERGY SERVICES, L.P.	04-11	CFTC	1/28/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,500,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CALVARY CURRENCIES LLC a/k/a CALVARY CURRENCY	8:04-CV-01021-DKC	D MD	3/29/2004			COMPLAINT FILED	
CAMBRIDGE GLOBAL GROUP, INC.	CV 03 1826 PHX	D AZ	9/18/03	4b(a)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
CAMERON, WILLIAM J.	80-29	CFTC	01/21/87	4b 4c(a)	1.38		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO APPLY FOR REGISTRATION FOR 6 MONTHS
CAMPBELL, JAMES S.	88-24	CFTC	11/30/89	4b(A) 4b(B) 4b(C) 4o(1)	1.20		CEASE AND DESIST ORDER; TRAD. PRIV. SUSP. 240 MO.; PROHIBITED FOR LIFE FROM REGISTERING WITH THE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4d(2) 9(a)			COMMISSION IN ANY CAPACITY
CAMPBELL, R. DAVID	99-11	CFTC	05/20/99	6(c) 6(d) 9(a)(2)		COMPLAINT FILED	
CAMPBELL, R. DAVID	99-11	CFTC	6/22/2004			COMMISSION ORDER	COMPLAINT DISMISSED WITH PREJUDICE.
CAMUS, LOUIS A.	4-95-CV-35	SD MN	05/14/96	4b(a)(i) 4o 4m(1)	4.13(b)(1) 4.20(c)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; MAKE RESTITUTION OF 233,309.91; PAY CIVIL MONETARY PENALTY OF 100,000 ONCE RESTITUTION HAS BEEN MADE IN FULL; ALL CONTRACTS RESCINDED
CA-NI INDUSTRIES, LTD.	99-C-6425	N.D. IL	12/27/99	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; FREEZE ASSETS; REMOVE ALL MISLEADING INFORMATION FROM WEBSITE.
CANION BOEKI COMPANY, LTD.	90-1	CFTC	05/04/90	4c(a)(A)			CEASE AND DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 24 MO.
CANTILLANO, EDWIN DE JESUS	94-15	CFTC	01/09/95	4(b)(a)(i) 4(d)(1) 9(a)(1)			CEASE AND DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED
CANTOR FITZGERALD & CO.	94-14	CFTC	01/28/97	4m(1) 4o(1)(B)			CEASE AND DESIST ORDER; PEN. AMNT.: \$500,000; COMPLY WITH UNDERTAKINGS OF THE ORDER.
CANTOR, MELVIN	76-928	SD NY	03/03/76	4c(b)	30.01	PERMANENT INJUNCTION	
CANTOW, CLAIRE	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE AND DESIST ORDER; PEN. AMNT.: \$500
CAO, DOROTHY	94-1162-A	ED VA	05/26/95	4(a) 4d(1) 4b(a) 9(a)(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; \$300,000 MINUS ANY FUNDS PAID BY OTHER DEFENDANTS; COOPERATE WITH COMMISSION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION
CAPITAL CITY CURRENCIES CORPORATION	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; RECEIVER

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPOINTED
CAPITAL CREDIT MANAGEMENT & FINANCE, INC.	00-6885	S.D. FL.	3/28/01			FINAL JUDGEMENT	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,456,510.80 PLUS PRE & POST JUDGEMENT INTEREST; EACH DEFENDANT SHALL PAY A CIVIL MONETARY PENALTY OF \$2,456,510.80 WHICH IS EQUAL TO THE RESTITUTION SUM ORDERED.
CAPITAL INSIGHT BROKERAGE, INC.	99-11543 WMB	C.D. CAL.	11/12/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4g 4m(1) 4o(1)	33.10(a) 33.10(b) 33.10(c) 1.35(a-1)(1)	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; JOINT OWED DISGORGEMENT W/ S. JAY GOLDINGER OF \$6,000,000; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
CAPITAL INSIGHT BROKERAGE, INC.	SD-00-01	CFTC	2/16/00	8a(2)(C)		COMMISSION ORDER	REGISTRATION AS IB REVOKED; SHALL COMPLY W/ UNDERTAKINGS.
CAPITAL RECOVERY SYSTEMS INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
CAPITAL STRATEGIES, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER.	
CAPRA, DOUGLAS R.	88-9	CFTC	02/11/88	4g	1.35(a-1)(2)		CEASE AND DESIST ORDER; PEN. AMNT.: \$4,000
CAPUANO, JOHN	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
CARADIMITROPOULO, CONSTANTIN M.	81-2250-W	WD TN	01/30/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
CARDIN, JACKSON	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE AND DESIST ORDER; PEN. AMNT.: \$50,000; SUSP. AS AP 1-2 MO.
CARELLA, BERNARD D.	80-0689	SD NY	03/02/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS &

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECORDS; ACCOUNTING ORDERED
CARGILL, INC.	99-16	CFTC	08/26/99	4c(b) 32.2		COMPLAINT FILED	
CARLES, ALEXIS	97-CIV-1360	ND CAL.	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ALL DEFENDANTS JOINTLY AND SEVERALLY LIABLE FOR RESTITUTION AND DISGORGEMENT OF \$2,633,130.40 AND A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$320,000.
CARLSON, HARVEY S.	83-45	CFTC	06/13/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CARMEL INTERNATIONAL BUSINESS ASSOCIATION	93-8242	SD FL	01/13/94	4b 9(a) 4d		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECTIVE BOOKS & RECORDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; DISGORGE AT LEAST \$560,000 (JOINTLY WITH CEI) PROHIBITED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION; 7/26/94 ORDER OF CONTEMPT.
CARNAGEY, THOMAS V.	82-449E	ND OK	11/04/83	4m 4o(1)	4.13(b) 4.41(a) 4.41(b)	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CARNEGIE TRADING GROUP, LTD. (THE)	1:04CV1403	ND OH	7/22/2004			COMPLAINT FILED	
CARPENTER, MICHAEL R.	86-18	CFTC	02/19/87	4(a)			CEASE & DESIST ORDER; PROHIBITED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION FOR 3 YEARS.
CARR FUTURES, INC.	03-10	CFTC	4/22/03	4g	1.31 1.35	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY OF \$75,000; SHALL COMPLY WITH UNDERTAKINGS.
CARR, JAMES A.	77-371T	D MA	01/23/78			RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; PROCEEDINGS STAYED 1/7/82 PENDING CONCLUSION OF BANKRUPTCY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROCEEDINGS.
CARR, JAMES A.	77-550	WD MI	06/14/83	4c(b)	32.9 32.5(a) 32.5(c) 32.5(d)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
CARR, JAMES A.	77-6	CFTC	07/26/79	4c(b)	32.3 1.18 1.31 32.7		CEASE & DESIST ORDER.
CARR, LAWRENCE C.	80-478	D MN	12/02/81	4g(1) 4f(2) 6(b)	1.31 1.17 1.17(a)(3)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; PROTECT & ACCESS BOOKS & RECORDS
CARRETTA, ROBERT F.	78-56	CFTC	02/23/81	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP.
CARRINGTON FINANCIAL CORP.	92-6832	SD FL	09/29/97	4b(a)(i) 4b(a)(iii) 4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
CARTER, JOHN W.	79-13	CFTC	06/26/81	4c(b)	32.9 32.8(a) 32.3(b)(2)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
CARTER, JOHN WILLIAM	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
CARTER, KENNETH L.	93-2	CFTC	3/24/04			COMMISSION ORDER	COMPLAINT DISMISSED FOR A FAILURE OF PROOF.
CARTER, NEVILLE	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
CARTER, ROGERS AND WHITEHEAD & COMPANY INC.	79-1580	ED NY	07/13/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
CARUSILLO, MICHAEL J.	88-6	CFTC	02/13/90	4c(a)(B)	1.38(a)		PEN. AMNT.: \$8,000.
CARVER, RICHARD L.	79-1085	ND TX	03/19/84	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
CARVER, RICHARD L.	84-38	CFTC	05/14/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
CASAS SENDAS COMERCIO E INDUSTRIA S.A.	03-23	CFTC	8/18/03	4c(a)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CASEY, PETER WINN	90-24	CFTC	04/30/91	4k(2) 4k(3)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PRIVILEGES REVOKED; REG. REVOKED AS CTA.
CASSANOS, JAMES	85-3059	SD FL	06/26/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED; FULL RESTITUTION ORDERED.
CASSELMAN, WILLIAM	78-8293	SD FL	06/05/79	4b 4o(1) 4d(2) 4f 4g	1.17 1.18(a) 1.18(b) 1.18(c) 1.23 1.32	PERMANENT INJUNCTION	
CASSELMAN, WILLIAM	79-48	CFTC	05/25/79	4b 4d 4f 4g 4o	1.17 1.18(a) 1.23 1.32 1.18(b) 1.18(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED.
CASTALDO, MARIE CROCE	81-24	CFTC	08/07/81	4a(2)(B) 4i 6(b)	150.10 18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
CASTELLANO, ANTHONY	SD-88-1	CFTC	05/29/90				REG. REVOKED AS FB
CASTELLANO, ANTHONY	SD-94-11	CFTC	12/10/96				REG. DENIED AS FB; APPEALED; FT REGISTRATION DENIED.
CASTLE, JOHN K.	77-3864	CD CA	06/26/80	4c(b)		PERMANENT INJUNCTION	
CASTLE, JOHN K.	79-7	CFTC	06/11/80	4c(b)	32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
CATALANO, GERALD	83-2	CFTC	02/10/84		1.16(b)(2) 1.10 1.16 1.16(d)(1) 1.17(c)(2) 1.17(c)(5) 1.16(e)(2)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO PRACTICE BEFORE COMMISSION FOR 5 YEARS.
CATALFO, ANTHONY P.	94-10	CFTC	09/26/94	6(c) 6(d) 9(a)(2)	33.9(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
CATIZONE, RICHARD M.	82-18	CFTC	03/23/83				REG. REVOKED AS AP.
CAYMAN ASSOCIATES, LTD.	79-16	CFTC	04/21/86	4f 4b(A) 4g 4d(1) 4d(2) 4b(B)	1.10(b) 1.18(a) 1.10(d) 1.20(a) 1.10(f) 1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FCM.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(C) 4b(D) 4h(2) 4k 4	1.17(a) 1.7 1.38 1.23 1.32		
CCFI, INC.	SD-96-2	CFTC	03/01/96	8a(2)(C) 8a(2)(H) 8a(2)(E)			REG. REVOKED AS CPO & CTA.
CDM TECHNOLOGIES, LLC	6:03CV42	ED TX	6/9/03	4b(a)(2)(i)-(iii)	1.1(b)(1) 1.1(b)(3)	PERMANENT INJUNCTION	RESTITUTION OF \$23,157,504.82 AND CIVIL MONETARY PENALTY OF \$8,400,000 JOINTLY OWED WITH JOHN A. WHEELER AND LONG POINT INVESTMENTS; TRADING PROHIBITION; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
CECALA, JOSEPH J., JR. CEF & CO., INC.	04-2181 91-7	WD TN CFTC	9/13/2004 06/25/92			COMPLAINT FILED	
				4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.31 1.35 1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
CENTENNIAL MARKETING COMPANY	79-3558	SD FL	03/01/82	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
CENTENNIAL MARKETING COMPANY	82-17	CFTC	03/25/82	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; NOT TO BE EMPLOYED BY OR CONSULT FOR A REGISTRANT.
CENTER MARKETING, INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
CENTURION FINANCIAL GROUP, LLC	02-61160	SD FL	8/20/02	4(a) 4b(a) 4c(b)	1.1(b) 3.12(a) 32.9 32.11 33.3	COMPLAINT FILED	
CERCONE, LOUIS	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
CERCONE, LOUIS F.	79-43	CFTC	06/10/80	4k			CEASE & DESIST ORDER; REG. DENIED AS AP.
CHAMBERLAIN, MARK W.	SD-88-6	CFTC	12/17/90				CONDITIONALLY REGISTERED AS FLLOR BROKER FOR ONE YEAR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CHAN, ANTHONY	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	
CHAN, BENNY	94-0220-C	ND CA	07/28/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; \$73,809.27 ORDERED BY COURT 5/12/95.
CHAN, FLORENTIUS, DR.	01-06926	CD CAL	7/1/03	4b(a)(i)-(iii) 4(a)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$225,000 JOINTLY & SEVERALLY OWED WITH SANDY H. CHAN TO BE PAID ANNUALLY; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
CHAN, KING KEUNG	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
CHAN, RONALD	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
CHAN, RONALD	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
CHAN, SANDY H.	01-06926	CD CAL	7/1/03	4b(a)(i)-(iii) 4(a)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$225,000 JOINTLY & SEVERALLY OWED WITH DR. FLORENTIUS CHAN TO BE PAID ANNUALLY; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
CHANDLER, HENRY	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B) 4c(b)	1.38 33.10(a) 33.10(b) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000; TRADING PRIVILEGES AND FB REGISTRATION SUSPENDED & CONDITIONED; RESTITUTION OF \$1,200.
CHAPMAN, CHRISTOPHER	03-08	CFTC	3/25/03	4b(a)(2)(C)(i))-(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$240,000 PURSUANT TO PAYMENT PLAN; PERMANENT TRADING PROHIBITION; SHALL NEVER APPLY OR CLAIM EXEMPTION FROM REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CHARIOT CONSULTING, INC.	03 4999	ED NY	11/24/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; APPOINTMENT OF JAMES ZANE AS RECEIVER IS CONFIRMED.
CHARLES-SCOTT AND COMPANY	81-18	CFTC	09/17/82	8a(3)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS CPO; TO WITHDRAW ALL REGISTRATION APPLICATIONS.
CHARLETON, JOSEPHINE	78-48	CFTC	12/15/80	4g(1) 4d(2) 4f(1) 4g	1.37 1.20(a) 1.21 1.22 1.10		CEASE & DESIST ORDER; SUSP. AS AP 6 MO.
CHARRIER, MICHAEL	83-19	CFTC	02/10/84	4b(A) 4n(1) 4n(3)(A) 4n(4) 4o(1)	1.10(c) 1.10(d) 1.14 4.21(a) 4.22(c) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
CHARTERED SYSTEMS CORPORATION OF NEW YORK	79-26	CFTC	01/06/82	4c(b) 4f(1) 4g(1)	32.5 32.9 1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000.
CHARTERED SYSTEMS CORPORATION OF NEW YORK	79-53	CFTC	07/17/79				CONSOLIDATED WITH 79-26.
CHASE COMMODITIES CORP.	CV04-6463	CD CAL	8/25/2004			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION.
CHEN, WILLIAM W.	94-1162-A	ED VA	05/26/95	4(a) 4d(1) 4b(a) 9(a)(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; \$300,000 MINUS ANY FUNDS PAID BY OTHER DEFENDANTS; COOPERATE WITH COMMISSION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
CHENG, NAN PING	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CIVIL MONETARY PENALTY OF \$602,262.57; DISGORGE TO RECEIVER THE AMOUNT OF \$200,759.19; ALL DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION TO TII CUSTOMERS IN THE AMOUNT OF \$893,218.77 WITH INTEREST

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FROM THE DATE OF THE VIOLATIONS.
CHERVIN, WARREN J.	83-30	CFTC	08/04/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CHESROW, EUGENE J., JR.	96-4	CFTC	4/29/03	4b(a)(i) & (iv) 4g(a) 4c(a)(A)	1.35(d) 1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000; PROHIBITED FROM TRADING FOR 2 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
CHEUNG, CURTIS K.	93-5598	SD NY	09/05/95	4b(a)(i) 4o(1)(A) 4o(1)(B) 9(a) 4d(1) 4c(b)	33.7 33.10 3.4	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
CHEUNG, JASON	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
CHEUNG, JASON	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
CHIAPPONE, KATHLEEN	97-8	CFTC	9/24/03	4g	1.31(a) 1.35(a) 1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$8,000 TO BE PAID WITHIN TEN DAYS; SHALL NOT APPLY FOR REGISTRATION FOR 2 YEARS; DISMISSED.
CHICAGO COMMODITY CORPORATION	89-23	CFTC	04/23/92	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB.
CHICAGO DISCOUNT COMMODITY BROKERS, INC.	80-5755	ND IL	05/01/86	4d(2)	1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; PREVIOUSLY APPOINTED RECEIVER TO SERVE AS TRUSTEE IN BANKRUPTCY PROCEEDINGS.
CHICAGO DISCOUNT COMMODITY BROKERS, INC.	83-3	CFTC	04/29/86	4b(A) 4d(2)	1.22		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; REG. REVOKED AS FCM; NOT TO REAPPLY FOR REGISTRATION.
CHICAGO DISCOUNT COMMODITY BROKERS, INC.	83-4	CFTC	09/29/86	4b(A) 4d 4g 9(a)	1.20(a) 1.31 1.32 1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; REG. REVOKED AS FCM; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY.
CHICAGO GRAIN AND FINANCIAL FUTURES CO.	83-46	CFTC	02/15/84	4g(1) 1.12(f)(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CHICAGO MERCANTILE EXCHANGE	87-6	CFTC	06/07/90	5a(8) 5a(9)	1.12(e) 1.51 1.52		PEN. AMNT.: \$100,000; CME ORDERED TO REPORT TO COMMISSION FOR TWO YEARS ON ENFORCEMENT OF ITS FINANCIAL COMPLIANCE PROGRAM.
CHILCOTT COMMODITIES CORPORATION	81-999	D CO	07/10/81	4b(B) 4b(C) 4o(1)	4.21 4.22 4.21(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CHILCOTT PORTFOLIO MANAGEMENT, INC.	81-999	D CO	07/10/81	4b(B) 4b(C) 4o(1)	4.21 4.22 4.21(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CHILCOTT, THOMAS D.	81-999	D CO	07/10/81	4b(B) 4b(C) 4o(1)	4.21 4.22 4.21(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
CHILCOTT, THOMAS D. d/b/a TRADE MASTER OF SOUTHWEST FLORIDA	2:02-CV-94	MD FL	12/16/03			SUPPLEMENTAL CONSENT ORDER	RESTITUTION OF \$2,107,092.37 JOINTLY OWED WITH WHIDDEN & WESTBROOK; CIVIL MONETARY PENALTY OF \$1,320,000; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; NFA DESIGNATED AS MONITOR.
CHILMARK COMMODITIES CORPORATION	88-25	CFTC	09/20/88	4c(b)	33.7(d) 33.7(e) 33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NEVER TO SEEK REGISTRATION; SHALL NOTIFY ALL CUSTOMERS WITH OPEN ACCOUNTS OF AGREEMENT TO SURRENDER REGISTRATION.
CHILMARK COMMODITIES CORPORATION	88-6058	SD FL	09/15/88	4c(b)	33.7(f) 33.10 166.2 33.7(d) 166.3	PERMANENT INJUNCTION	
CHINODA, MOKHTAR ATTALA	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CHIRICOTTI, PHILLIP G.	92-14	CFTC	02/21/92	4b(A) 4c(b)	33.10(a) 166.2		CEASE & DESIST ORDER; REG. REVOKED AS CTA.
CHITWOOD, RAYMOND MARSHALL JR.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
CHLORIS LIMITED PARTNERSHIP	98-CIV-1682	SD NY					
CHOW, YUK WAH	85-16	CFTC	06/25/87	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
CHRIST, MICHAEL J.	93-15	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; NOT TO ACT AS FB FOR 6 MONTHS; FB REGISTRATION SUSPENDED 30 DAYS.
CHRISTIAN, JACK L. JR.	86-4792WDK	CD CA	01/16/87	4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
CHRISTIE, SHAWN	1:01-cv-1107	ND GA	6/24/03	4c(b)	32.9 32.5 32.11 33.3(a) 32.8(c)	SUMMARY JUDGMENT	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$186,432, CIVIL MONETARY PENALTY OF \$480,000 AND RESTITUTION OF \$219,250 OWED WITH EDWARD LINDSEY SHALL BE PAID WITHIN 30 DAYS.
CHU, DAVID W.T.	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
CHU, DAVID W.T.	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
CHULIK, MARK E.	99-02412	CAL	03/22/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20 4.21 4.22	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RESTRAINED & ENJOINED FROM DIRECTLY OR INDIRECTLY ENGAGING IN ANY ACTIVITIES THAT REQUIRE REGISTRATION WITH THE COMMISSION UNDER THE CEA.
CHULIK, MARK E.	SD-00-02	CFTC	2/17/00	8a(2)(C) 8a(2)(E)		COMMISSION ORDER	REGISTRATION AS CTA REVOKED.
CHULIK, MARK E. d/b/a	CV99-02412	C.D. CAL.	2/15/00	4b(a)(i)	4.20(a)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WESTGATE PARTNERS d/b/a MEC MANAGEMENT d/b/a MEC CAPITAL MANAGEMENT				4b(a)(ii) 4m 4o(1)	4.20(b) 4.20(c) 4.21(a) 4.21(b) 4.22		STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$1,273,567.55; RECEIVER APPOINTED; FROZEN ASSETS TENDERED TO HIM & FREEZE LIFTED; NFA DESIGNATED AS MONITOR FOR 6 YRS. FROM ORDER DATE; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
CHURCHILL, PAUL	91-1480	SD FL	12/03/92	4m 4b 4o	4.41 4.31	PERMANENT INJUNCTION	DISGORGEMENT OF \$346,041.57; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION.
CITADEL TRADING COMPANY OF CHICAGO, LTD.	77-8	CFTC	08/31/81	4b 4c 4d 4f 4g 4k			TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; APPEAL DISMISSED 5/12/86.
CITADEL TRADING COMPANY OF ST. LOUIS, LTD.	77-8	CFTC	08/31/81	4b 4c 4d 4f 4g 4k			TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; APPEAL DISMISSED 5/12/86.
CITADEL TRADING COMPANY, LTD. (THE)	77-0929-CB	ED MO	09/12/77	4d 4f 4g	1.31 1.35 1.34 1.18 1.20 1.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CITY COMMODITIES, INC.	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(a) 1.35(b)	PERMANENT INJUNCTION	
CITY TRUST AND INVESTMENT CO., INC.	CV03-8339	CD CAL	5/10/2004			COMPLAINT FILED	
CLAIRMONT CAPITAL CORP.	99-S-1874	D COL	5/1/03			ORDER	SHALL BE DISSOLVED WITHIN 45 DAYS OF ENTRY OF THE ORDER.
CLANCY, JAMES KENDALL	78-3	CFTC	11/25/80	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 15 MO.; REG. REVOKED AS AP.
CLANCY, MICHAEL	90-15	CFTC	01/22/92	4g	1.31(a)(1) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CLANCY, PAUL H.	80-6563	SD FL	02/09/81	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	
CLANCY, PAUL H.	87-14	CFTC	03/11/92	4c(b) 4k(1) 6(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$70,000; REG. REVOKED AS CTA.
CLANCY, THOMAS J.	04-80132	SD FL	2/10/2004	4c(b)	32.9(a) & (c)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CLARK, DOUGLAS M.	86-1479G	ND TX	06/16/86	4c(c) 4c(b)		PERMANENT INJUNCTION	PROHIBITED FROM VIOLATING TEXAS SECURITIES ACT.
CLARK, MICHAEL J.	SD-93-2	CFTC	04/22/97				REG. REVOKED AS FB
CLAYTON BROKERAGE CO. OF ST. LOUIS, INC.	85-21	CFTC	09/18/85	4k			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CLAYTON BROKERAGE COMPANY OF ST. LOUIS INC.	80-19	CFTC	08/26/80	4b(A) 4d(2) 4g 9(b) 6(b) 6(c) 13(a)	1.20(a) 1.23 1.37 17.01 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.
CLEARVIEW CAPITAL MANAGEMENT, INC.	04 CV 45 (FSH)	D NJ	1/8/2004			COMPLAINT FILED	
CLEARY TRADING COMPANY, INC.	79-8	CFTC	06/25/81				TO CEASE ACTING AS FCM, CTA OR CPO AND NOT TO APPLY FOR REGISTRATION.
CLEARY, JOHN THOMAS	81-8	CFTC	12/01/81				REG. DENIED AS AP.
CLINE, RUSSELL B.	CV 03 603	D OR	5/8/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JULIE R. VACURA IS APPOINTED TEMPORARY RECEIVER.
CLOCKWORK TRADING CORP.	SD-95-22	CFTC	05/07/97				TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
CLOTHIER, DANIEL	93-27	CFTC	01/31/94	4b(a)(i) 4b(a)(ii) 4c(b) 4g(a) 4m 4n(3)(A) 4n(4) 4o(1) 9(a)(1)	1.31 1.35(a) 4.20(c) 4.22 4.23 33.10		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NOT TO SOLICIT OR TRADE INDIVIDUAL OR CUSTOMER ACCOUNTS OR POOL ACCOUNTS WHICH TRADE OFF-EXCHANGE FUTURES CONTRACTS; DISBARRED FROM PRACTICING BEFORE COMMISSION AS AN ATTORNEY.
CLOTHIER, DANIEL G.	92-1062-T	D KS	02/11/94	4b(a)(i) 4b(a)(ii) 4c(b)	4.20(c) 1.31 1.35(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; MAKE RESTITUTION; ENJOINED FROM ACTING IN ANY CAPACITY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1) 9(a)(1) 4g(a) 4n(3)(A) 4m 4n(4)	4.23 4.22		REQUIRING REGISTRATION OR IN ANY CAPACITY WHICH REQUIRES ACCEPTING OR HOLDING CUSTOMER FUNDS.
CMB CAPITAL MANAGEMENT CORP.	98-10	CFTC				COMPLAINT FILED	
CMS FIELD SERVICES, INC.	04-05	CFTC	11/25/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$16,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CMS MARKETING SERVICES AND TRADING COMPANY	04-05	CFTC	11/25/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$16,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CO PETRO MARKETING GROUP INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; ENJOINED FROM TRADING PETROLEUM FUTURES; APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR.
COCHRAN, PAUL	02-01	CFTC	9/19/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000; TRADING PROHIBITION; SHALL NEVER APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; DISMISSED.
COCOA MERCHANTS, LTD.	89-11	CFTC	07/31/89	4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4h 4h(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.
COEN, M. J.	78-37	CFTC	07/13/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
COFFEY, MICHAEL A.	86-6	CFTC	08/30/89	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PRIVILEGES REVOKED; REG. REVOKED AS AP.
COHEN, RICHARD A.	01-09	CFTC	8/28/02	4c(b)	33.10 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL PAY RESTITUTION OF \$890,000 PLUS PREJUDGEMENT INTEREST OF \$71,765 TO BE PAID PURSUANT TO A PAYMENT PLAN; SHALL PAY CONTINGENT CIVIL MONETARY PENALTY OF \$110,000; TRADING PROHIBITION; AP REGISTRATION REVOKED.
COHEN, SEYMOUR E.	78-2	CFTC	07/03/79	4c(b)	32.3		CEASE & DESIST ORDER; REG. DENIED AS AP.
COHN AND COMPANIES, LTD.	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
COHN AND COMPANIES, LTD.	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER.
COHN COMMODITIES, INC.	78-31	CFTC	05/25/79	4c(b) 4b(A)	32.3 32.5(a) 32.5(c) 32.6 32.7 32.8(a) 32.9		CONSOLIDATED WITH DOCKET 78-55.
COHN COMMODITIES, INC.	78-55	CFTC	05/25/79	4c(b) 4b(A)	32.3 32.5(a) 32.5(c) 32.6 32.7 32.8(a) 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; SUSP. AS FCM 6 MO.; SUSP. AS CPO 6 MO.; TO IMPROVE COMPLIANCE PROGRAM.
COHN PRECIOUS METALS INCORPORATED	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER.
COHN PRECIOUS METALS, INC.	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
COHN, STUART	78-55	CFTC	05/25/79	4c(b) 4b(A)	32.3 32.5(a) 32.5(c) 32.6		CEASE & DESIST ORDER; PENA. AMNT.: \$25,000 JOINTLY OWED; SUSP. AS AP 6 MO.; NOT TO ACQUIRE INTEREST IN ANY FCM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.7 32.8(a) 32.9		W/O CFTC CONSENT.
COHN, STUART	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	DISGORGEMENT
COHN, STUART	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER; REG. REVOKED AS AP.
COIN BANK	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
COIN FINANCIAL	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
COLE, WALTER S.	6:03CV42	ED TX	1/30/03	4b(a)(2)(i)-(iii)	1.1(b)(1) 1.1(b)(3)	COMPLAINT FILED	
COLE, WALTER S.	6:03CV42	ED TX	6/4/2004			SUMMARY JUDGMENT	DISGORGEMENT OF \$318,169.80 TO BE PAID WITHIN 30 DAYS; ALL PAYMENTS SHOULD BE MADE TO THE COURT-APPOINTED RECEIVER IN CRIMINAL PROCEEDINGS - ROBB EVANS.
COLEMAN, ELLERY d/b/a GRANITE INVESTMENTS	00-16	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
COLEMAN, ELLERY d/b/a GRANITE INVESTMENTS	5:01CV0362-8	MD GA	4/23/02	4o	4.16 4.41(a) 4.41(b)	PERMANENT INJUNCTION	SHALL PAY A CIVIL MONETARY PENALTY OF UP TO \$170,000 PURSUANT TO TEN-YEAR PAYMENT PLAN; SHALL NOT SEEK REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
COLICCHIA, PETER D.	SD-95-24	CFTC	08/14/96				COMPLY WITH UNDERTAKINGS; WITHDRAW APPLICATION FOR REGISTRATION; MAKE RESTITUTION NOT TO EXCEED \$9,750.00; NOT TO APPLY FOR REGISTRATION FOR ONE YEAR;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ANY FUTURE REGISTRATION SHALL BE CONDITIONAL FOR 2 YEARS.
COLLINS COMMODITIES	90-23	CFTC	09/11/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$60,000.
COLLINS COMMODITY BROKERAGE CO.	93-27	CFTC	01/31/94	4b(a)(i) 4g(a) 4n(3)(A) 9(a)(1)	1.31 1.35(a) 4.20(c) 4.23		CEASE & DESIST ORDER; REG. REVOKED AS IB & CPO; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NOT TO SOLICIT OR TRADE INDIVIDUAL OR CUSTOMER ACCOUNTS OR POOL ACCOUNTS WHICH TRADE OFF-EXCHANGE FUTURES CONTRACTS.
COLLINS COMMODITY BROKERAGE COMPANY	92-1062-T	D KS	02/11/94	4b(a)(i) 9(a)(1) 4g(a) 4n(3)(A)	4.20(c) 1.31 1.35(a) 4.23	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR THE ACCEPTANCE OR HOLDING OF CUSTOMER FUNDS.
COLLINS, ANTHONY H.	82-44	CFTC	01/23/86	4k	1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$500.
COLLINS, DANIEL	94-13	CFTC	7/15/2004	4c(a)(1)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
COLLINS, EDWARD	94-13	CFTC	7/15/2004	4c(a)(1)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
COLLINS, EDWARD M.	94-C-4375	ND IL	02/06/97	4b(a)(i) 4b(a)(ii) 4d(1) 4k(1) 4m(1) 4o(1)		PERMANENT INJUNCTION	
COLLINS, HAROLD	77-15	CFTC	01/10/84	4a 6(b) 6(c) 9(b)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
COLLINS, JOHN P.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
COLLINS, THOMAS W.	94-C-4375	ND IL	07/19/94	4b(a)(i) 4b(a)(ii) 4d(1)		COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k(1) 4k(2) 4m(1) 4o(1)			
COLMAN, LAWRENCE	00-6885	S.D. FL.	3/28/01			FINAL JUDGEMENT	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,456,510.80 PLUS PRE & POST JUDGEMENT INTEREST; EACH DEFENDANT SHALL PAY A CIVIL MONETARY PENALTY OF \$2,456,510.80 WHICH IS EQUAL TO THE RESTITUTION SUM ORDERED; DISGORGEMENT OF \$224,436.73.
COLORADO COMPUTER SERVICE	84-48	CFTC	01/02/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; UNDERTAKE NOT TO TRADE EXCEPT TO HEDGE.
COLORADO INDUSTRIAL BANK CORPORATION	84-48	CFTC	01/02/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; UNDERTAKE NOT TO TRADE EXCEPT TO HEDGE.
COLTON, MICHAEL	98-2575-CIV-T-26C	MD FL	04/05/99				DISGORGEMENT OF \$523,950.54; RESTITUTION OF \$523,950.54; CIVIL MONETARY PENALTY OF \$1,571,851.60; COSTS AWARDED PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING AS COMMISSION REGISTRANT OR APPLYING FOR REGISTRATION WITH COMMISSION.
COMARK COMMODITIES	82-11	CFTC	05/05/82	4d(2) 4f(2) 4g	1.10(d)(1) 1.12(a) 1.17(a)(1) 1.18(b) 1.20(a) 1.23 1.31(a) 1.32 1.36(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
COMENZO, THOMAS A.	SD-86-4	CFTC	11/04/86	8a(3)(J) 8a(3)(M)			REG. REVOKD AS FB.
COMEX CLARING	85-25	CFTC	11/24/87	4d(2)	1.20(a)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ASSOCIATION, INC.				5a(8) 5a(9)	1.20(c) 1.22		AMNT.: \$30,000.
COMMERCIAL HEDGE SERVICES, INC. d/b/a PRIME TRADING COMPANY	4:04CV3184	D NE	5/4/2004	4b(a)(2)(i) & (iii) 4o 4c(b)	33.10 166.2	PRELIMINARY INJUNCTION	TRADING PROHIBITION.
COMMERCIAL PETROLERA INTERNATIONAL, S.A.	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
COMMODITIES AMERICA CORPORATION	80-478	D MN	12/02/81	4g(1) 4f(2) 6(b)	1.31 1.17 1.17(a)(3)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APOINTED; ACCOUNTING ORDERED.
COMMODITIES CORPORATION	85-51	CFTC	09/30/85	4a(2)(B) 4i	18.00 150.4 150.11 150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$425,000.
COMMODITIES INTERNATIONAL CORPORATION	83-43	CFTC	01/14/97	4b 4o 4n(1)	4.21 3.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$212,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS CPO & CTA.
COMMODITIES INTERNATIONAL HOLDING CORP.	83-43	CFTC	01/14/97				REG. DENIED AS FCM.
COMMODITY CONCEPTS MANAGED COMMODITY FUNDS	82-1931	ND OH	07/22/83	4b 4m 4n(1) 4n(3)(B) 4o(1)	4.20 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
COMMODITY CONSULTANT INTERNATIONAL, INC.	02-40041	ED MI	3/10/03	4b(a)(i)-(iii) 4g(a)	1.31 1.35 4.14(a)(9)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY AND SEVERALLY LIABLE FOR RESTITUTION OF \$6,274,986.84 PLUS PRE-JUDGMENT INTEREST IN THE AMOUNT OF \$302,760 TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN.
COMMODITY CONSULTANTS INTERNATIONAL, INC.	SD 03-07	CFTC	1/13/2004			ALJ INITIAL DECISION	FUTURES COMMISSION MERCHANT REGISTRATION REVOKED.
COMMODITY EXCHANGE INCORPORATED	79-24	CFTC	01/19/79	5a(1) 5a(12)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
COMMODITY EXCHANGE, INC.	85-25	CFTC	11/24/87	5a(8) 5a(9)	1.52 1.53		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.
COMMODITY EXCHANGE, INC.	85-7	CFTC	11/19/84	5a(8)	1.51		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
(THE)					1.53 8.07		AMNT.: \$70,000.
COMMODITY EXPORTERS, INC.	79-36	CFTC	08/24/81	4a(2)(B) 6(b)	150.10(a) 18.00 18.01 18.03 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.
COMMODITY FLUCTUATION SYSTEMS, INC.	83-5909WK	SD NY	05/18/84	4b(A) 4o(1)	4.41(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION.
COMMODITY INVESTMENT COUNSELORS	80-23	CFTC	12/02/81	4n(4) 4o(1) 4o(2)	4.21 4.22		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA.
COMMODITY MANAGEMENT CORPORATION OF MICH.	86-1	CFTC	12/03/85	4o(1)	4.21(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; COMPLY WITH UNDERTAKING TO MAKE RESTITUTION OF \$10,000 TO CUSTOMERS WITHIN 30 DAYS.
COMMODITY MANAGEMENT PLUS, INC.	90-00038	ND IN	08/17/90	4o(1) 4k(3)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
COMMODITY MANAGEMENT SERVICES, INC.	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER.
COMMODITY MANAGEMENT SERVICES, INC.	82-6203	SD FL	04/15/82	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
COMMODITY OPTION SPECIALIST, INC.	89-23	CFTC	04/23/92	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
COMMODITY OPTIONS LIMITED	78-19	CFTC	12/10/81	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
COMMODITY REFERRAL SERVICE, INC.	97-1492	SD FL					
COMMODITY RESOURCES, INC.	81-2431	SD NY	10/14/81	4d(2) 4f(2)	1.20(a) 1.22 1.17(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; TO WITHDRAW FROM REGISTRATION AND NOT REAPPLY.
COMMODITY SERVICES, INC.	80-15	CFTC	10/15/80	4b	1.10(a)		CEASE & DESIST ORDER;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o 4k 4f(1)	1.14(a) 1.14(d)		TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO.
COMMODITY SPECIALIST CORPORATION	82-14	CFTC	02/18/83				REG. DENIED AS CPO & CTA.
COMMODITY TIMING SPECIALISTS	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
COMMONWEALTH FINANCIAL GROUP, INC.	92-6692	SD FL	02/21/96		PRELIMINARY		VACATE ORDER DENYING PERMANENT INJUNCTION AND REMAND (11 TH CIR.).
COMMONWEALTH TRUST LIMITED	03 CV 7112	SD NY	9/12/03	4b(a)(2)(I) & (iii) 4(a)	1.1(B)(1) & (3)	COMPLAINT FILED	
COMP TECH LTD., INC.	99-8750-CV	S.D. FL	10/29/99			REVISED EX PARTE SRO	PROTECT & ACCESS BOOKS & RECORDS; ASSET FREEZE LIFTED.
COMPANIA SALVADORENA DE CAFÉ, S.A.	79-34	CFTC	04/02/81	4c(a) 9(b) 6(b) 6(c)			CEASE & DESIST ORDER; PROHIBITED FROM SPECULATIVE TRADING.
COMPUSOFT, INC.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
COMPUTER WAREHOUSE INC.	96-08202	SD FL	06/25/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4d(1) 4d(2) 4m(1) 4k(1) 4k(2) 9(a) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	RESTITUTION OF \$24,309 PLUS PRE-JUDGMENT INTEREST; BASED UPON DEFENDANTS SWORN FINANCIAL DISCLOSURE STATEMENT, THE COURT IS NOT ORDERING THE PAYMENT OF THE RESTITUTION AMOUNT AND A CIVIL MONETARY PENALTY UPON DEFENDANTS; DEFENDANTS SHALL SIGN ACKNOWLEDGEMENTS OF SERVICE OF ORDER AND SERVE ON COMMISSION WITHIN 7 DAYS.
COMPUTREND, LTD.	78-42	CFTC	07/24/79				REG. REVOKED AS CTA & CPO.
COMPUTREND, LTD.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER.
COM-TECH SYSTEMS LTD.	88-12	CFTC	03/11/88	4b(A)	4.21(a)		TRADING PRIVILEGES REVOKED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1) 4m(1)			TO DISTRIBUTE REMAINING POOL FUNDS TO POOL PARTICIPANTS; NEVER TO SEEK REGISTRATION.
COM-TRAD SYSTEMS, INC.	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; CHARGED WITH CIVIL CONTEMPT ON 04/01/86.
COMVEST TRADING CORPORATION	79-1071	D MA	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
COMVEST, INC.	79-1071	d ma	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CONCEPT II INC.	87-3276(JWB)	D NJ	08/11/87	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4m 4o(1)	1.20 3.4 4.20(c)	PERMANENT INJUNCTION	
CONCORDE TRADING GROUP	93-1567	SD FL	07-19-96	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; THE GARDEN CITY GROUP APPOINTED AS DISBURSEMENT AGENT; PAY \$1,500.00 JOINTLY W/ AJS TO GARDEN CITY GROUP FOR PAYMENT TO CUSTOMERS; COOP. W/ COMMISSION & GARDEN CITY GROUP.
CONLIN, THOMAS G.	83-26	CFTC	05-11-84	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB & AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
CONNALLY, JOHN M.	88-3	CFTC	11/17/87		1.56(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
CONNELLY, JAMES L.	SD-99-7	CFTC	07/29/99	8a(3) 8a(4)			CONNELLY SHALL ABIDE BY A LIFETIME DUAL-TRADING RESTRICTION ON FB

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION; WILL COMPLY WITH UNDERTAKINGS.
CONNETTO HOLDING COMPANY, LTD.	03 CV 1796	ND NY	3/14/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CONNOLLY, DAVID C.	86-6	CFTC	03/10/92	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; \$400,000 PENALTY ASSESSED ON 7/14/92.
CONNORS & DAVENPORT, LTD.	79-828	D AZ	05/18/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CONSULTANT PUBLICATIONS, INC.	76-7	CFTC	10/31/75	6(b) 6(c) 9(b) 13(a) 4b 4f(2) 4(g)	1.16 1.17 1.18 1.33		ALLOWED TO WITHDRAW CTA REGISTRATION APPLICATION.
CONTICOMMODITY SERVICES, INC.	85-12	CFTC	09/30/86		1.35(a-1) 1.46 1.56 17.00 30.02 166.3 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$1,500,000; TO CEASE DOING BUSINESS AS FCM; NOT TO SEEK REGISTRATION IN ANY CAPACITY; ALSO SETTLES 86-36.
CONTICOMMODITY SERVICES, INC.	86-36	CFTC	09/30/86				SEE DOCKET 85-12.
CONTINENTAL PRECIOUS METALS, INC.	79-1406	SD FL	12/13/85	4c(b) 4c(c)	32.11 32.9 32.3	PERMANENT INJUNCTION	
CONTRINO, CARMELO	02-13	CFTC	7/9/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.38 1.35(d)	COMPLAINT FILED	
COOPERS & LYBRAND	93-18	CFTC	05/24/93		1.16(d) 1.16(e)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000.
COOPERS & LYBRAND	93-19	CFTC	05/24/93		1.16(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000.
COPPOLA, VINCENT	01-06	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORAL ENERGY RESOURCES, L.P.	04-21	CFTC	7/28/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000,000; SHALL COMPLY WITH UNDERTAKINGS.
CORDERO, JOSEPH M.	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
CORDO, WILLIAM SCOTT	01-10	CFTC	5/24/2004	4c(b)	33.10 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PROHIBITED; ASSOCIATED PERSON REGISTRATION REVOKED; CIVIL MONETARY PENALTY OF \$480,000 TO BE PAID PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
COREA, DAVID S.	83-25	CFTC	05/11/84	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
CORINGRATO, AL	99-1558-CIV-T-23F	MD FL	07/06/99	4c(b)	32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3	COMPLAINT FILED	
CORNAZ, PATRICE	3:04CV169-S	WD KY	12/1/2004	4(a) 4b(a)(2)(iv)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN FIVE BUSINESS DAYS; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
CORNISH, RONALD J.	78-2102A	ND GA	12/18/78	4d(2) 4f(2) 4g(2)	1.17(a) 1.18(b) 1.18(c) 1.20(a) 1.23 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
COTE, LARRY	83-4	CFTC	08/29/85	4b(A) 4d(2)	1.20(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$17,000; TRAD. PRIV. SUSP. 1-2 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
COUGAR COMMODITIES INC.	85-6451	SD FL	09/20/85	4m 4o(1)		INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
COUGAR COMMODITIES, INC.	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
COUNTRY HEDGING, INC.	97-10	CFTC	06/24/97	4c(a)(A)			CEASE & DESIST ORDER; PEN.

PRELIMINARY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AMNT.: \$75,000; COMPANY SHALL, AMONG OTHER THINGS, PROVIDE TRAINING TO ITS AP REGARDING THEIR DUTIES; MAINTAIN THE STAFF POSITION OF COMPLIANCE OFFICER WHO REPORTS TO COMPANY'S GENERAL MANAGER; HAVE GENERAL MANAGER REVIEW COMPANY'S COMPLIANCE WITH ORDER.
COX, EDWARD ANTHONY III	91-14	CFTC	03/04/98				APPEALED THE C&D ORDER; REGISTRATION RESTRICTION AND TRADING PROHIBITION PREVIOUSLY IMPOSED WAS AFFIRMED BY THE COURT OF APPEALS 3/4/98.
COX, STEPHEN C.	03-04	CFTC	12/24/02	4o(1)(A)	4.41(a)(1) 4.41(b)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; CTA REGISTRATION SUSPENDED FOR 3 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
CRACRAFT, PERRY J.	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED.
CRAIG, CHARLES	78-55	CFTC	05/25/79				TO WITHDRAW FROM REGISTRATION AND NOT REAPPLY FOR 3 YEARS.
CRAIG, JAMES P.	77-16	CFTC	08/19/77	6(c)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; SUSP. AS AP 1 MO. OR LESS; SUSP. AS FCM 1 MO. OR LESS.
CRAIG, JAMES P.	79-0609-H	ND TX	10/18/81	4c(b) 4c(c)		PERMANENT INJUNCTION	
CRAIG, JAMES P.	82-26	CFTC	06/09/83	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
CRAWFORD, JAMES R.	97C7061	ND IL	1/30/01				PLAINTIFF'S MOTION TO DISMISS WITHOUT PREJUDICE IS GRANTED; DECEASED.
CREDIT LYONNAIS ROUSE LIMITED	04-25	CFTC	9/29/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
CRILLY, RICHARD J.	86-30	CFTC	08/19/86	4b 4d(2)	1.17(a) 1.18(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TO REMOVE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(2) 4g(1) 6(b)	1.18(b) 1.20(a) 1.20(c) 1.22 1.23 1.31(a)(1) 1.32 1.35(a) 166.3 1.25 1.22 1.20 1.12		HIMSELF FROM MANAGEMENT OF AJ RIFFEL & CO.; NOT TO REAPPLY FOR REGISTRATION.
CROMEX INC.	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
CROMWELL INTERNATIONAL PRECIOUS METALS INC.	85-3059	SD FL	06/26/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED; FULL RESTITUTION ORDERED.
CRONOVER, CHARLES ARTHUR III	81-CA12	WD TX	02/22/89	4c(b) 4c(c) 4m	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN ANY BUSINESS, ACCEPTING, CONFIRMING OR EXECUTING COMMODITY OPTIONS CONTRACTS; ENJOINED FROM VIOLATING TEXAS DECEPTIVE TRADE PRACTICES – CONSUMER PROTECTION ACT.
CROTHERS, WILLIAM R.	87-19	CFTC	08/31/94				PEN. AMNT.: \$25,000; REG. REVOKED AS AP.
CROUCH, THOMAS A.	93-10	CFTC	07/06/94	4b(a)(i)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; APPEALED.
CROWDER, BRYANT a/k/a BRIAN CROWDER a/k/a BRIAN MCCROWDER	01-7402	SD FL	8/24/2004			DEFAULT ORDER	RESTITUTION OF \$18,412.50; DISGORGEMENT OF \$12, 338.24; CIVIL MONETARY PENALTY OF \$360,000.
CROWLEY, JAMES TRENT	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
CROWLEY, THOMAS D.	78-2240	WD TN	12/02/80				TO JOINTLY PAY \$25,806.74 TO RECEIVER.
CROWLEY, THOMAS D.	79-2778			4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
CROWN COLONY COMMODITY OPTIONS, LTD.	77-2678EW	SD NY	05/19/78	4c(b) 4k	30.01 32.3	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)	32.8		
CROWN COLONY COMMODITY OPTIONS, LTD.	79-1	CFTC	09/27/79	4c(b) 4o(1)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; REG. REVOKED AS FCM & CTA; TO JOINTLY PAY \$200,000 INTO ESCROW FOR CUSTOMERS; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
CROWN, BRUCE N.	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	
CRUTTENDEN, JAMES	84-3920KH	CD CA	06/18/84	4d(2) 4f(2) 4g(1)	1.35(a) 1.18(b) 1.23 1.31 1.32 1.20(a) 1.17(a) 1.18(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; NOT TO APPLY FOR REGISTRATION OR AFFILIATE WITH A REGISTRANT FOR 10 YEARS.
CSA, INC.	84-1	CFTC	02/13/85	4m 4n(3)(A) 4o(1)	4.21(b) 4.21(c) 4.22(a) 4.22(c) 4.22(d) 4.22(e) 4.22(h)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
CTA, LTD.	91-23591J	D SC	08/12/92	4m 4o 4b 4c(b) 4n(3)(A) 9(a)	4.13 4.41 33.10 4.20 4.21	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; MUST DISGORGE ALL BENEFITS, INCLUDING \$154,000 IN CUSTOMER FUNDS.
CTS FINANCIAL PUBLISHING, INC. formerly COMMODITY TREND SERVICE, INC.	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
CTU, INC. a/k/a COOPER, THOMAS, AND UNGAR, INC.	02-60239	SD FL	7/14/2004			SUPPLEMENTAL ORDER	CIVIL MONETARY PENALTY OF \$229,615.51 JOINTLY OWED; PROTECT BOOKS & RECORDS.
CUCINELLO, JOHN M.	78-62	CFTC	07/01/80	4f 4g	1.18(c) 1.32		CEASE & DESIST ORDER.
CULL, FRANK A.	91-7	CFTC	10/16/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; TRADED MAY ONLY BE EXECUTED BY DULY AUTHORIZED PERSONS; ALL POSITIONS MUST BE LIQUIDATED BEFORE COMMENCEMENT OF TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSPENSION; MAY NOT APPLY TO REGISTER IN ANY CAPACITY FOR 5 YEARS, EXCEPT MAY APPLY TO REGISTER AS FLOOR TRADER AFTER 18 MONTHS.
CULLEN, JACK DWIGHT	4-98-CV-0140A	ND TX					
CULPEPPER, HERBERT D.	88-32	CFTC	09/26/89	166.3			CEASE & DESIST ORDER.
CUNNINGHAM, JOSEPH MICHAEL	92-6427	SD FL	12/08/93	166.3		PERMANENT INJUNCTION	
CUNNINGHAM, JOSEPH MICHAEL	94-7	CFTC	12/09/93	4o	4.31(g) 4.41(a) 166.3		CEASE & DESIST ORDER; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
CUNNINGHAM, KEITH H.	97-14	CFTC	08/13/97	4o(1) 4k(3)	166.3		CEASE & DESIST ORDER; JOINTLY OWED RESTITUTION OF \$2.6 MILLION; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
CURNES, ELIZABETH HUNT	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
CURRENCY MANAGEMENT GROUP, INC.	5:01CV1496	ND OH	4/30/02	4c(b) 4m(1) 4o(1) 4k(2) 4n(4)	32.9 32.11 33.3 32.5 3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	TRADING PROHIBITION.
CURRENCY MERCHANTS, LTD.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
CURRENCY SPECIALIST, INC.	79-4867	SD NY	09/29/79	4c(b) 4c(c)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
CURRENCY SPECIALISTS, INC.	79-13851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
CURRENCY TRADING SYSTEMS	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii)	4.41(a) 4.41(b)	COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CURREX INTERNATIONAL CORP.	CIV-PJM-98-3316	D MD	10/29/99	4o(1) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a) 4b(a)(iv)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; RESTITUTION & DISGORGEMENT OF \$5,264,251 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$15,792,753 PLUS PRE & POST JUDGMENT INTEREST.
CUSTER, RUSSELL HARLAN	91-228-LRC	ED AR	03/29/95			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; HELD IN CONTEMPT OF 1991 PRELIMINARY & 1992; PERMANENT INJUNCTION ON 4/1/95 EX PARTE ORDER EXTENDED.
CUSTER, RUSSELL HARLAN	92-27	CFTC	09/22/92	4b 4c(b) 4d(1) 4d(2) 4m 4o	1.20 1.33 4.13 4.20(b) 4.20(c) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION; MAY NOT ACT AS A PRINCIPAL OF A FIRM OR ENTITY REGISTERED WITH THE COMMISSION.
CYBULSKI, GLENN	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMPLAINT FILED	
CZARNIKOW-RIONDA COMPANY, INC.	83-47	CFTC	06/29/83	4d(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
D&B INVESTMENTS ASSOCIATES	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	RECEIVER APPOINTED.
D. E. JONES COMMODITIES INC.	83-5909WK	SD NY	07/02/85		166.3	PERMANENT INJUNCTION	APPEALED; AFFIRMED ON APPEAL BY 2 ND CIR. 2/28/86.
D. MOBLEY, INC.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
D. WEISS & ASSOCIATES, INC.	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECEIVER APPOINTED; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
D'AMATO, FRANK	SD-99-3	CFTC	12/21/99	8a(3)(M) 8a(A)		COMMISSION ORDER	FLOOR BROKER REGISTRATION RESTRICTED; ALL ISSUES SETTLED; DISMISSED 12/22/99.
D'AMICO, LOUIS	93-2	CFTC	3/24/04			COMMISSION ORDER	COMPLAINT DISMISSED FOR A FAILURE OF PROOF.
DAHL, DAVID B.	83-2	CFTC	02/10/84		1.16(b)(2) 1.10 1.16 1.16(d)(1)(i) 17.00(c)(2) 1.17(c)(5) 1.16(e)(2)		CEASE & DESIST ORDER; PERSONALLY RESPONSIBLE AS SHAREHOLDER FOR SANCTIONS IMPOSED ON LEAF, DAHL AND COMPANY, LTD.
DALEY, SAMUEL	1:02-CV-1381	ND GA	4/2/03			PERMANENT INJUNCTION	DEFAULT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; MAY NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY; RESTITUTION OF \$662,954.79 WHICH INCLUDES PRE-JUDGMENT INTEREST OF \$89,256.84 JOINTLY OWED WITH ADVENT; NFA DESIGNATED AS MONITOR; CIVIL MONETARY PENALTY OF \$1,721,093.85 PLUS POST-JUDGMENT INTEREST.
DALLAS BROKERAGE COM., INC.	78-46	CFTC	05/29/79				REG. DENIED AS FCM.
DAMASO, DONALD PETER	92-12	CFTC	12/17/91	4o(1)(B)	4.13(b)(2)		CEASE & DESIST ORDER; REG. REVOKED AS AP.
DAMIAANS, FERDINAND J.	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
DANIELS, MARK	85-31	CFTC	01/22/88	4m 4o(1) 4b(A) 4n(3)(A)	4.41(a) 1.31 4.32 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DANIELS, RICHARD	86-6	CFTC	03/10/92	4b(A)	166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REVOKED AS AP; PENALTY TENTATIVELY ASSESSED ON 3/10/92 WAS REMOVED ON 7/14/92.
DARPA, FRANK	81-24	CFTC	08/07/81	4a(2)(B) 4i 6(b)	150.10 18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
DASILVA, MAURICIO	04 CV 7609	SD NY	9/27/2004			COMPLAINT FILED	
DASKOSKI, BARBARA	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT.
DATA TECH RESEARCH CORPORATION	90-26	CFTC	02/11/91	4d(2) 4g	1.20(c) 1.21 166.3 33.7		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
DAUBERT, JAMES L.	88-7	CFTC	04/10/92	4g	1.35(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DAVID, DAN W.	75-11	CFTC	07/15/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
DAVIS, HARRY L.	92-17	CFTC	03/31/92	4c(b)	33.10 166.3		CEASE & DESIST ORDER; DAVIS AGREES NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY, NOR ACT AS A PRINCIPAL OF ANY REGISTRANT.
DAVIS, MITCHELL STEPHEN	01-10	CFTC	5/24/2004	4c(b)	33.10 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PROHIBITED; ASSOCIATED PERSON REGISTRATION REVOKED; CIVIL MONETARY PENALTY OF \$120,000 TO BE PAID PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
DAVIS, SHERALDINE	81-2250-W	WD TN	05/06/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
DAY, ADRIAN	92-1	CFTC	09/29/92	4c(b) 4d(1)	1.55 30.3(a) 30.4(a) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; MAY NOT SEEK, OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 2 YEARS.
DAY, RAYMOND	79-4873	SD NY	10/23/79	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DAYTON, FORREST, JR.	99-7	CFTC	3/16/00			NOTICE OF EFFECTIVE DATE	5/26/99 DECISION BECAME FINAL ORDER OF COMMISSION ON 3/6/00.
DBS CAPITAL, INC.	C 03-1379VRW	ND CAL	5/15/03	4b(a)(2)(i)-(iii) 4(a)	1.1(b)(1)- 1.1(b)(3)	PRELIMINARY INJUNCTION	ACCOUNT ORDER; STOP SOLICITATION.
DE GOL ENTERPRISES, INC.	92-7158	SD FL	11/16/92	4b(A) 4b(B) 4c(b) 4d(1) 4k(1) 4k(2) 4m 4o	3.12 4.13 4.21 33.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; MARTHA LYONS APPOINTED TEMPORARY RECEIVER.
DE GOL FINANCIAL GROUP, INC.	92-7158	SD FL	11/16/92	4b(A) 4b(B) 4c(b) 4d(1) 4k(1) 4k(2) 4m 4o	3.12 4.13 4.21 33.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; MARTHA LYONS APPOINTED TEMPORARY RECEIVER.
DEANGELIS, JOEL	96-D-389	D COL	01/24/97	4o(1) 4b(i) 4b(ii) 4b(iii) 9(a)(1) 4m(1) 4k(2) 4n 9(a)(3)	3.12(a) 1.31 3.31 4.22 4.23 4.24(n) 4.25 4.41 4.21(a) 4.21(b) 4.21(e)(2) 4.21(g)(1) 4.26(a)(2) 4.26(a)(2)(c)	PERMANENT INJUNCTION	SHALL NOT APPLY FOR REGISTRATION IN ANY CAPACITY; ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION; ACT AS, OR ASSOCIATE WITH CPO OR CTA EXEMPT FROM REGISTRATION.
DEANGELIS, JOHN A.	87-14	CFTC	03/20/89	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
DEARBORN FINANCIAL PUBLISHING, INC.	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
DECKELBAUM, MITCHEL J.	87-3	CFTC	03/22/88	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DEFRANCESCO, JOSEPH	02-09	CFTC	6/12/03	4b(a)(i)	1.35(d)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.38		MONETARY OF \$75,000 TO BE PAID WITHIN TEN DAYS; TRADING PRIVILEGES SUSPENDED FOR 5 YEARS; FLOOR BROKER REGISTRATION SUSPENDED FOR 6 MONTHS; PRIVILEGES RESTRICTED AFTER SUSPENSIONS; SHALL COMPLY WITH UNDERTAKINGS.
DEH FINANCIAL SERVICES INC.	87-8	CFTC	02/27/87	4b(A) 4b(B) 4b(C) 4b(D) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
DEJONG, FRED ERIC	97-CIV-1360	ND CAL	11/21/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4k(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF SSETS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; ALL DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION AND DISGORGEMENT OF \$2,633,130.40 AND A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$320,000.
DEL DEO, ELLEN DAVID	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
DEL DEO, ELLEN DAVID	84-19	CFTC	01/10/84	4o(1)			CEASE & DESIST ORDER; SUSP. AS AP 48 MO.; NOT TO APPLY FOR REGISTRATION FOR 4 YEARS.
DEL DEO, PAUL	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
DEL DEO, PAUL	84-19	CFTC	01/10/84	4o(1)			CEASE & DESIST ORDER; SUSP. AS AP 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
DEL RE, ANGELO	85-4	CFTC	03/14/85	4c(a) 4g	1.38(a) 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 14 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
DELBIDGE, DAVID S.	81-770	D MN	04/03/85	4o(1) 4n(4) 4n(3)(A)	1.16 4.22(d) 4.22(h) 4.23 1.31(a) 4.21	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
DELBIDGE, DAVID S.	85-15	CFTC	03/14/85	4n(3)	1.16		CEASE & DESIST ORDER; TRAD.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4) 4o(1)	1.31(a) 4.21 4.22(d) 4.22(b) 4.23		PRIV. SUSP. 60 MO.; REG. REVOKED AS AP.
DELESSEPPES, PARIS a/k/a NANCY LEMAY CASSIDY a/k/a NANCY RAE NEWMAN	03-767 FMC	CD CAL	5/21/2004	4b(a) 4(a)		PERMANENT INJUNCTION	RESTITUTION OF \$333,769.31 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
DELLARCIPRETE, ANTHONY a/k/a TONY DELL	5:01CV1496	ND OH	4/30/02	4c(b) 4m(1) 4o(1) 4k(2) 4n(4)	32.9 32.11 33.3 32.5 3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	JOINT OWED RESTITUTION OF \$2,875,348.70 PLUS PRE & POST JUDGEMENT INTEREST TO BE PAID PURSUANT TO 10 YEAR PAYMENT PLAN; PREJUDGEMENT INTEREST OF \$611,803.76; TRADING PROHIBITION; CONTINGENT CIVIL MONETARY PENALTY OF \$770,000 TO BE PAID PURSUANT TO 10 YEAR PAYMENT PLAN.
DELLARCIPRETE, EMIDO	5:01CV1496	ND OH	4/30/02	4c(b) 4m(1) 4o(1) 4k(2) 4n(4)	32.9 32.11 33.3 32.5 3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	JOINT OWED RESTITUTION OF \$2,875,348.70 PLUS PRE & POST JUDGEMENT INTEREST TO BE PAID PURSUANT TO 10 YEAR PAYMENT PLAN; PREJUDGEMENT INTEREST OF \$611,803.76; TRADING PROHIBITION; CONTINGENT CIVIL MONETARY PENALTY OF \$770,000 TO BE PAID PURSUANT TO 10 YEAR PAYMENT PLAN.
DELOITE & TOUCHE LLP	96-10	CFTC	09/25/96				COMPLY WITH UNDERTAKINGS FOR 4 YEARS FROM DATE OF ORDER, PAY CMP OF \$100,000.
DELONG, STEPHEN	02-60769	SD FL	8/31/2004			PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$125,000 AND CIVIL MONETARY PENALTY OF \$375,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
DELOS COMMODITIES	85-35	CFTC	08/19/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AMNT.: \$2,500.
DELOS COMMODITIES, INC.	80-28	CFTC	01/06/84	4b 4c(a) 4g	1.37 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; PROHIBITED FROM TRADING FOR OWN ACCOUNT FOR 6 MONTHS; ALSO SETTLES PROCEEDINGS IN DOCKETS 80-30, AND 80-31.
DELOS COMMODITIES, INC.	80-30	CFTC	01/06/84	4b 4c(a) 4g	1.37 1.38		SEE DOCKET 80-28.
DELOS COMMODITIES, INC.	80-31	CFTC	01/06/84				SEE DOCKET 80-28.
DELTA COMMODITIES CORPORATION	78-65	CFTC	02/18/82	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DELTA COMMODITIES CORPORATION	79-4	CFTC	02/18/82	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
DELTA CONSULTANTS	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DELTA FINANCIAL CORP.	6:00-0567	SD WV	3/14/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4d(1) 4d(2) 4o(1)	4.13(b)(2)(i)(A) 4.13(b)(2)(i)(B) 4.20(c) 33.10	PERMANENT INJUNCTION	TRADING PROHIBITION; NO RESTITUTION IMPOSED DUE TO CRIMINAL ACTION RESTITUTION.
DELTA OPTIONS	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DEMARCO, THOMAS F.	00-01	CFTC	12/13/99	4b(a)		COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 10 YRS; SHALL NOT SEEK REGISTRATION W/ COMMISSION FOR 10 YRS. OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
DEMEO, ROBERT	78-1069	SD FL	01/17/83	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
DEMHOFF CORPORATION	89-25	CFTC	08/03/90	4a(5)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY.
DEMPSEY, MARTIN J. JR.	91-13	CFTC	10/05/93	4b(A) 4b(B) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
DEMPSEY, RICHARD R.	89-25	CFTC	08/03/90	4a(5)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION IN ANY CAPACITY FOR 18 MONTHS.
DEN HARTOG, JAMES	00-07	CFTC	3/7/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b)	33.10(a) 33.10(b) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; PENALTY AMOUNT \$10,000; PERMITTED TO ENGAGE IN BONA FIDE HEDGING AS DEFINED BY COMMISSION REGULATION 1.3(z) TO HEDGE PRICE RISKS ASSOCIATED WITH HIS BUSINESS AS A HOG BREEDER; SHALL NEVER APPLY FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY.
DENG, NINA	93-0067	CD CA	05/20/94	4(a)		PERMANENT INJUNCTION	
DENIGRIS, MICHAEL SALVATORE	SD-95-23	CFTC	08/08/95				CONDITIONALLY REGISTERED FOR 2 YEARS AS FB.
DENIZ, THOMAS J.	96-5895	ED CA	07/30/96 04/07/97 11/16/98	4m(1) 4b(a)(i) 4o(1)	4.20	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; MEMORANDUM OPINION & ORDER APPROVING PERMANENT RECEIVER'S PLAN OF DISTRIBUTION, DIRECTING DISTRIBUTION OF FUNDS, SETTING COMPENSATION OF RECEIVER & DISMISSING RECEIVER.
DENNIS, LAWRENCE A.	86-17	CFTC	04/15/87	4(a)			CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
DEPALMA, ROBERT	79-42	CFTC	09/20/82	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 1.31(a) 32.6		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 1 YEAR.
DEPRIZIO, DANIEL	79-42	CFTC	09/20/82	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 1.31(a) 32.6		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 1 YEAR.
DESALVO, NICHOLAS	92-19	CFTC	02/04/98	4b(A) 4b(C) 4b(B) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB; ON APPEAL.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DESANO, MARK J.	82-777	ND NY	08/06/82	4b(A) 4o(1)	4.41	PERMANENT INJUNCTION	
DESANTIS, FRANK	01-7402	SD FL	1/20/2004	4c(b)	32.9 32.11 33.3(a)	PERMANENT INJUNCTION	CONSENT ORDER; RESTITUTION OF \$300,000 TO BE PAID PURSUANT TO PAYMENT PLAN; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
DESTASIO, THOMAS	02-60769	SD FL	8/31/2004	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$9,600 AND CIVIL MONETARY PENALTY OF \$360,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
DEWITT, SCOTT	00-35	CFTC	7/8/02	4c(b)	33.10	ALJ ORDER	DEFAULT ORDER; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000.
DEXTER, JOHN J.	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED.
DEXTER, JOHN J.	79-0609	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
DEZELL, PETER JAMES	92-29	CFTC	09/29/92	4k(1)	1.35(a-1) 3.12		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
DIAL, DONALD. D.	80-19	CFTC	10/27/87	4b(A) 4d(2) 4g 4i 6(b) 6(c) 9(b) 13(a)	1.20 1.37 17.01 18.00 18.01 18.04		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION.
DIAL, SCOTT D.	80-19	CFTC	08/18/87	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; REG. DENIED AS CTA & CPO; NOT TO APPLY FOR REGISTRATION..
DIAL, SCOTT D.	81-3	CFTC	12/16/80				CONSOLIDATED WITH 80-19.
DIAS, PAULINO RENE, JR.	03-2659 TJH	CD CAL	12/13/2004	4b(a)(2)(i)&(i ii) 4c(b) 4o(1)(A)&(B)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$1,950,000 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; ASSET FREEZE LIFTED.
DICKSON, FREDERICK J.	83-62	CFTC	12/07/83				REG. REVOKED AS FB.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DICKSON, FREDERICK J.	84-5	CFTC	04/12/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRADING PRIVILEGES REVOKED.
DICKSTEIN, MARK B.	90-29	CFTC	09/09/91	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; AFTER TRADING EXPIRATION, ORDERS MAY ONLY BE PLACED THROUGH AUTHORIZED PERSONS; MUST LIQUIDATE ALL FUTURES AND OPTION POSITIONS; MAY NOT APPLY TO REGISTER IN ANY CAPACITY FOR 5 YEARS; MAY NOT APPLY TO REGISTER AS FLOOR BROKER FOR 6 YEARS; 5/30/95 COMMISSION DENIES MD MOTION TO MODIFY SETTLEMENT.
DIGISO, JOSEPH JOHN	83-24	CFTC	03/11/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
DILLON, CHASE, WEST, INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
DILLON-GAGE, INC.	80-4	CFTC	06/20/84	4d(2) 4f(2) 4g(1) 4g(3) 4g(4)	1.20(a) 1.32 1.26(a) 1.23 1.28 1.17 1.33 1.33(a) 1.35(a) 1.35(a-1) 1.32		PEN. AMNT.: \$1,000.
DINAPOLI, ANTHONY	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
DIPASQUALE, VINCENT A.	78-35	CFTC	06/29/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
DIPLACIDO, ANTHONY J.	01-23	CFTC	9/14/2004	6(d)		ALJ INITIAL DECISION	CIVIL MONETARY PENALTY OF \$500,000 TO BE PAID WITHIN TEN BUSINESS DAYS; 20 YEAR TRADING PROHIBITION; FB REGISTRATION REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DIPPOLITO, MICHAEL A.	02-60239	SD FL	7/14/2004			SUPPLEMENTAL ORDER	CIVIL MONETARY PENALTY OF \$229,615.51 JOINTLY OWED; PROTECT BOOKS & RECORDS.
DIRKSEN, TERRY ALLAN	98-4	CFTC	09/24/98	4b(a) 4o(1)(A) 4o(1)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; CMP PAYABLE TO THE CFTC; IF NOT PAID WITHIN 15 DAYS OF THE ORDER DIRKSEN SHALL BE AUTOMATICALLY PROHIBITED FROM TRADING ON ALL CONTRACT MARKETS; DIRKSEN SHALL NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY FOR 3 YEARS; DIRKSEN SHALL COOPERATE FULLY WITH THE COMMISSION.
DISARRO, ROBERT	02-13	CFTC	7/9/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.38 1.35(d)	COMPLAINT FILED	
DISCOUNT BULLION RESERVE	84-1463	SD CA	09/03/85	4m 19 9	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
DISHY BROTHERS	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ONE MONTH TRADING SUSPENSION HELD IN ABEYANCE.
DISHY, BERNARD	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TWENTY-DAY SUSPENSION OF T-BILL TRADING HELD IN ABEYANCE.
DITTMER, THOMAS H.	83-20	CFTC	02/17/83	4a(2)(B) 4i	150.2 150.4 150.11 150.12 18.00 18.01(d) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; PROHIBITED FROM TRADING COTTON FUTURES FOR 4 MONTHS.
DIVERSIFIED MANAGEMENT SERVICES CORP.	90-16	CFTC	04/22/91	6(b) 8b 4k(3)	4.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
DIVERSIFIED OIL INVESTMENT INC.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPOINTED; ACCOUNTING ORDERED.
DIVERSIFIED TRADING SYSTEMS	94-5	CFTC	11/03/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NEVER SEEK OR ACT IN CAPACITY REQUIRING REGISTRATION.
DIVERSIFIED TRADING SYSTEMS, INC.	82-8529	SD FL	10/26/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	DISGORGEMENT; ALT. FUNDS ON DEPOSIT WITH INDEX FUTURES GROUP; PETER HORNIK APPOINTED ESCROW AGENT.
DIVERSIFIED INVESTOR'S GROUP, INC.	83-1591EBD	SD FL	05/09/85	4o(1) 4b	4.21(a) 4.22 166.3	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
DIVOZZO, THOMAS M.	82-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT.
DIXON, CARL DEAN	00-03	CFTC	4/12/00	4b 4o 4m		ALJ ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$28,500; BECAME FINAL ORDER ON 5/12/00.
DMANSKIY, EDUARD a/k/a EDWARD DUMANSKY	03 CV 7112	SD NY	8/24/2004	4(a); 4b(a)(2)(i) & (iii)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	RESTITUTION OF \$10,308,775.10 AND CIVIL MONETARY PENALTY OF \$30,926,325.30 PLUS POST JUDGMENT INTEREST FOR EACH; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
DOHERTY, JOHN FRANCIS	83-23	CFTC	12/10/90	4e 4g(1)	1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; EFFECTIVE DATE OF ORDER IS 1/10/91.
DOLPHIN COMMODITIES, INC.	80-33	CFTC	09/24/81	4f(2) 4d(2)	1.17 1.18b 1.10(b) 1.20(a) 1.28		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
DOMBROSKI, WALTER	88-20	CFTC	12/16/88	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
DOMESTIC OIL CORPORATION	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DOMINICK, KEITH	94-661-CIV	MD FL	04/01/96	4b(a)(i) 4m(1) 4o(1) 9(a)(1) 4n(3)(A) 4b(a)(ii)	4.20 4.21 4.22 1.31	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
DOMINICK, WARREN J.	88-4	CFTC	12/21/87	4f(2) 6(b)	1.10(b)(2) 1.10(d) 1.17(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS; NOT TO PRACTICE AS ACCT. OR ATTY. BEFORE CFTC FOR 5 YEARS.
DONALD JAMES, INC.	1:99-cv-0967	ND GA	5/8/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL NOT ACT AS PRINCIPAL, EMPLOYEE, OFFICER OR AGENT OF ANY PERSON REG., EXEMPTED FROM REGISTRATION OR REQUIRED TO BE REGISTERED UNDER THE ACT.
DONALDSON, LUFKIN & JENRETTE ACLI FUTURES	84-49	CFTC	03/07/85	4g(1) 4i 6(b)	17.00(a)(1) 17.01 17.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE SYSTEM.
DONATACO, INC.	89-2778MAC	ED NY	08/31/89	4b(A) 4d(2) 4d(1) 4o(1) 9(a)	1.20 3.4 4.20(a) 4.20(b) 4.20(c) 4.41(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DONATELLI, MARC	6:03CV42	ED TX	1/30/03	4b(a)(2)(i)- (iii)	1.1(b)(1) 1.1(b)(3)	COMPLAINT FILED	
DONCOMM FINANCIAL, INC.	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
DONCOMM FINANCIAL, LTD.	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.222	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
DONNEY SECURITIES, LTD.	79-42	CFTC	10/21/81	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 1.31(a) 32.6		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM & CTA.
DORMAGEN, ROBERT L.	6:00-0567	SD WV	3/14/02	4b(a)(i) 4b(a)(ii)	4.13(b)(2)(i)(A) 4.13(b)(2)(i)(B)	PERMANENT INJUNCTION	TRADING PROHIBITION; NO RESTITUTION IMPOSED DUE TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iii) 4c(b) 4d(1) 4d(2) 4o(1)	4.20(c) 33.10		CRIMINAL ACTION RESTITUTION.
DORNER, JOSEPH C.	SD-82-3	CFTC	06/17/82				REG. DENIED AS AP.
DOST, ARBEN	86-5457	CD CA	01/12/87	4m 4o(1)		PERMANENT INJUNCTION	
DOUE, FRANKLIN ERROL	93-25	CFTC	09/07/93	4b(a)(ii)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; NOT TO SEEK OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 1 YEAR.
DOWLER & BEEKMAN TRADING COMPANY, LTD.	96-14284	SD FL	02/19/97	9(a)(1) 4b(a)(i) 4b(a)(ii) 4k(2) 4k(3) 4m(1) 4o(1)	4.20 4.30 4.41(b)	PERMANENT INJUNCTION	WITH JAMES V. DOWLER, JOINTLY PAY RESTITUTION OF \$977,197.00 TO DBT ACCT. OWNERS.
DOWLER, JAMES V. JR.	96-14284	SD FL	02/18/97	4b(a)(i) 4b(a)(ii) 4k(2) 4k(3) 4m(1) 4o(1) 9(a)(1)	4.20 4.30 4.41(b)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; DOWLER & BEEKMAN, JOINTLY PAY RESTITUTION OF \$977,197.00 TO DBT ACCOUNT OWNERS; NFA WILL MONITOR DOWLER'S COMPLIANCE WITH THE TERMS OF RESTITUTION; JVD AGREES TO MAKE ANNUAL PAYMENTS; PROVIDE A SEMI-ANNUAL FINANCIAL STATEMENT; COOPERATE FULLY WITH THE COMMISSION & NFA; FLOW FURTHER UNDERTAKINGS OF THE ORDER; FLORIDA STATUTES ALSO VIOLATED.
DOYLE, JAMES J.	79-11	CFTC	02/26/79				REG. REVOKED AS AP.
DREHER, DAVID B.	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
DRESNER, LAWRENCE ALLEN	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	
DREXEL BURNHAM LAMBERT INCORPORATED	89-3	CFTC	11/10/88	4c(a) 4g	1.35(a-1)(1) 1.35(a-1)(2) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$145,000.
DREXEL BURNHAM LAMBERT, INCORPORATED	88-10	CFTC	11/22/89	4g	1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$55,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.37(a) 17.00(a) 17.00(b) 17.01(a) 17.01(b) 17.02(a)(2) 166.2 1.35(a-1)(1) 166.3		
DREZNER, BRUCE ALAN	92-6009	SD FL	09/21/93			PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; ASSETS ARE FROZEN UNTIL DISGORGEMENT ORDER IS SATISFIED; \$16,613.35 MUST BE DISGORGED.
DRIGGS, KAY ALLAN	81-0633	D UT	08/26/81	4o(1)		PERMANENT INJUNCTION	
DRIGGS, KAY ALLAN	82-12	CFTC	03/03/82	4m 4n(3) 4o(1) 6(b)	4.21(a) 4.21(b) 4.23 4.31(a) 4.31(b)		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
DROGE, WILLIAM	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
DROGE, WILLIAM	98-CIV-1365	SD NY	03/03/98	4b 4(a)		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
DRURY AND ASSOCIATES, INC.	88-2	CFTC	11/10/87	4o(1) 4k(1)			CEASE & DESIST ORDER; NEVER TO REAPPLY FOR REGISTRATION.
DRURY, FRANK V.	88-2	CFTC	11/10/87	4o(1) 4k(1)	PRELIMINARY		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
DUFFY, APRIL	CV 03 603	D OR	8/25/2004	4b(a); 4(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$347,937 PLUS PRE & POST JUDGMENT INTEREST; CONTINGENT CIVIL MONETARY PENALTY OF \$240,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							WITH UNDERTAKINGS.
DUKE ENERGY TRADING AND MARKETING, L.L.C.	03-26	CFTC	9/17/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$28,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
DUKE, ROBERT E.	79-28	CFTC	10/15/80	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
DULL, MARGARET	99-17	CFTC	4/10/00	4g	1.35(a-1)(1) 1.35(a-2)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; SHALL COMPLY W/ UNDERTAKINGS.
DUNCAN, LARRY M. JR.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	TO PAY \$1,000 TO RECEIVER.
DUNHILL FINANCIAL GROUP, INC.	99-7	CFTC	2/4/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS IB, CPA & CTA REVOKED; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
DUNHILL INVESTMENTS CORPORATION	90-25	CFTC	12/17/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB; MAY NOT APPLY FOR REGISTRATION IN ANY CAPACITY.
DUNLAP, DAVID	79-03851	CD CA	04/30/82	4c(c) 4c(b)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
DUNN, WILLIAM C.	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DUPLAIN, ALFRED A.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DUPLAIN, KEVIN R.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DUPONT GROUP, INC.	98-CIV-1365	SD NY	03/03/98	4(a) 4b		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
DURKIN & ASSOCIATES INC.	88-12	CFTC	03/11/88	4b(A) 4k(2) 4k(5) 4n(1) 4o(1) 6(b)	4.21(a) 166.3 PRELIMINARY		TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DURKIN, JOHN F.	82-43	CFTC	05/02/84	4b 4m 4n 4o(1)	4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							YEARS.
DURKIN, JOHN F.	88-12	CFTC	09/13/88	4b(A) 4k(2) 4m(1) 4n(1) 4o(1) 6(b)	3.14 4.21(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DURKIN, TIMOTHY E. SR.	88-12	CFTC	03/11/88	4b(A) 4k(2) 4k(5) 4m(1) 4n(1) 4o(1) 6(b)	3.14(a) 4.21(a) 166.3		TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION.
DUVERGLAS, LESLIE	77-18	CFTC	11/29/77	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
DYNEGY MARKETING & TRADE	03-03	CFTC	12/18/02	6(c) 6(d) 9(a)(2)	1.31 1.35 1.40	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000,000 JOINTLY & SEVERALLY OWED WITHIN FIVE BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS.
E & P NORTH AMERICAN TRADING CORP.	80-0689	SD NY	12/17/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
E NET SPECULATION LTD d/b/a E NET SPECULATION S.A.	3:04CV169-S	WD KY	12/1/2004	4(a) 4b(a)(2)(iv)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN FIVE BUSINESS DAYS; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
E PRIME ENERGY MARKETING, INC.	04-12	CFTC	1/28/2004	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$16,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
E. DAVID STEPHENS COMMODITIES	90-3276	ED NY	07/18/91	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	TO SERVE COMPLAINT AND ORDER ON ALL OFFICERS AND EMPLOYEES.
E. DAVID STEPHENS COMMODITIES CORP.	91-18	CFTC	07/09/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB & CPO; NEVER APPLY TO REGISTER OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
E. F. HUTTON & COMPANY INC.	86-11	CFTC	02/24/86	4g	1.31 1.33(e) 1.35(a) 1.38(b) 1.55(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TO UNDERTAKE IMPROVEMENTS IN RECORDKEEPING AND COMPLIANCE PROGRAM.
E.D. & F. MAN (SUGAR), LTD.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
E.D.P. COMMODITY, INC.	82-8	CFTC	05/19/82	4i	15.01 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED.
E.F. HUTTON & COMPANY, INC.	89-24	CFTC	09/21/89	4b(A) 4c(b) 4o(1)	32.9 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
E.F. HUTTON AND COMPANY, INC.	88-3	CFTC	11/17/87	4b(A) 4g 4g(1) 4k(1)	1.31(a) 1.35(a) 1.56(b)(1) 1.56(b)(2) 17.00 17.01(b)(6) 17.01(d) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$125,000.
EAGAN AND COMPANY, INC.	92-20	CFTC	07/31/92	4f(2) 4g(1) 6(b)	1.10(b) 1.10(d) 1.12(a) 1.17(a) 1.18(a) 1.18(b) 1.31 1.12(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; REG. REVOKED AS IB; ALJ ORDER; \$15,000 CIVIL MONETARY PENALTY ASSESSED ON 09/16/92.
EAGAN, JAMES R.	92-20	CFTC	07/31/92	4f(2) 4g(1) 6(b)	1.10(b) 1.10(d) 1.12(a) 1.12(c) 1.17(a) 1.18(a) 1.18(b) 1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; REG. REVOKED AS IB; ALJ ORDER; \$15,000 CIVIL MONETARY PENALTY ASSESSED ON 09/16/92.
EARL K. RILEY COMPANY	78-42	CFTC	07/24/79				REG. REVOKED AS FCM.
EARL K. RILEY COMPANY (THE)	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER.
EAST OCEAN INTERNATIONAL	92-1676	CD CA	12/19/94	4m	4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS.
EASTON AND COMPANY	79-27	CFTC	03/10/81	4b(D) 4g	1.35 1.37 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; SIX MONTH TRADING PROHIBITION HELD IN

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.39		ABEYANCE.
EASTON, KENNETH	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; FOUR MONTH TRADING PROHIBITION OF T-BILL TRADING HELD IN ABEYANCE.
EASTON, STANLEY	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; FOUR MONTH TRADING PROHIBITION OF T-BILL TRADING HELD IN ABEYANCE.
EBAUGH, CURTIS M.	03-16	CFTC	6/30/03	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000 TO BE PAID WITHIN TEN DAYS; COMMODITY TRADING ADVISOR REGISTRATION SUSPENDED FOR 3 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
ECKLES, OLIVER BURNHAM	93-22	CFTC	07/16/93	4b(a)(i) 4o(1) 9(a)(1)			NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT AS CPO OR AGENT OF CPO, OR OTHERWISE ACCEPT OR HOLD CUSTOMER FUNDS.
ECONOMIC CONSULTANTS OF PRINCETON, INC.	85-47	CFTC	02/08/93	4m 4b(A) 4o(1)	4.31(a) 4.31(b) 4.41(a) 4.41(b) 4.32		CEASE & DESIST ORDER; PEN. AMNT.: \$12,000.
ECONOMIC CONSULTANTS OF PRINCETON, INC.	87-10	CFTC	07/16/87				APPEALED; CONSOLIDATED WITH 85-47.
ECONOMIC MANAGEMENT, INC.	87-20	CFTC	09/29/87	4m(1) 4n(3)(A)	1.31 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; TO DISTRIBUTE REMAINING POOL FUNDS.
ECONOMOU ARTHUR N. AND COMPANY, INC.	79-2134VB	SD NY	10/30/81 05/24/85	4c(b) 4c(c)	32.7 32.11	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR.; DISGORGEMENT; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR. 10/10/86.
ECONOMOU, ARTHUR N.	79-2134VB	SD NY	10/30/81 05/24/85	4c(b) 4c(c)	32.7 32.11		ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR.; DISGORGEMENT; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR. 10/10/86.
ECONOMOU, PHYLLIS H.	79-2134VB	SD NY	10/30/81 05/24/85	4c(b) 4c(c)	32.7 32.11		ACCESS BOOKS & RECORDS; APPEALED; AFFIRMED ON

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPEAL TO 2 ND CIR.; DISGORGEMENT; APPEALED; AFFIRMED ON APPEAL TO 2 ND CIR. 10/10/86.
EDCO MANAGEMENT CORP.	89-4	CFTC	12/13/91	4b(A)	166.3		CEASE & DESIST ORDER.
EDELSON, LAWRENCE S.	87-1	CFTC	11/07/86	4c(a)(A) 4c(a)(B) 6(b) 6(c) 9(b)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1-2 MO.
EDMUNDSON, WARREN	88-3	CFTC	05/26/88	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$12,500.
EDWARDS, TYRONE	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)	33.10(a) & (c)	COMPLAINT FILED	
EFFRON, CRAIG W.	93-1	CFTC	05/19/94	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1-2 MO.; FT REGISTRATION SUSPENDED FOR 2 MONTHS.
EFFRON, CRAIG W.	93-2	CFTC	03/04/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
EFROSMAN, ALEX	97-13	CFTC	2/8/00	4(a) 4b(a)(i) 4b(a)(ii) 4d(1) 4k(1)	3.12(a)	ALJ ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$500,000; 2/8/00 DECISION BECAME FINAL ORDER OF COMMISSION ON 3/9/00.
EGAN, THOMAS M.	93-18	CFTC	05/24/93	4f(b) 6(c)	1.10(d) 1.17(a)(1)(i) 1.17(a)(4)		CEASE & DESIST ORDER; NEVER SEEK REGISTRATION OR ACT IN A CAPACITY REQUIRING REGISTRATION; TRADE ONLY FOR HIS OWN ACCOUNT.
EGAN, THOMS MADDEN	90-C4387	ND IL	09/13/91	4b(A) 4c(b) 4o(1)(B)	33.10(a)	PERMANENT INJUNCTION	
EGGUM, JOHN E.	89-13	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKEDAS FB; AT EXPIRATION OF TRADING SUSPENSION, MAY NOT TRADE FOR OTHERS AND MAY NOT EXECUTE TRADES FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
EHRENBERG, GEORGE	82-4925	ED IL	12/15/82	4m	4.31(a) 4.31(f)(1) 4.41(b)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
EHRENSPECK, ROBERT S.	83-22	CFTC	08/06/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
EINSTEIN – CISVEST INC.	94-9	CFTC	12/09/93	4b(a) 4c(b) 4o	4.31(g) 4.41(a) 33.7(f) 33.10		CEASE & DESIST ORDER; REG. REVOKED AS CTA; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
EINSTEIN-CISVEST	92-6427	SD FL	11/17/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a)	PERMANENT INJUNCTION	
EISBART, SAMI	80-0689	SD NY	12/17/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
EISBART, SAMI	81-2250-W	WD TN	09/11/85	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
EISENBERG, MURRAY	80-23	CFTC	12/02/81	4n(4) 4o(1) 4o(2)	4.21 4.22		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO, CTA & AP.
EISLER, NORMAN	01-14	CFTC	1/20/2004	9(a)(4) 6(c) 6(d)	33.9	COMMISSION ORDER	CEASE & DESIST ORDER; JOINT OWED CONTINGENT CIVIL MONETARY PENALTY OF \$4,923,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PROHIBITED FROM TRADING; FLOOR BROKER REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
EL PASO MERCHANT ENERGY, L.P.	03-09	CFTC	3/26/03	6(c) 6(d) 9(a)(2)	1.31 1.35 1.40	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000,000.
ELDMAN, RICHARD L.	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
ELISH, HAROLD D.	85-49	CFTC	09/30/85	4k(1)	3.12		CEASE & DESIST ORDER; PEN. AMNT.: \$12,000.
ELISHA, W. ROBERT	92-29	CFTC	09/29/92	4g	1.35(a-1)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AMNT.: \$3,500.
ELLIOT, BENJAMIN T.	79-28	CFTC	10/15/80	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.
ELLIOTT, DAVID BRUCE	85-48	CFTC	09/30/85		166.3		CEASE & DESIST ORDER; SUSP. AS AP 1 MO. OR LESS; NOT TO ACT IN SUPERVISORY CAPACITY FOR 4 YEARS.
ELLIOTT, GREGORY W. individually and d/b/a SOFTRADE, INC. and SOFTRADEINC.COM	03-07	CFTC	3/28/03	4o(1)(A) & (B)	4.41(a)(1) & (2)	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000.
ELLIOTT, WAYNE I.	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM THE DATE OF THE ORDER; ON APPEAL.
ELSESSER, KEITH	8:03-CV-681-T	MD FL	9/3/03	4c(b)	32.9(a) & (c) 1.1(b)(1) & (3) 32.11 33.3(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT APPLY FOR OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
ELTZROTH, GEOFFREY M.	1:00 CV 0300	ND IND	2/12/03	4k(2) 4o(1)(B)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$25,000; STOP SOLICITATION; RESTITUTION OF \$75,000, WHICH INCLUDES PRE-JUDGMENT INTEREST.
EMANUEL CAPITAL ADMINISTRATORS	87-1	CFTC	11/07/86	4c(a)(A) 4c(a)(B) 6(b) 6c 9(b)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$55,000; NOT TO APPLY FOR REGISTRATION; TO UNDERTAKE TO DISSOLVE CORPORATION AND TO PROVIDE DOCUMENTATION.
EMERALD WORLDWIDE HOLDINGS	CV03-8339	CD CAL	11/18/03			EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; EACH INDIVIDUAL DEFENDANT SHOULD BE ALLOWED TO SET ASIDE \$5,000 PER MONTH FOR REASONABLE AND NECESSARY LIVING EXPENSES.
EMERALD WORLDWIDE HOLDINGS	CV03-8339	CD CAL	9/15/2004			CONTEMPT ORDER	ACCESS BOOKS & RECORDS; STOP SOLICITATION; PAY CFTC \$4,672.33 IN COMPENSATORY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DAMAGES FOR EXPENSES AND ATTORNEYS' FEES; SHALL PAY DISTRICT COURT DAILY COMPLIANCE FINE OF \$200.
EMPEROR INTERNATIONAL EXCHANGE	95-2668	D NJ	06/02/95	4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ALL CONTRACTS RESCINDED; \$105,000 TO COURT FOR RETURN OF CUSTOMER FUNDS; ERIC TUNIS APPOINTED AS AGENT TO DISTRIBUTE RESTITUTION.
EMPEROR INTERNATIONAL EXCHANGE CO.	94-1162-A	ED VA	05/26/95	4(a)		PERMANENT INJUNCTION	DISGORGEMENT OF \$196,800.
ENERGY INVESTMENT EXCHANGE, INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
ENGARD, RHONDA	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
ENGEL, CHRISTOPHER	93-5	CFTC	04/23/97	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 9 MO.; REG. REVOKED AS FB.
ENGEL, CHRISTOPHER E.	93-1	CFTC	05/19/94	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1-2 MO.
ENGLAND, MARK W.	88-18	CFTC	06/07/88	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
ENRON CORP.	H-03-909	SD TX	5/28/2004	6(c) 6(d) 9(a)(2) 4(a)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$35 MILLION; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
ENSERCO ENERGY, INC.	03-22	CFTC	7/31/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$3,000,000 OWED WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH CONDITIONS AND UNDERTAKINGS.
ENSIGN TRADING CORP.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
ENTERGY-KOCH TRADING, LP	04-10	CFTC	1/28/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$3,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
EPWORTH FINANCIAL, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
EQUITY FINANCIAL GROUP LLC	04CV1512	D NJ	4/1/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STEPHEN T. BOBO, ESQ. APPOINTED TEMPORARY RECEIVER.
EQUITY TRADING CORP.	85-6936	SD FL	12/19/85			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ERICKSON, GAYE L.	84-41	CFTC	05/22/85	4b(A) 4b(B) 4b(C)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
ERICKSON, ROY E.	89-5	CFTC	05/11/90	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
ERICSON FINANCIAL GROUP, INC.	92-6893	SD FL	12/12/94	4m 4o 4d(1) 4b(a)(i) 4b(a)(ii) 4c(b) 4g 4n(3)(A)	4.13 33.10 4.21 1.31	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
ERSKINE, ROSS	1:040v0016	ND OH	1/5/2004			COMPLAINT FILED	
ESPOSTI, EDWARD	79-3382	SD NY	12/05/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
ESTEP, KEITH	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
ETTINGER, AARON	04-80562	SD FL	6/21/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
EULO, JAMES	04-60744	SD FL	6/7/2004			EX PARTE STATUTORY	PROTECT & ACCESS BOOKS &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
						RESTRAINING ORDER	RECORDS
EUREX MARKETING CORPORATION	97-7422	SD FL	10/20/99	4b(a)(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGMENT INTEREST.
EURO AMERICAN CURRENCY CORPORATION	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
EUROBANCORP	03-767 FMC	CD CAL	1/28/2004	4b(a) 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$333,769.31 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
EURO-CAL, LTD.	79-0752	CD CA	07/29/80	4d 4b	1.7	PERMANENT INJUNCTION	
EURO-CAL, LTD.	80-27	CFTC	02/27/87	4b 4d 4h	1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
EUROGOLD EXCHANGE	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; PERMANENT RECEIVER; RESTITUTION; RESCIND CONTRACTS & RETURN MONEY.
EUROGOLD EXCHANGE, LTD.	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; RESCIND CONTRACTS AND REFUND MONEY.
EUROMETALS INCORPORATED	80-27	CFTC	02/27/87	4b 4d 4h	1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
EUROMETALS, INC.	79-0752	CD CA	03/09/82	4b 4d	1.7	PERMANENT INJUNCTION	RECEIVER APPOINTED.
EUROPACIFIC EQUITY AND CAPITAL MANAGEMENT, LTD.	99-6560-CIV	SD FL	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1)	3.12(a) 4.21 4.22 4.24	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4) 4o(1)	4.25 4.26		TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
EVANS, PETER	85-3059	SD FL	06/26/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED; FULL RESTITUTION ORDERED.
EVERS, HERBERT	86-36	CFTC	09/30/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
EVERSON, ROBERT	97-11	CFTC	07/30/97		4.34(n)(1) 4.34(n)(3)iii 4.35(a)(1)ii 4.35(a)(1)iii 4.35(a)(3)(i) 4.35(a)(6) 4.35(a)(7)(i) 4.36(c)(1) 4.36(d)(2) 4.35(a)(1)ivA 4.35(a)(1)ivB		CEASE & DESIST ORDER
EXECUTIVE CONTROL CORPORATION	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
EXECUTORS MONETARY CORP. OF CALIFORNIA	80-4801	CD CA	03/19/81	4 4b 4h 4m 4o		PERMANENT INJUNCTION	RECEIVER APPOINTED.
EXECUTORS MONETARY CORP. OF LOUISIANA	80-4801	CD CA	03/19/81	4 4b 4h 4m 4o		PERMANENT INJUNCTION	RECEIVER APPOINTED.
EYE CONTACT ADVERTISING	86-5457	CD CA	01/12/87	4m 4o(1)		PERMANENT INJUNCTION	ALSO ENJOINED FROM SECURITIES FRAUD AND SELLING UNREGISTERED SECURITIES.
F. G. HUNTER AND ASSOCIATES	84-3920KH	CD CA	06/18/84	4d(2) 4f(2) 4g(1)	1.35(a) 1.18(b) 1.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; RECEIVER APPOINTED; NOT TO APPLY AGAIN FOR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.31 1.32 1.20(a) 1.17(a) 1.18(a)		REGISTRATION AND TO CEASE & DESIST DOING BUSINESS; SUBJECT TO CFTC JURISDICTION.
F.C. & H. INVESTMENT CORP	87-2591HAA	D NJ	11/14/91	4b(A) 4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
F.G. HUNTER AND ASSOCIATES	82-35	CFTC	09/16/82	4d(2) 4f(1) 4g(1)	1.12(c) 1.17(a)(3) 1.18(a) 1.18(b) 1.20(a) 1.23 1.31 1.32 1.35(a) 1.46(a) 1.31 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
F.J. REARDON, INC.	75-3	CFTC	12/08/75	4b(A)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FCM 1-2 MO.
F.X. & B., LLC (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
FAGAN, MICHAEL	6:03CV42	ED TX	6/16/2004			CONSENT ORDER	DISGORGEMENT OF \$92,000; ALL PAYMENTS SHOULD BE MADE TO THE COURT-APPOINTED RECEIVER IN CRIMINAL PROCEEDINGS - ROBB EVANS.
FAHR. GEORGE P.	82-31	CFTC	02/09/83				REG. REVOKED AS AP.
FAIRCHILD, ARABATZIS AND SMITH, INC.	78-52	CFTC	03/05/84	4c(b) 4k	32.3(b) 32.5(a) 32.5(c) 32.5(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM, CTA & CPO.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.7(e) 32.9		
FAIRCHILD, ARABATZIS AND SMITH, INC.	79-1671	SD NY	01/01/84	4b 4c(b) 4c(c) 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT.
FAIRFIELD CURRENCY GROUP, INC.	01-8350	SD FL	7/15/02	4c(b)	32.9 32.11 33.3 32.5 4.14(a)(9)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$98,000.
FALCON INVESTMENT CORP.	93-2765	SD NY	01/29/96	4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
FALCONE, ANDREW MARC	SD-85-13	CFTC	11/29/85				ALLOWED TO WITHDRAW REGISTRATION APPLICATION.
FALK, DANIEL	83-2425SAC	WD TX	02/21/85	4n(3)(A) 4o(1)	1.31 4.23	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
FALK, LAWRENCE GEORGE	83-21	CFTC	12/20/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 18 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 18 MONTHS.
FALKOWITZ, MICHAEL JACOBS	81-19	CFTC	01/11/83	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
FANNING, JAMES V.	83-8018WMH	SD FL	05/12/84 07/19/84	4a		PERMANENT INJUNCTION	CONVICTED OF CRIM. CONTEMPT.
FARACI, MAZIE	81-24	CFTC	08/07/81	4a(2)(B)	150.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
FARLEY, KATHLEEN A.	91-3	CFTC	10/29/91	4b(A) 4c(a)(A) 4b(C) 4c(a)(B) 4b(D) 4g	1.31(a)(1) 1.35(a) 1.38		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 4 MO.; REG. REVOKED AS FB; MAY NOT APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY FOR 18 MONTHS; AFTER 5 YEARS MAY APPLY AS AN AP SUBJECT TO CONDITIONS.
FARMER, W. MICHAEL	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 1 MO. OR LESS.
FARMERS COOPERATIVE COMPANY	99-6	CFTC	3/9/00	4(a) 4c(b) 4d(1)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO- DEFENDANTS; SHALL MAINTAIN NEWLY ESTABLISHED PROCEDURES.
FARR MAN CLEARING, INC.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
FARR MANN INTERNATIONAL, INC.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
FARRA, DAVID	04-28	CFTC	9/30/2004	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS.
FARRELL, THOMAS JULIAN	92-22	CFTC	07/16/93	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB; LIQUIDATE ALL POSITIONS BEFORE TP BEGINS; NEVER REAPPLY FOR FB REGISTRATION; NOT TO APPLY FOR REGISTRATION AS FLOOR TRADER DURING 2 YR TP.
FASCIANA, DANIEL	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$3,000,000 PURSUANT TO PAYMENT PLAN; JOINTLY & SEVERALLY LIABLE WITH RUSSO FOR RESTITUTION OF \$1,964,478 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
FASON, STEWART E.	77-8	CFTC	05/12/86	4b 4o			CEASE & DESIST ORDER PEN. AMNT.: \$75,000; REG. REVOKED AS CTA & AP; AFFIRMED ON APPEAL TO 11 TH CIRCUIT 3/27/87.
FEDERAL GOLD AND SILVER, INC.	80-36	CFTC	10/28/81	8b 4b(A) 4b(C) 4d(2) 4f(1) 4f(2) 4g(1) 6b	1.10(d) 1.10(f) 1.17(a) 1.18(a) 1.18(c) 1.20(a) 1.23 1.32 1.35(a) 1.31 1.32		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM & CTA.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FEDERAL GOLD EXCHANGE COMPANY	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
FEDERBUSH, CHARLES	85-25	CFTC	07/25/86	4d(2) 4f(2)	1.17(a) 1.20(a) 1.20(c) 1.22 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS FB 1-2 MO.; NOT TO REAPPLY FOR REGISTRATION AS FCM FOR 2 YEARS; NOT TO BE AN FCM PRINCIPAL OR OFFICER FOR 2 YEARS.
FEDERBUSH, CHARLES E.	91-7	CFTC	06/25/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A)	1.31 1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB & CTA; MUST LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS; MAY NOT APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY; MAY NOT APPEAR ON ANY CONTRACT MARKET TRADING FLOOR DURING TRADING HOURS.
FEENEY, DAVID	79-1071	D MA	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FEINTUCH, STEVEN J.	78-36	CFTC	08/21/78				REG. DENIED AS AP.
FELSEN, MURRAY P.	89-23	CFTC	08/02/90	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
FENCHURCH CAPITAL MANAGEMENT, LTD.	96-7	CFTC	07/10/96	6(c) 9(a)(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; COMPY WITH UNDERTAKINGS AS SET FORTH IN COMMISSION RE: REPORTING CERTAIN FUTURES TRANSACTIONS AND CONDUCTING AN INTERNAL REVIEW OF POLICIES OF PROCEDURES; PAYMENT OF CMP ALSO SETTLES RELATED SEC ACTION.
FENG, JAMES	93-0088	ED NY	08/09/93 03/31/98	4(a) 4b(A)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1)			APPOINTED; APPEALED; MOTION FOR SUMMARY JUDGMENT IS GRANTED.
FERGUSON, DAVID H.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
FERGUSON, PHILLIP d/b/a FERGUSON FINANCIAL, B&F TRADING AND FIRST INVESTORS GROUP, INC.	1:00CV0300	ND IN	6/4/02	4b(a)(2)(C)(i)) 4b(a)(2)(C)(ii)) 4b(a)(2)(C)(ii) i) 4o(1) 4m(1)	1.31 4.23	PERMANENT INJUNCTION	DEFAULT ORDER; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL PAY RESTITUTION IN THE AMOUNT OF \$12.8 MILLION; SHALL PAY A CIVIL MONETARY PENALTY OF 10.8 MILLION; SHALL PAY \$7,151.42 TO COMMISSION FOR COSTS & FEES OF ACTION.
FERNANDEZ, VALENTIN	01-8350	SD FL	7/15/02	4c(b)	32.9 32.11 33.3 32.5 4.14(a)(9)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$226,893.
FERRAGAMO, RONALD	86-32	CFTC	01/14/91	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; REG. REVOKED AS AP; ALJ OPINION AFFIRMED BY COMMISSION 1/14/91.
FERRAIOLI, ROBERT	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; TRADING PRIVILEGES BARRED FOR 12 MONTHS THEN RESTRICTED FOR 1 YEAR.
FERRARA, LOUIS	76-2095R	CD CA	05/06/77	4b 4c		PERMANENT INJUNCTION	
FERRARA, LOUIS	77-8	CFTC	06/23/77	4b 4c			SEE SANCTIONS IN DOCKET 76-20.
FERRARA, LOUIS	79-20	CFTC	04/20/77	4b 4c			PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
FERRARO, MICHAEL JOHN	SD-94-5	CFTC	02/23/94	8a(3)(D)			CONDITIONAL REGISTRATION AS FT GRANTED; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
FERRELL, JAMES M.	77-12	CFTC	03/08/78	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.; REG. DENIED AS AP.
FERRINI, PHIL	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	
FETCHENHIER, JOEL J.	91-12	CFTC	06/01/94	4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; APPEALED.
FETCHENHIER, JOEL J.	SD-93-14	CFTC	8/20/03			ALJ INITIAL DECISION	PETITION SEEKING RELIEF FROM

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OCTOBER 31, 1997 TEN YEAR TRADING BAN DENIED.
FEUILLEBOIS, ROBERT F.	78-52	CFTC	04/27/84	4c(b)	32.3 32.5 32.9		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. DENIED AS AP.
FEUILLEBOIS, ROBERT F.	79-1671	SD NY	01/01/84	4b 4c(b) 4c(c0 4k 4o	32.3 32.5 32.7(e) 32.9 32.11	PERMANENT INJUNCTION	
FGL COMMODITY SERVICES, INC.	SD-85-3	CFTC	11/05/84				CONDITIONALLY REGISTERED AS IB.
FIBIT.COM	CV 02-4898	CD CAL	7/22/2004	4o(1)(B) 4n(4)	4.20(a)(1) 4.20(b) 4.20(c) 4.13(c)(3) 1.31 4.13(c)(1)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
FIC, INC.	93-2765	SD NY	01/29/96	4o(1) 4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN, ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
FIDELITY FIRST CAPITAL CORP.	80-0689	SD NY	07/19/82	4b		PERMANENT INJUNCTION	
FIDELITY TRADERS GROUP, INC.	2:98CV00216J	CD UT	5/22/00	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS A FCM, CPO, CTA, IB, FB, FT OR AP.
FIELD, CARMEN J.	3:98CV0281AS	ND IN	12/08/99	4b(a)(i) 4o(1) 4b(a)(ii) 4m(1)	4.20	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA; FIELD & SMITH DISGORGEMENT OF \$880,811.00; DEFENDANTS MAKE RESTITUTION OF \$1,026,965.15; FIELD RESTITUTION OF \$234,561.52.
FIELD, JOHN A.	SD-95-22	CFTC	05/07/97				REG. REVOKED AS AP
FIENGA, JOSEPH	81-2953	D NJ	09/28/81	4b(A) 4m 4n(1) 4o(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FIENGA, JOSEPH	82-4	CFTC	11/20/81	4b(A) 4m 4n(1) 4o(1)	1.10c 1.14 4.31(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
FIFE, ANDRE D.	96-4593	CD CAL	07/11/96	4b(a)(i) 4o(1) 9(a) 4k(2) 4m(1)	4.20(a) 4.20(b) 4.20(c) 4.41(a) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR PROVIDING COMMODITIES ADVICE; COOPERATE WITH COMMISSION.
FIMAT INTERNATIONAL BANQUE SA (UK BRANCH)	04-26	CFTC	9/29/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
FINANCIAL ADVISORS, INC.	92-12258	D MA	03/23/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; 75,000 JOINTLY LIABLE & ALL CONTRACTS RESCINDED.
FINANCIAL ALTERNATIVES, INC.	83-44	CFTC	01/10/84	4b(A) 4b(B) 4n(1) 4n(2) 4n(3)(A) 4n(4) 4o(1)	1.10c 1.10d 1.14 3.13 3.31 4.21 4.22 4.23 4.24(b) 4.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
FINANCIAL ALTERNATIVES, INC.	84-768N	D MA	03/26/84			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
FINANCIAL CLEARING CORP., LTD.	01-8350	SF FL	4/23/01			STATUTORY RESTRAINING ORDER	
FINANCIAL FUTURES TRADING CORP.	86-5457	CD CA		4b		COMPLAINT FILED	
FINANCIAL PARTNERS BROKERAGE LTD.	82-C-5851	ND IL	01/17/86	4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
FINANCIAL PARTNERS, LTD.	82-C-5851	ND IL	01/17/86			PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING PROHIBITION.
FINANCIAL PLANNING ALLIANCE INTERNATIONAL	CV-98-N-1755-S	N.D AL.	9/28/00	4b(a)(i) 4b(a)(iii) 4k(2) 4o(1)	3.12(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM APPLYING FOR REGISTRATION OR SEEKING EXEMPTION FROM REGISTRATION W/ THE COMMISSION; RESTITUTION OF \$10,849,000 PLUS PRE-JUDGEMENT INTEREST OF AT LEAST \$1,842,780 JOINTLY & SEVERALLY OWED WITH CO-DEFENDANT JAMES MICHAEL HANKS; PREVIOUS ORDERS SHALL EXPIRE UPON ENTRY OF THIS ORDER.
FINANCIAL SERVICES GROUP, INC.	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NOT TO APPLY FOR REGISTRATION; CIVIL PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWD FUNDS EXCEED CUSTOMER CLAIM.
FINANCIAL TRADING CORPORATION	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	RECEIVER APPOINTED.
FINANCIAL TRADING GROUP	89-21	CFTC	09/13/89	4c(b) 4f 4k 6(b)	3.12(a) 3.15 3.31 33.7(d) 33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
FINATERI, JOSEPH	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
FINTREX, INC.	CV-01-06907	CD CAL	1/27/2004	4(a) 4b(a)(i)-(iii)	PRELIMINARY		DEFAULT ORDER; RESTITUTION OF \$1,320,283 TO BE PAID PURSUANT TO PAYMENT PLAN; CIVIL MONETARY PENALTY OF \$4,007,906; FREEZE OF ASSETS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
FIRST AMERICAN CURRENCY, INC.	85-7871-KN	CD CA	10/15/92	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FIRST AMERICAN INVESTMENT SERVICES, INC.	04-60744	SD FL	6/7/2004			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS
FIRST AMERICAN INVSTMENT GROUP, INC.	85-1052F	ND TX	11/03/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
FIRST ATLANTIC FINANCIAL SERVICES, INC.	86-H-4366	SD TX	03/09/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES AND DECEPTIVE TRADE PRACTICES LAWS; ALL CONTRACTS RESCINDED; TO JOINTLY PAY TO STATE OF TEXAS \$10,000 FOR COSTS.
FIRST BRISTOL GROUP, INC.	02-61160	SD FL	7/2/03	4b(a) 4(a)	1.1(b)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$240,000 CONTINGENT PURSUANT TO PAYMENT PLAN; SHALL MAKE FULL RESTITUTION OF \$103,945 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FIRST CAPITAL STRATEGISTS	97-14	CFTC	08/13/97	4o(1) 4n(3)(A) 4k(3)	166.3		CEASE & DESIST ORDER; JOINTLY OWED RESTITUTION OF \$2,600,000.
FIRST COMMERCIAL FINANCIAL GROUP	95-10	CFTC	05/20/99	4f(b) 6c	1.17(a)(1) 1.17(a)(4) 1.10(d)(1) 1.12(a)(1) 1.12(a)(2) 1.12(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000; REG. REVOKED AS FCM.
FIRST COMMODITY CORPORATION OF BOSTON	76-4051-M	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	
FIRST COMMODITY CORPORATION OF BOSTON	79-28	CFTC	10/15/80	4c(b) 4c(c) 4b 4o(1)	1.19 32.3(b) 32.5(a) 32.6(a) 32.7(e) 32.9 32.11 32.5(c) 32.5(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$600,000; LESS REPARATION PAYMENTS TO CUSTOMERS.
FIRST COMMODITY CORPORATION OF BOSTON	80-2639	D DC	10/16/80	4b(A) 4o(1) 4c(b) 4c(c)	1.19 32.9 31.03	PERMANENT INJUNCTION	TO SERVE ALL SALES STAFF WITH COPY OF ORDER.
FIRST COMMODITY CORPORATION OF BOSTON	86-6	CFTC	07/26/89	4b	166.3		CEASE & DESIST ORDER; REG. REVOKED AS FCM; NEVER TO SEEK REGISTRATION.
FIRST CONTINENTAL COMMODITIES, INC.	83-C-4994	ND IL	10/14/83	4g(1) 4b(A) 4b(B) 4b(D) 4d(1) 4d(2)	166.2 1.20(a) 1.31(a) 1.35	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
FIRST DOVER COMMODITIES, LTD.	77-19	CFTC	06/26/80	4o(1) 4f(2)	30.02 1.17		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
FIRST FINANCIAL TRADING, INC.	00-35	CFTC	7/8/02	4c(b)	33.10 166.3	ALJ ORDER	DEFAULT ORDER; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000; TRADING PRIVILEGES REVOKED; IB REGISTRATION REVOKED.
FIRST FUTURES GROUP, INC.	SD 98-1	CFTC				COMPLAINT FILED	
FIRST INTERNATIONAL	86-72878DT	ED MI	08/18/87	4(a)		PERMANENT INJUNCTION	RECEIVER APPOINTED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMMODITIES GROUP, INC.							
FIRST INTERNATIONAL METALS, INC.	85-6704	SD FL	09/17/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED; ACCOUNTING ORDERED.
FIRST INVESTORS GROUP OF THE PALM BEACHES	01-10	CFTC	5/24/2004	4c(b)	33.10 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; INTRODUCING BROKER REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
FIRST LEXINGTON GROUP, LLC	03 CV 9124	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
FIRST LIBERTY GROUP, INC.	04 CV 7609	SD NY	9/27/2004			COMPLAINT FILED	
FIRST MANHATTAN COMMODITIES CORPORATION	84-42	CFTC	04/03/85	4b(A) 4o(1)	4.31(a) 4.31(b) 4.31(d) 4.31(e)(2) 4.31(f)(1)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
FIRST NATIONAL BULLION CORPORATION	79-0827	SD NY	10/05/82	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	
FIRST NATIONAL MONETARY CORPORATION	83-2533DT	ED MI	02/07/86	4o(1)		PERMANENT INJUNCTION	TO SERVE ORDER ON ALL OFFICERS AND SALES STAFF.
FIRST NATIONAL MONETARY CORPORATION	86-4	CFTC	01/24/86	4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$225,000.
FIRST NATIONAL TRADING CORPORATION	90-28	CFTC				COMPLAINT FILED	
FIRST NATIONAL TRADING CORPORATION	92-17	CFTC	08/24/93	4f(2) 4c(b)	1.17(a) 1.12(a) 1.18(a) 1.10(d) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS FCM
FIRST NEW YORK COMMODITY OPTIONS, LTD.	77-5	CFTC	02/10/78	4c(b) 4o(1) 4o(2)	32.9		CEASE & DESIST ORDER; TO WITHDRAW FROM REGISTRATION AS FCM AND CTA AND NOT REAPPLY FOR 1 YEAR.
FIRST NEW YORK INVESTORS CORPORATION	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
FIRST OPTIONS OF CHICAGO, INC.	99-3	CFTC	1/27/00	4g	1.35(a) 1.35(a)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$40,000; SHALL MAINTAIN COMPLIANCE PROCEDURES IMPLEMENTED DURING PROCEEDINGS OR OTHER PROCEDURES DESIGNED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TO ENSURE TIMELY RESPONSES TO REGULATORY REQUESTS FOR RECORDS; DISMISSED.
FIRST PULLEN COMMODITY SERVICES	89-20	CFTC	03/20/90	4d(2) 4f(2) 6(b)	1.10(d) 1.17(a) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS IB; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
FIRST REGAL COMMODITIES INCORPORATED	78-1335	SD FL	04/20/79	4c(b)	1.31 32.6 3.27	PERMANENT INJUNCTION	
FIRST REGAL COMMODITIES INCORPORATED	79-37	CFTC	05/22/85	4(b)	1.31 32.6 32.7		CEASE & DESIST ORDER.
FIRST REPUBLIC FINANCIAL CORP. FIRST REPUBLIC TRADING CORP.	94-14	CFTC	08/19/99				PETITION TO STAY THE EXECUTION OF CIVIL MONETARY PENALTY SANCTIONS IMPOSED IN 7/19/99 ORDER, AFFIRMING ALJ'S INITIAL DECISION IS DENIED.
FIRST REPUBLIC FINANCIAL CORP. fka VANCORP FINANCIAL SERVICES	94-14	CFTC	2/28/03			COMMISSION ORDER	VACATED CIVIL MONETARY PENALTY PREVIOUSLY IMPOSED AND CONCLUDED THAT, IN LIGHT OF THE GRAVITY OF THEIR VIOLATIONS, EACH SHOULD PAY A \$600,000 CIVIL MONETARY PENALTY; REMANDED PROCEEDING TO THE ALJ FOR FURTHER PROCEEDINGS CONSISTENT WITH ORDER.
FIRST REPUBLIC TRADING CORP. aka CMW	94-14	CFTC	2/28/03			COMMISSION ORDER	VACATED CIVIL MONETARY PENALTY PREVIOUSLY IMPOSED AND CONCLUDED THAT, IN LIGHT OF THE GRAVITY OF THEIR VIOLATIONS, EACH SHOULD PAY A \$600,000 CIVIL MONETARY PENALTY; REMANDED PROCEEDING TO THE ALJ FOR FURTHER PROCEEDINGS CONSISTENT WITH ORDER.
FIRST UNION TRUST CORPORATION	86-72878DT	ED MI	08/18/87	4(a)		PERMANENT INJUNCTION	RECEIVER APPOINTED.
FIRST UNITED INVESTMENT CORPORATION	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
FIRST WALL STREET SETTLEMENT CORPORATION	80-18	CFTC	04/01/80	4g(1)	1.35(a) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500 JOINTLY OWED.
FIRST WEST TRADING, INC.	01-14	CFTC	1/20/2004	9(a)(4)	33.9	COMMISSION ORDER	CEASE & DESIST ORDER; JOINT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				6(c) 6(d)			OWED CONTINGENT CIVIL MONETARY PENALTY OF \$4,923,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PROHIBITED FROM TRADING; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
FIRST WORTHINGTON FINANCIAL CORPORATION	81-2250-W	WD TN	06/10/81	4 4H 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
FIRTH, VINCENT J.	04CV1512	D NJ	4/1/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STEPHEN T. BOBO, ESQ. APPOINTED TEMPORARY RECEIVER.
FISCHER, ALEXANDER	78-20	CFTC	06/07/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
FISHBACK, DONALD JR.	01-03	CFTC	11/16/00	4c(b) 4o(1)	33.10 4.41(a) 4.41(b)(1)(i) 8a(3) 8a(4)	COMPLAINT FILED	
FISHBERG, SAM	80-32	CFTC	12/02/85	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$4,500 JOINTLY OWED; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
FISHER, HAIG	86-6	CFTC	02/26/93	4b(A) 166.3			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; REG. REVOKED AS AP; ALJ OPINION SUMMARILY AFFIRMED.
FISHER, MARK B.	93-2	CFTC	3/24/04			COMMISSION ORDER	COMPLAINT DISMISSED FOR A FAILURE OF PROOF.
FITC, INC.	85-1555	ND CA	03/03/86	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
FITZGERALD, LEIZA	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3	COMPLAINT FILED	
FITZGERALD, RAYMOND JR.	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c) 166.3	COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FLANIGAN, JOSEPH B.	00-6885	S.D. FL.	3/28/01			FINAL JUDGEMENT	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,456,510.80 PLUS PRE & POST JUDGEMENT INTEREST; EACH DEFENDANT SHALL PAY A CIVIL MONETARY PENALTY OF \$2,456,510.80 WHICH IS EQUAL TO THE RESTITUTION SUM ORDERED; DISGORGEMENT OF \$20,952.20.
FLAVELL, BERNADETTE a/k/a BERNADETTE VIELE	00-27	CFTC	7/11/02	4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 JOINTLY OWED WITH SYSTEMS OF SUCCESS PAID PURSUANT TO TEN YEAR PAYMENT PLAN; TRADING PRIVILEGES SUSPENDED FOR 2 YEARS; CTA REGISTRATION REVOKED; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION.
FLAXMAN, STEVEN D.	79-32	CFTC	02/22/82	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP; AFFIRMED ON APPEAL BY 7 TH CIRCUIT.
FLEISHMAN, ALAN STEVEN	SD-98-1	CFTC				COMPLAINT FILED	
FLEURY, GIOVANNI	03-61199	SD FL	6/20/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; RUSSEL C. WEIGEL III IS APPOINTED AS TEMPORARY RECEIVER.
FLEYSHMAKHER, ISSAC	01-04	CFTC	11/29/00	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)		COMPLAINT FILED	
FLOWERS, ELLEN HUNT	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
FLOWERS, LUCIA C.	88-8	CFTC	02/11/88	4i 6(b)	18.04(a)(5) 18.04(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
FLOWERS, RICHMOND M. JR.	88-8	CFTC	02/11/88	4i 6(b)	18.04(a)(5) 18.04(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000.
FLYNN, JOHN J.	84-12	CFTC	05/22/85	4c(a)(A)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 12 MO.; REG. REVOKED AS FB; SUSP. AS FB 120 MO.
FLYNN, JOHN J.	87-5	CFTC	05/20/91	6(b) 8b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; INITIAL DECISION AFFIRMED WITHOUT OPINION.
FOGAL, RONALD R.	87-14	CFTC	04/26/88	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRADING PRIVILEGES REVOKED; NOT TO ACT IN A CAPACITY REQUIRING REGISTRATION.
FOLINA, TINA NOA	8:03-CV-54-T	MD FL	1/13/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FOLINO, WILLIAM ANTHONY	8:03-CV-54-T	MD FL	1/13/03			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; 1/13/03 STATUTORY RESTRAINING ORDER SHALL REMAIN IN FULL FORCE AND EFFECT; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY; ENTITLED TO \$5,000 PER MONTH FOR LIVING EXPENSES.
FOREMAN, SAMUEL H.	97 C 7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
FOREX CAPITAL MARKETS, LLC	04-80132	SD FL	4/1/2004	4c(b)	32.9(a) & (c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
FORMA, JOHN	77-1822LPG	SD NY	12/12/78	4c(b)	32.3(a) 32.3(b) 32.9	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS.
FORRESTER, FRANK	84-29	CFTC	05/28/85	4m(2)	1.10c 1.10d 1.14		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED.
FORRESTER, MICHAEL	83-3	CFTC	02/14/84	4d(2) 4b(A)	1.22		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 6 MO.; SUSP. AS FB 6 MO.; 6 MONTHS TRADING SUSPENSION HELD IN ABEYANCE.
FOSTER, DOUGLAS	2:98CV00216J	CD UT	08/18/99	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24 4.21(a)	PERMANENT INJUNCTION	STOP CUSTOEMR SOLICITATION; TRADING PROHIBITION; DEFENDANTS PERMANENTLY RESTRAINED; ENJOINED AND PROHIBITED FROM DIRECTLY OR INDIRECTLY: 1) ACTING AS FCM, CPO, CTA, IB, FB, FT OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION WITH COMMISSION; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; CIVIL MONETARY PENALTY NOT ORDERED BASED ON SWORN FINANCIAL STATEMENT.
FOSTER, ROBERT M.	79-41	CFTC	08/31/82	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER.
FOX, BRIAN D.	89-5	CFTC	10/19/90				APPEALED.
FOX, GEORGE JULIAN JR.	90-29	CFTC	05/30/91	4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 4 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION FOR 6 YEARS, EXCEPT TO TRADE ON FLOOR IF REQUIRED; MUST COOPERATE WITH THE DIVISION OF ENFORCEMENT; MUST LIQUIDATE ALL FUTURES & OPTION POSITIONS.
FOX, LYTTRESSE M. a/k/a LISA M. FOX	CV-01-06907	CD CAL	9/2/2004	4(a)		PERMANENT INJUNCTION	STOP SOLICITATION; SHALL COOPERATE FULLY WITH COMMISSION.
FOX, OWEN JR.	78-58	CFTC	01/29/79				REG. DENIED AS AP.
FOX, TIMOTHY SCOTT	95-6	CFTC	03/19/97	4b(a)(iii)			CEASE & DESIST ORDER; PAY RESTITUTION OF \$7,280.00 PLUS INTEREST FROM 9/17/91 TO THE DATE OF PAYMENT; REGISTRATION SUBJECT TO MULTIPLE RESTRICTIONS OF THE ORDER; LIQUIDATE THE FUTURES & OPTIONS POSITIONS.
FRAITES, JOSEPH LAWRENCE	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							MONETARY PENALTY OF \$15,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR A TWO YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
FRALEY, JAMES M.	78-120A	ND GA	01/26/78	4f 4g	1.17 1.18 1.32	PERMANENT INJUNCTION	
FRANGIA INTERNATIONAL, INC.	91-C3262	ND IL	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; COSTS AWARDED.
FRANK, BILL MARTIN	87-2591HAA	D NJ	11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
FRANK, EDWARD L.	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
FRANK, RICHARD A.	84-24	CFTC	04/30/85	4a(2)(B)	1.38(a)		CEASE & DESIST ORDER; PEN.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i 6(b)	150.12 18.00 18.01(a)		AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 1 MO. OR LESS.
FRANKLAND COMMODITIES CORP.	78-45	CFTC	08/02/79	4f(1) 4f(2) 4g	1.17 1.18 1.32		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
FRANKLAND COMMODITIES CORPORATION	78-120A	ND GA	01/26/78	4f 4g	1.17 1.18 1.32	PERMENANT INJUNCTION	
FRANKLIN THOMAS INVESTMENTS, L.P.	1:99-CV-0967	ND GA	04/15/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	COMPLAINT FILED	
FRANKLIN, WARREN R.	86-0032-D	WD VA	06/03/86	4m 4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
FRECOM TECHNOLOGY CORP. d/b/a FRECOM TRADERS GROUP; FRECOM CURRENCY TRADERS	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
FREDERICK, DAVID	83-1591EBD	SD FL	02/07/86	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT
FREDERICKS, GARY	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
FREDRICKS, GARY	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
FREE STAR CAPITAL, INC.	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
FREEBURG, MICHAEL	SD-92-5	CFTC	09/29/92	8a(3)(M)			FLOOR BROKER REGISTRATION RESTRICTED FOR 1 YEAR; MAY NOT EXERCISE DISCRETIONARY AUTHORITY; MAY NOT ACT AS FB

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							UNLESS SUBJECT TO SPONSOR CERTIFICATION; MAY NOT SERVE ON SRO DISCIPLINARY COMMITTEE.
FREEDMAN, LEONARD IRWIN FREEHLING & COMPANY	76-928 85-36	SD NY CFTC	03/03/76 04/02/86	4c(b) 4f(1)	30.01 21.02	PERMANENT INJUNCTION	CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
FREMER, CHARLES	04-80132	SD FL	2/10/2004	4c(b)	32.9(a) & (c)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FRIEDLANDER CAPITAL MANAGEMENT CORPORATION	03 CV 8319	SD NY	10/21/03			COMPLAINT FILED	
FRIEDLANDER, BURTON G.	03 CV 8319	SD NY	10/21/03			COMPLAINT FILED	
FRIEDMAN, ALLAN M.	80-27	CFTC	02/27/87	4b 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$45,000; TRAD. PRIV. SUSP. 60 MO.
FRIEDMAN, DOUGLAS M.	90-14	CFTC	10/30/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000P; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MAY NOT APPLY TO REGISTER WITH THE COMMISSION FOR 3 YRS., BUT MAY REGISTER AS FLOOR TRADER IN 18 MONTHS; MUST LIQUIDATE ALL POSITIONS.
FRIEDMAN, DOUGLAS MARC	SD-94-1	CFTC	10/25/93				FT REGISTRATION SUBJECT TO CONDITIONS FOR ONE YEAR.
FRIEDMAN, HOWARD	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(a) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
FRIEDMAN, RAY E.	90-21	CFTC	03/04/92	4a 4g(1)	1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 1-2 MO.; REG. REVOKED AS FB; MUST LIQUIDATE ALL FUTURES & OPTIONS POSITIONS; PROHIBITED FROM TRADING PORK BELLY FUTURES AND OPTIONS FOR 8 MONTHS.
FRIEDMAN, ROBERT	SD-94-16	CFTC	09/02/94	8a(3)(D) 8a(2)(A) 8a(3)(A) 8a(3)(M)			CONDITIONALLY REGISTERED AS FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.
FRIEDMAN, ROBERT I.	83-60	CFTC	12/07/83				REG. REVOKED AS FB.
FRIEDMAN, ROBERT I.	84-11	CFTC	06/20/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 10

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							YEARS.
FRIEDMAN, S. DAVID	98CIV2908	SD NY	05/07/98	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; REPATRIATED FUNDS SHALL BE DEPOSITED IN AN ACCOUNT DESIGNATED BY THE CLERK OF COURT, S.D.N.Y.
FRITH, ROBERT E. JR.	97-14	CFTC	08/13/97	4o(1) 4k(3)	166.3		CEASE & DESIST ORDER; RESTITUTION OF \$2.6 MILLION JOINTLY OWED; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
FRITTS, J. GARY	94-12	CFTC	11/02/94	4b(a)(i) 4b(a)(ii) 4m 4n(3)(A) 4o(i) 9(a)(1)	1.31 4.20(a) 4.20(b) 4.20(c) 4.23		CEASE & DESIST ORDER; PEN. AMNT.: \$320,000; TRADING PRIVILEGES REVOKED; EFFECTIVE AS FINAL ORDER 12/05/94.
FRPM INVESTMENTS C.V.	90-30	CFTC	03/12/91	4i 6(b)	18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; MUST NOTIFY DIRECTOR OF ENFORCEMENT WHEN HE BEGINS TRADING; MUST KEEP BOOKS & RECORDS.
FSI FUTURES INC.	95-8	CFTC	01/08/98	4o(1)(A)	1.46 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.
FSI FUTURES INC.	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	1.46 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000.
FSI FUTURES, INC.	85-37	CFTC	04/29/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
FTI FINANCIAL GROUP	97C7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS & MUNN JOINTLY & SEVERALLY OWE RESTITUTION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
FUGITT, B. GENE	80-2082	WD TN	04/23/82	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FUHRMAN, MARK E.	89-14	CFTC	08/02/89	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
FULLER, KENNETH S.	78-10	CFTC	01/27/81	4g	1.35		SUSP. AS AP 1 MO. OR LESS.
FURLETT, NORMAN K.	89-1	CFTC	08/11/92	4b(A) 4b(C) 4g	1.38 1.35(a-1)(2) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
FURST, ROBERT D. JR.	89-5	CFTC	10/19/90				APPEALED
FUTURE SOURCE INFORMATION SYSTEMS	95-6221	SD FL	06/20/96			COMPLAINT FILED	
FUTURE SOURCE INFORMATION SYSTEMS, INC.	96-6	CFTC	06/20/96	4b(a)(i) 4m(1) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)		CEASE & DESIST ORDER; OSTER & FSIS WILL NOT USE INTERSTATE COMMERCE WHILE ENGAGING IN THE BUSINESS OF ADVISING OTHERS FOR PROFIT, AS TO THE ADVISABILITY OF TRADING IN COMMODITY FUTURES OR OPTION CONTRACTS, WITHOUT BEING REGISTERED AS A CTA.
FUTURES EXCHANGE COMPANY, INC.	3-02CV-0951G	ND TX	5/6/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4k(3)		COMPLAINT FILED	
FUTURES PROFIT MAKING, LLC	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FUTUREWISE TRADING GROUP, INC.	02-40041	ED MI	3/10/03	4b(a)(i)-(iii) 4g(a)	1.31 1.35 4.14(a)(9)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY AND SEVERALLY LIABLE FOR RESTITUTION OF \$6,274,986.84 PLUS PRE-JUDGMENT INTEREST IN THE AMOUNT OF \$302,760 TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN.
FUTUREWISE TRADING GROUP, INC.	SD 03-06	CFTC	1/13/2004			ALJ INITIAL DECISION	COMMODITY TRADING ADVISOR, COMMODITY POOL OPERATOR AND INTRODUCING BROKER REGISTRATIONS REVOKED.
FUZZY GROUP, INC. (THE)	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
FX 500, INC.	04C 5853	ND IL	9/10/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FX ADVISORS EAST, LLC	SACV02-173	CD CA	2/28/02	4b(a)(i) 4b(a)(iii) 4(a)	1.1(b)(1)	COMPLAINT FILED	
FX ADVISORS PACIFIC, LLC	SACV02-173	CD CA	2/28/02	4b(a)(i) 4b(a)(iii) 4(a)	1.1(b)(1)	COMPLAINT FILED	
FX ADVISORS, LLC	SACV02-173	CD CA	2/28/02	4b(a)(i) 4b(a)(iii) 4(a)	1.1(b)(1)	COMPLAINT FILED	
FX FIRST, INC.	SACV 03-1454-JVS	CD CAL	10/15/03	4b(a)(2)(i) & (iii) 4f(b)	1.17(a)(1) & (4)	PRELIMINARY INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SPEND MORE THAN \$5,000 IN THE NEXT 90 DAYS ON REASONABLE ATTORNEYS FEES AND ANY PAYMENT MUST BE MADE WITH APPROVAL OF THE COMMISSION.
FX FIRST, INC.	SD 04-01	CFTC	5/4/2004			ALJ INITIAL DECISION	FUTURES COMMISSION MERCHANT REGISTRATION REVOKED.
FxTRADE FINANCIAL, LLC	04-2181	WD TN	3/17/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
G & C INTERNATIONAL, LTD.	91-C3262	CFTC	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
G & C INVESTMENTS, LTD.	91-C3262	ND IL	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
G. HAWKER & STONE, LLC	2:03 CV-0260	D UT	10/20/03	4b(a)(2)(i)-(iii)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
G. STEWART AND ASSOCIATES, INC.	78-43	ND IL	08/03/78				REG. REVOKED AS CPO.
G.H. MILLER AND COMPANY	84-41	CFTC	04/18/85	4b 4g	1.31 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000.
GABER, DAVID DICKSON	SD-91-1	CFTC	01/15/91				CONDITIONALLY REGISTERED AS FLOOR BROKER; NOT TO ACT AS PRINCIPAL, PARTNER, OFFICE DIRECTOR, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED WITH THE CEA; NOT TO EXERCISE SUPERVISORY AUTHORITY OVER ANYONE REGISTERED UNDER THE ACT; MAY NOT DIRECTLY OR INDIRECTLY EXERCISE DISCRETIONARY TRADING AUTHORITY OVER CUSTOMERS' ACCOUNTS; MAY NOT TRADE FOR HIS OWN ACCOUNT; MUST BE EMPLOYED BY ANOTHER COMMISSION REGISTRANT AND RECEIVE ORDERS FOR CUSTOMER ACCOUNTS ONLY.
GABRIEL BROKERAGE, INC.	83-8049RLC	SD NY	10/16/84	4d(2)	1.20(a)	PERMANENT INJUNCTION	
GAFFNEY, JOHN K.	SD-91-2	CFTC	03/06/91				CONDITIONALLY REGISTERED AS FB; MAY NOT ACT AS A PRINCIPAL OR PARTNER OR SUPERVISOR DIRECTLY OR INDIRECTLY; MAY NOT EXERCISE DISCRETIONARY TRADING OVER CUSTOMER ACCOUNTS; THESE CONDITIONS REMAIN IN EFFECT FOR 2 YEARS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GAHMA CORPORATION	1:02CV00101	D UT	2/6/03	4b(a)(i)-(iii) 4o(1) 4m(1)	4.21 4.14(a)(9)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
GALE, PATRICIA	96-74525	ED MI	09/30/96	4b(a)(i) 4b(a)(ii) 4m 4k(2) 4o(1)(B) 9(a)(1) 4n(4)	4.20(c) 4.21(a) 4.21(b) 4.22	COMPLAINT FILED	
GALE, WILLIAM ALAN	94-16	CFTC	08/12/94	4b(a)(i) 4c(b)	33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; COOPERATE WITH THE DIVISION OF ENFORCEMENT.
GALGANO, THOMAS S.	85-23	CFTC	05/30/86	4b(A) 4c(b) 4o(1)	4.41(a) 33.3(a) 33.10(a) 33.10(c) 4.31 4.41(b)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GALLIGANO, MICHAEL A.	83-48	CFTC	03/14/84	4b 4n 4o	4.20 4.21 4.22 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 90 MO.; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS; PEN. AMNT.: \$20,000 LESS PAYMENTS TO CUSTOMERS.
GALLIGANO, MICHAEL A.	84-4181MRP	CD CA	06/06/84	4b 4n 4o	4.21 4.22 4.20 4.23	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; CONVICTED OF CRIM. CONTEMPT.
GALLNER, ROBERT	8406717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
GAMBER GRAIN	85-38	CFTC	06/25/87		21.02		PEN. AMNT.: \$500.
GANDOLFO, JOHN P.	93-2	CFTC	03/07/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
GANGEMI, PAUL J.	97-14	CFTC	08/13/97	4o(1)	166.3		CEASE & DESIST ORDER; RESTITUTION OF \$2.6 MILLION JOINTLY OWED; WILL NOT APPLY FOR REGISTRATION WITH

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
GANNON, JAMES P. III	92-18	CFTC	07/27/92	4b(A) 4c(b) 9(a)	33.10(a) 166.2		CEASE & DESIST ORDER; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION FOR 10 YEARS.
GARBE, ULRICH a/k/a ULI GARBE	01-8329	SD FL	1/10/03			DEFAULT ORDER	RESTITUTION OF \$16,436,213.02; CIVIL MONETARY PENALTY OF \$580,000.
GARBER, MICHAEL ALAN	03-24	CFTC	9/8/03	4c(a)(A) & (B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$7,500 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
GARCIA, ANTHONY	1:01-cv-1107	ND GA	3/27/03	4c(b)	32.9 32.5 32.11 33.3 32.8	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$660,000 TO BE PAID WITHIN 30 DAYS; RESTITUTION OF \$219,250 TO BE PAID WITHIN 30 DAYS OF ORDER DATE PLUS PRE-JUDGMENT INTEREST.
GARCIA, BERTHA	86-26	CFTC	07/25/86	9(a)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
GARFIELD SUN HING BULLION	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY TO REGISTER.
GARFIELD SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
GARRETT, JOHN	1:02CV00101	D UT	2/6/03	4b(a)(i)-(iii) 4o(1) 4m(1)	4.21 4.14(a)(9)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROHIBITION; PERMITTED UP TO \$5,000 PER MONTH FOR REGULAR LIVING EXPENSES.
GARRETT, JOHN GARRITY, JAMES MICHAEL	2:04CV00804 BSJ 95-6	D UT CFTC	9/1/2004 03/19/97	 4b(a)(i) 4b(a)(iii) 4g(a)	 1.31(a)(1) 1.35(a)	COMPLAINT FILED	CEASE & DESIST ORDER; TRADING IS SUSPENDED FOR 45 DAYS; REGISTRATION AS A FB IS CONDITIONAL; PAY RESTITUTION OF \$2,616.00 PLUS INTEREST FROM 9/17/91 TO THE DATE OF PAYMENT; REGISTRATION IS SUBJECT TO MULTIPLE RESTRICTIONS OF THE ORDER; LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS.
GARY BRUCE ANDERSON TRUST	95-C-5422	ND IL	09/22/95	4b(a)(i) 4b(a)(ii) 4d(1) 4d(2) 4m(1) 4o(1) 9(a)(1)		RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
GASSER, HENRY	89-27	CFTC	01/16/92	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; MUST LIQUIDATE ALL POSITIONS PRIOR TO COMMENCEMENT OF TRADING BAN.
GATH, DANIEL MICHAEL GCC TRANSFER CORP.	SD-94-12 89-11	CFC CFTC	08/20/96 12/19/89				APPEALED; FT DENIED. CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
GEARTNER, STEPHEN GEARTNER, STEPHEN	82-2062 84-19	SD FL CFTC	01/25/84 01/10/84	4o(1) 4o(1)		PERMANENT INJUNCTION	CEASE & DESIST ORDER; SUSP. AS AP 30 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 ½ YEARS.
GEISSLER, ROGER	79-27	CFTC	03/10/81	4b(D)	1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; THREE MONTH TRADING PROHIBITION HELD IN ABEYANCE.
GELBSTEIN, STEVEN	92-21	CFTC	02/25/98	4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 120 MO.; ON APPEAL.
GELDERMANN, INC.	88-17	CFTC	06/07/88	4g 4i	17.00 17.01 17.02		CEASE & DESIST ORDER; PEN. AMNT.: \$33,000.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GELDERMANN, INC.	94-13	CFTC	11/10/98	4c(a)(A)	1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$325,000.
GENESIS INVESTMENTS CORPORATION	86-H-4366	SD TX	03/09/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES & DECEPTIVE TRADE PRACTICES LAWS; ALL CONTRACTS RESCINDED TO JOINTLY PAY TO STATE OF TEXAS \$10,000 FOR COSTS.
GENOVESE, FRANK JR.	79-26	CFTC	01/06/82	4c(b)	32.5		CEASE & DESIST ORDER.
GENOVESE, FRANK JR.	79-53	CFTC	07/17/79				CONSOLIDATED WITH 79-26.
GENOVESE, FRANK JR.	86-35	CFTC	04/22/87	4b(A) 4o(1)	4.41(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA, CPO & AP.
GENOVESE, KAREN T.	83-5909WK	SD NY	02/19/85	4b(A) 4o(1)	4.41(a)	PERMANENT INJUNCTION	
GENOVESE, KAREN T.	86-35	CFTC	04/22/87	4b(A) 4o(1)	4.41(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & AP.
GENT, J. MICHAEL	97-CIV-3119	SD NY	10/13/98				ACTION AGAINST MICHAEL GENT IS DISMISSED.
GERAGHTY, JOHN J.	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.
GERAGHTY, JOSEPH M.	SD-96-9	CFTC	08/07/96	8a(3)(E)			CONDITIONALLY REGISTERED AS FB; CONDITIONS REMAIN IN EFFECT FOR 2 YEARS EXCEPT SPONSOR CERTIFICATION IN EFFECT FOR 1 YEAR.
GERALD, INC.	91-3	CFTC	10/16/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.35(a-1)(2) 1.35(a-1)(4) 1.38(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
GERALD, INC.	93-4	CFTC	02/17/93	4f(1) 4f(2)	1.10(d) 1.17(a) 1.17(d) 1.56(b)(3)		CEASE & DESIST ORDER; PEN. AMNT.: \$65,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GERDES, HERMAN	98-4	CFTC	11/25/03	4(a)		COMMISSION ORDER	CEASE & DESIST ORDER; PROHIBITED FOR TRADING FOR A PERIOD OF TEN YEARS.
GERSTENBERG AND COMPANY, INC.	83-3	CFTC	02/14/84	4d(2) 4b(A)	1.22		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
GERVAIS, RAINALD A.	82-42	CFTC	04/12/84	4k(1) 4d(2) 4f(1) 4f(2) 4g(1)	1.10(b) 1.12 1.17(a)(1) 1.20(a) 1.23 1.32 1.33 1.35(a)		CEAST & DESIST ORDER; PEN. AMNT.: \$2,500.
GETSON, PHILIP M.	84-20	CFTC	01/30/87	4b(B) 4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; SUSP AS FB 6 MO.
GHOLSON, BARRY D.	87-9	CFTC	04/15/87	4b 4o 4m			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
GHUN, HAK	81-13	CFTC	06/13/86	4b(A) 4o(1)	4.21(a) 4.21(b0) 4.31(a) 4.31(b)		CEASE & DESIST ORDER; PEN. AMNT: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GIANOS, THOMAS	94-13	CFTC	7/15/2004	4c(a)(1)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED FOR SIX MONTHS; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
GIARLETTA, PAUL A.	91-7	CFTC	06/25/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MAY NOT APPEAR ON CONTRACT MARKET TRADING FLOOR DURING TRADING HOURS; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
GIARRITANO, JOSEPH	SD-86-3	CFTC	08/07/86	8a(3)(J)			REG. REVOKED AS FB.
GIBALTAR MONETARY CORPORATION	04-80132	SD FL	2/10/2004	4c(b)	32.9(a) & (c)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
GIBSON, DAVID	99-14	CFTC	08/09/99	4d(2) 4g 6(c)	1.10 1.18 1.20(a) 1.20(c) 1.31 1.32 1.33		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					166.3		
GILCHRIST, CHARLES E.	83-58	CFTC	01/25/91	4c(a)(B)	1.38		PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 3 MO.; ALJ DECISION OF 10/15/85 AFFIRMED IN PART AND VACATED IN PART; APPEAL TO 7 TH CIRCUIT WITHDRAWN ON 10/15/91.
GILKESON, CLARENCE V.	80-22	CFTC	10/21/83	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GILLEN, KENNETH N.	89-15	CFTC	08/02/89	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.; TO MAKE FULL RESTITUTION TO CUSTOMERS.
GILLIAM, PETER M.	89-11	CFTC		4 4b(A) 4b(B) 4b(C) 4b(D) 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NOT TO SEEK REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION FOR 2 YEARS.
GILLIS, ARTHUR	81-24	CFTC	10/28/81	4a(2)(B) 4i 6(b)	150.10 18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
GIMBEL, STUART N.	84-20	CFTC	04/10/89	4c(a)(A) 4i 6(b)	1.38(a) 18.00 18.01(a) 18.04(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
GIOVANNI FLEURY INVESTMENTS, INC.	03-61199	SD FL	6/20/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; RUSSEL C. WEIGEL III IS APPOINTED AS TEMPORARY RECEIVER.
GIRARD, RAYMOND C. E.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
GLADSTONE, ALFRED A.L.	01-24	CFTC	3/20/02	4c(b)	33.10	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL PAY RESTITUTION OF \$51,092 PLUS PRE JUDGMENT INTEREST OF \$9,966.92 PURSUANT TO 10 YEAR PAYMENT PLAN; CONTINGENT CIVIL MONETARY PENALTY OF UP TO \$110,000.
GLASE, JOHN	1:04CV1403	ND OH	7/22/2004			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GLASS, BRADLEY	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER; TO DISSOLVE CORPORATE RESPONDENTS AND NOT APPLY FOR REGISTRATION AS CPO OR CTA FOR 1 YEAR.
GLASS, BRADLEY	82-6203	SD FL	04/15/82	4c(b) 4c(c)	32.11 166.3	PERMANENT INJUNCTION	
GLASS, GARY	80-28	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4b 4d 4g	1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION FOR 5 YEARS; DISMISS APPEAL & APPEAL OF TGT & AT 2 ND CIRCUIT; ALSO SETTLES #80-31.
GLASS, GARY	80-31	CFTC	04/18/91				SEE DOCKET #80-28.
GLASS, GARY	80-32	CFTC	08/22/86	4c(a) 4b(D)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; SUSP. AS FB 1 MO. OR LESS.
GLASS, GARY	93-4	CFTC	04/27/98	4c(a)(A) 4c(a)(B) 4g(1)	1.38(a) 1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRADING PRIVILEGES REVOKED; REGISTRATION WAS ALREADY REVOKED IN 1991.
GLASSMAN, RICK	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
GLATTER, JOSEPH	79-3371	SD NY	10/22/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
GLAZER, STANLEY	85-6936	SD FL	01/24/86	4c(b) 4c(c)	33.3(a) 32.11(a) 33.10 32.9 33.3(b)(1) 33.7(b) 33.7(a)	PERMANENT INJUNCTION	DISGORGEMENT; PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
GLENN W. CAAN, INC.	86-21	CFTC	11/10/87	4b(A)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 180 MO.; NOT TO APPLY FOR REGISTRATION FOR 15 YEARS; ALSO PROHIBITED FOR 15 YEARS FROM (1) DIRECTING ANY FUTURES OR OPTIONS TRADING; (2); ENGAGING IN BUSINESS OF ADVISING OTHERS AS TO SUCH TRADING; (3) SOLICITING OR ACCEPTING FUNDS FOR SUCH

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING.
GLOBAL ATLANTIC MANAGEMENT, INC. dba WORLDWIDE FOREX, INC. and WORLDWIDE COMMODITY CORP.	04-60797	SD FL	6/21/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GLOBAL BULLION	92-259	ED NY	03/05/93	4(a) 4b(A) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NOTICE OF COMPLAINT TO ALL OFFICERS, EMPLOYEES & AGENTS.
GLOBAL CAPITAL INVESTMENT LLC	02-07	CFTC	2/27/02	4(a) 4c(b)	32.11 33.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED WITH MITCHELL VAZQUEZ; SHALL NOT APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION FOR A PERIOD OF 5 YEARS.
GLOBAL CURRENCIES, LTD.	97-13	CFTC	2/8/00	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iv) 4d(2) 4k(1) 9(a)(1)	1.20 3.12(a)	ALJ ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$3,729,638.79; 2/8/00 DECISION BECAME FINAL ORDER OF COMMISSION ON 3/9/00.
GLOBAL EQUITY MANAGEMENT GROUP, LLC	SACV02-173	CD CA	3/7/02	4b(a)(i) 4b(a)(iii) 4(a)		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TRADING PROHIBITION; ACCOUNTING ORDERED; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
GLOBAL FINANCIAL CONSULTING, INC.	1:02CV2394	ND GA	8/28/02		PRELIMINARY	EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
GLOBAL FINANCIAL CONSULTS INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
GLOBAL FUTURES EXCHANGE & TRADING CO.	00-14	CFTC	5/1/00	4b(a)(i) 4b(a)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
GLOBAL INTERBANK, INC.	03-767 FMC	CD CAL	1/28/2004	4b(a); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OF \$165,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
GLOBAL LINK MIAMI CORPORATION	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
GLOBAL MANAGEMENT GROUP	CV 03 1826 PHX	D AZ	9/18/03	4b(a)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
GLOBAL MINERALS & METALS CORP.	99-11	CFTC	6/22/2004			COMMISSION ORDER	COMPLAINT DISMISSED WITH PREJUDICE.
GLOBAL TELECOM, INC.	01-18	CFTC	1/17/03	4b(a)(i) & (iii) 4b 4o(1) 6(c)	4.41(a)	ALJ ORDER	INITIAL DECISION; CEASE & DESIST ORDER; TRADING PRIVILEGES PROHIBITED FOR 3 YEARS; REGISTRATION RESTRICTIONS REVOKED.
GLOBALMARK CORPORATION	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
GLOBEX BULLION & FINANCIAL SERVICES CORP.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$2,947,360.41 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SEEKING REGISTRATION WITH THE COMMISSION.
GLORY FUND I, INC.	96-10421	I	11/05/97	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(c) 4.41(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
GLORY FUND L.L.C.	96-10421	I	11/05/97	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(c) 4.41(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
GLOVER, THOMAS II	00-35	CFTC	7/8/02	4c(b)	33.10	ALJ ORDER	DEFAULT ORDER; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000.
GLOWATZ, MARK	89-11	CFTC	12/19/89	4 4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4g(1) 4h	1.35(a-1) 1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRAD. PRIV. SUSP. 1-2 MO.; NOT TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 60 DAYS./
GNAIZDA, DAVID	84-30	CFTC	02/12/85	4b			CEASE & DESIST ORDER; REG. REVOKED AS AP; PROHIBITED FROM TRADING EXCEPT FOR OWN ACCOUNT.
GNOME INVESTMENTS, LTD.	79-828	D AZ	05/18/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
GNP COMMODITIES, INC.	89-1	CFTC	08/11/92	4b(A) 4b(C) 4g	166.3 1.38 1.35(a-1)(2) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FCM; EFFECTIVE DATE OF SANCTIONS: 10/11/92.
GNP COMMODITIES, INC.	92-13	CFTC	12/17/91	4c(b)	33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
GNP COMMODITIES, INC.	92-14	CFTC	01/31/92	4b(A) 4c(b) 4g	1.31(a)(2) 1.35(a) 33.10(a) 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
GOBERSTEIN, HOWARD J.	90-17	CFTC	08/21/90	4b(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; HAVE CONTRACT MARKET MEMBERSHIP, OR APPEAR ON FLOOR DURING TRADING HOURS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GODRES, ROSS R.	99-13	CFTC	06/24/99	4b(a)(i) 4b(a)(ii) 4o(1)	4.13(b)(2)(i)		CEASE & DESIST ORDER; TRADING PROHIBITION; RESTITUTION; NEVER APPLY FOR REGISTRATION OR ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
GOLD INTERNATIONAL, INC.	79-1406	SD FL	10/23/85	4c(b) 4c(c)	32.11 32.9 32.3	PERMANENT INJUNCTION	
GOLD, GEALD	79-1085	ND TX	07/03/79	4c(c) 4c(b)	32.6 32.9 32.11	RESTRAINING ORDER	FREEZE OF ASSETS.
GOLD, GERALD	84-26	CFTC	03/15/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER.
GOLD, PHILLIP H.	79-1406	SD FL	10/23/85	4c(b) 4c(c)	32.11 32.9 32.3	PERMANENT INJUNCTION	
GOLD, PHILLIP H.	84-33	CFTC	05/07/84				REG. REVOKED AS AP.
GOLD, PHILLIP H.	85-1	CFTC	05/21/85	4b(A) 4o(1)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
GOLDBERG, MICHAEL J.	3-93-0975	MD TN	01/10/95	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	DISGORGEMENT.
GOLDBLATT, DAVID M.	85-50	CFTC	02/27/87	4d(1) 4m	1.7 4.20 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000 JOINTLY OWED.
GOLDENBERG, ALAN	SD-85-8	CFTC	06/07/85				SUSP. AS FB 6 MO.
GOLDER, GERALD DAVID	89-23	CFTC	05/04/90	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
GOLDEX INTERNATIONAL LIMITED	79-1436	ND IL	12/08/80	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
GOLDEX INVESTMENT, INC.	90-3034	ND CA	09/10/91	4(a) 13(a) 4b(A) 4b(B)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION.
GOLDINGER, S. JAY	99-11543 WMB	C.D. CAL.	11/12/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4g 4o(1)	33.10(a) 33.10(b) 33.10(c) 1.35(a-1)(1)	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE DISGORGEMENT OF \$6,000,000 W/ CO-DEFENDANTS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
GOLDMAN, OSCAR	03-3265	CD CAL	5/9/03	4b(a)(2)(i) &		COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				(iii) 4o(1)			
GOLDMAN, SALLYE E.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GOLDSCHMIDT, ALLEN M.	77-2678EW	SD NY	05/19/78	4c(b) 4k 4o(1)	30.01 32.3 32.8	PERMANENT INJUNCTION	
GOLDSTAR PETRO-AMERICA	91-3289	ED PA	09/03/91	4d	33.3	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
GOLDSTEIN, DANIEL	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ENJOINED FROM TRADING PETROLEUM FUTURES.
GOLDSTEIN, HAROLD D.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS ; ACCOUNTING ORDERED; ENJOINED FROM TRADING PETROLEUM FUTURES; APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR.
GOLDSTEIN, MICHAEL	80-315	SD FL	05/29/81	4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; PROTECT BOOKS & RECORDS; TO REMIT \$4,000 TO BANKRUPTCY TRUSTEE FOR CUSTOMERS.
GOLEMBESKI, ROBERT W.	84-1	CFTC	02/13/85		1.10d 1.14		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS CTA; NOT TO REAPPLY FOR CTA REGISTRTRION FOR 2 YEARS.
GOLLIN, LAWRENCE JEROME	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 33.10 166.2 3.15 3.31 3.12(a) 166.3 33.7(d)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.
GOLLIN, LAWRENCE JEROME	89-21	CFTC	09/13/89	4c(b) 4f	3.12(a) 3.15		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k 6(b)	3.31 33.7(d) 33.10 166.3		REG. REVOKED AS AP.
GOLUBOWSKI, DENNIS J.	92-7158	SD FL	08/09/94	4m 4o 4d(1) 4k(1) 4k(2) 4b(i) 4b(ii) 4c(b)	4.13 3.12 33.10 4.21	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; COOPERATE WITH COMMISSION; RESTITUTION OF AT LEAST \$22,998,711; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
GOMEZ, JUAN CARLOS	02-60769	SD FL	8/31/2004	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$34,725 AND CIVIL MONETARY PENALTY OF \$360,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
GOMEZ, OSCAR	81-2250-W	WD TN	05/06/86	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
GONDAY, RICHARD G.	79-2087	D DC	10/29/79	4m 4n(3)(A) 4o(1)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
GONG, TOM HUIFENG	01-01	CFTC	7/25/03		166.3	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000; REGISTRATION REVOKED.
GOODMAN, MARVIN J.	91-6186	SD FL	09/27/91	4m 4o 4d(1) 4b 4c(b)	4.13 33.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ON 2/8/92, A CUPPLEMENTAL ORDER WAS SIGNED PERMITTING THE GOODMAN TRUSTEE TO MAKE DISTRIBUTIONS; ANOTHER SUPPLEMENTAL ORDER WAS ISSUED ON 10/2/92 CONTINUING THE FREEZE OF ASSETS UNTIL ALL DISTRIBUTIONS ARE MADE TO CUSTOMERS.
GOODMAN-MANASTER & COMPANY	84-45	CFTC	10/16/84	4d(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
GOODMAN-MANASTER &	85-50	CFTC	09/30/85	4g	1.35		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMPANY					166.3		AMNT.: \$30,000.
GOOSSEN, JERRY	SD-86-1	CFTC	12/30/86				REG. REVOKED AS CTA.
GORDON, KEITH R.	90-19	CFTC	03/06/95	4c(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; REG. REVOKED AS AP; RESPONDENT FILES PETITION FOR REVIEW 3/27/95; SUMMARY DECISION AFFIRMED (11 TH CIR.) 5/14/96.
GORDON, LEROY	79-38	CFTC	06/26/79	4f(1)	1.10(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; SUSP AS AP 1 MO. OR LESS.
GORDON, SCOTT D.	78-1692	SD FL	05/25/81	4c(b)	32.9	PERMANENT INJUNCTION	
GORDON, SCOTT D.	81-11	CFTC	05/22/81	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; SUSP. AS AP 18 MO.
GORDON, SIDNEY S.	78-51	CFTC	12/07/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
GORECKI, MICHAEL	78-61	CFTC	11/29/78				REG. DENIED AS AP.
GOREN, STEVEN R.	78-4	CFTC	02/16/79				REG. DENIED AS AP.
GORMLEY, JOHN J.	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 1 MO. OR LESS.
GOROS, LLC	1:040v0016	ND OH	1/5/2004			COMPLAINT FILED	
GORSKI, CHESTER	93-5	CFTC	08/23/99				COURT DISMISSES COMPLAINT WITH PREJUDICE; DOE FILE NOTICE OF APPEAL OF INITIAL DECISION.
GOTTA, MICHAEL EZIO	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
GOTTSCH, ROBERT G.	82-44	CFTC	01/23/86	4k	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GOURLAY WOLFF & CO., LTD.	89-4242	CD CA	01/04/90	4c(b) 4d(1)	32.11(a) 33.3(b)	PERMANENT INJUNCTION	DISGORGEMENT.
GOURLAY WOLFF & CO., LTD.	92-1	CFTC	09/29/92	4c(b) 4d(1) 6(b)	1.55 30.3(a) 30.4(b) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER; MAY NOT SEEK, OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 3 YEARS; MAY NOT SEEK PART 30 EXEMPTION FOR 3 YEARS.
GOURLAY WOLFF FUTURES LTD. DUBLIN	92-1	CFTC	10/22/92		4.21 30.3(a) 30.4(c) 30.6		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
GOURLAY WOLFF FUTURES, LTD.	89-4242	CD CA	01/04/90	4c(b) 4d(1)	32.11(a) 33.3(b)	PERMANENT INJUNCTION	DISGORGEMENT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GOURLAY WOLFF FUTURES, LTD.	92-1	CFTC	09/29/92	4c(b) 4d(1) 6(b)	1.55 30.3(a) 30.4(b) 30.6 33.3(b) 33.7		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; MAY NOT SEEK, OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 3 YEARS; MAY NOT SEEK PART 30 EXEMPTION FOR 3 YEARS.
GRABARNICK, LAWRENCE	78-1069	SD FL	04/08/82	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
GRABARNICK, PHILIP GENE	78-1069	SD FL	04/08/82	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
GRABARNICK, PHILIP GENE	83-43	CFTC	01/14/97	4b 4o	4.21		CEASE & DESIST ORDER; PEN. AMNT.: \$208,000; TRAD. PRIV. SUSP. 12 MO.
GRACE, GERRY	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	
GRAEBER, JAMES C.	SD-97-2	CFTC	02/27/97	8a(3)(E) 8a(3)(D)			CONDITIONALLY REGISTERED AS A FB; NOT APPLY TO REGISTER FOR 2 YEARS; ANY FUTURE REGISTRATION WILL BE SUBJECT TO RESTRICTIONS.
GRAF, KARL HEINZ	91-C3262	ND IL	12/27/91	4b(A) 4b(B) 4o		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
GRAHAM, MICHAEL GEORGE	SD-95-19	CFTC	07/17/95				CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS.
GRAINLAND COOPERATIVE	97-1	CFTC	11/25/03			COMMISSION ORDER	ALJ DECISION VACATED; COMPLAINT DISMISSED FOR FAILURE OF PROOF.
GRAMER, GEORGE W.	79-1085	ND TX	04/24/84	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
GRAMER, GEORGE W.	84-36	CFTC	04/20/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER; REG. REVOKED AS CTA & AP; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
GRAND CAPITAL COMMODITY, INC.	94-1162-A	ED VA	05/26/95	4(a) 4(d)(1) 4b(a) 9(a)(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; \$300,000 MINUS ANY FUNDS PAID BY OTHER DEFENDANTS; COOPERATE WITH COMMISSION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GRANDVIEW HOLDINGS CORP.	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(ii)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB.
GRANT, PAUL R.	2-02 CV-432	D UT	5/2/02	4b(a)(i) 4b(a)(iii) 4(a)		COMPLAINT FILED	
GRANT, ROBERT L.	84-45	CFTC	09/27/85	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
GRANT, STEVEN LONDON	80-835	D GA	09/14/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
GRAVENSTEIN DIVERSIFIED, INC.	85-1555	ND CA	03/03/86	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
GRAVITT, JOHN LEE	SD-98-7	CFTC	06/02/99	8a(3)(M)			APPLICATION FOR FLOOR TRADER REGISTRATION GRANTED BUT SUBJECT TO CONDITIONS FOR 2 YEARS.
GRAY, SAM	2:98CV00216J	C.D. UT	5/22/00	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$29,465; CIVIL MONETARY PENALTY OF \$29,465; RESTITUTION OF \$360,016.35 PLUS PREJUDGEMENT INTEREST OF \$89,862.50 AND POST JUDGEMENT INTEREST OWED JOINTLY & SEVERALLY WITH SCHENK; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS A FCM, CPO, CTA, IB, FB, FT OR AP.
GRAYSTONE BROWNE FINANCIAL, INC.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
GREAT AMERICAN COMMODITIES, INC.	88-30	CFTC	11/21/89	4c(b)	33.10 33.7(d) 166.2 166.3		CEASE & DESIST ORDER
GREAT MINISTER GROUP, INC. (THE)	02-61160	SD FL	9/27/02	4b(a) 4c(b) 4(a)	1.1(b) 32.9 32.11 33.3	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; MARSHA L. LYONS, ESQ APPOINTED AS RECEIVER.
GREAT PLAINS CO-OP	98-4	CFTC	11/25/03	4(a)		COMMISSION ORDER	CEASE & DESIST ORDER.
GREEN TREE INVESTMENT CLUB	92-1676	CD CA	12/19/94	4m	4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS.
GREEN, DAVID	84-6717	SD FL	12/04/84	4(a)		PERMANT INJUNCTION	DISGORGEMENT.
GREEN, DAVID	99-1	CFTC	12/07/98	4o(1)(B)	4.20(c)		CEASE & DESIST ORDER;

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				4m(1)	4.21 4.22		SECOND AMENDED ORDER; GREEN TO PAY RESTITUTION OF \$18,734.12; NOT TO ENGAGE IN TRADING COMMODITIES FOR FUTURE DELIVERY OR OPTIONS OTHER THAN ON BEHALF OF HIMSELF, HIS SPOUSE OR CHILDREN.
GREENBAUM JAMES D.	82-6850NCR	SD FL	01/11/84	4d(2) 4f(2) 4g(1)	1.20(a) 1.17(a) 1.31 1.32 1.25 1.26 1.28	PERMANENT INJUNCTION	
GREENBAUM, JAMES	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
GREENBAUM, JAMES D.	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER
GREENBERG, BOB	80-0689	SD NY	06/24/82	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
GREENBERG, DAVID S.	SD-88-3	CFTC	04/22/88				REG. REVOKED AS FB
GREENBERG, GARY	80-28	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4b 4b(D) 4g	1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION FOR 3 YEARS; DISMISS APPEAL WITH 2 ND CIRCUIT; ALSO SETTLES DOCKET #80-31.
GREENBERG, GARY	80-30	CFTC	06/23/87	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
GREENBERG, GARY	80-31	CFTC	04/18/91				SEE DOCKET #80-28.
GREENBERG, ROBERT	81-CA12	WD TX	02/22/89	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4m			ALSO PERMANENTLY ENJOINED FROM ENGAGING IN ANY BUSINESS ACCEPTING, CONFIRMING OR EXECUTING COMMODITY OPTIONS CONTRACTS; ENJOINED FROM VIOLATING TEXAS DECEPTIVE PRACTICES – CONSUMER PROTECTION ACT.
GREENBERG, ROBERT A.	82-14	CFTC	12/17/85	4 4b			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GREENBERG, ROBERT A.	82-28	CFTC	12/17/85				CONSOLIDATED WITH 82-14.
GREENE, ARNOLD	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
GREENFIELD, ESTHER LANDER	89-11	CFTC	11/27/90	4 4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4g(1) 4h(2) 4h	1.35(a-1) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 120 MO.; NOT TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION FOR 10 YEARS.
GREENFIELD, MICHAEL J.	93-14	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; NOT TO ACT AS A FB FOR 6 MONTHS.
GREENSPON, IRA P.	89-1	CFTC	05/25/90	4b(A) 4b(C) 4g(1)	1.35(a) 1.38 1.35(a-1)(2) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
GREENSTEIN, MARC	02-09	CFTC	6/12/03	4c(a)(1)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY OF \$35,000 TO BE PAID WITHIN TEN DAYS; FLOOR BROKER REGISTRATION SUSPENDED FOR 3 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
GREENSTEIN, MARC B.	89-2	CFTC	1/10/88	4g	1.35(a) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
GREENSTEIN, MARK	02-09	CFTC	7/23/02	4c(a)(1)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000; FB REGISTRATION SUSPENDED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR 3 MONTHS.
GREER, RONALD E.	77-10	CFTC	03/07/85	4c(b)	32.9		PEN. AMNT.: \$5,000.
GREER, RONALD E.	78-50	CFTC	06/02/78				CONSOLIDATED WITH 77-10.
GREER, RONALD E.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.3(b) 32.6 32.7	PERMANENT INJUNCTION	
GRIECO N.V.	90-30	CFTC	03/12/91	4i 6(b)	18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; MUST NOTIFY DIRECTOR OF ENFORCEMENT WHEN HE BEGINS TRADING; MUST KEEP BOOKS & RECORDS.
GRIFFIN, ROBERT J.	89-5	CFTC	03/24/93	4(g)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ALJ OPINION SUMMARILY AFFIRMED.
GRIFFIN, SHERALD	98-12	CFTC	04/09/98		14.8(c)		GRIFFIN NOT TO APPLY TO THE COMMISSION FOR REINSTATEMENT FOR FIVE YEARS FROM THE DATE OF THE ORDER.
GRIMSRUD, JAMES	88-3	CFTC	11/17/87	4k(1)	1.56(c) 3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
GROOVER, RICHARD C.	79-5	CFTC	01/12/79	4b(D)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 18 MO.; REG. REVOKED AS FB.
GROSS, MILTON J.	87-6895G	SD FL	11/19/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGOREMENG; TRADING PROHIBITION; ALSO ENJOINED FROM VIOLATING THE FLORIDA STATUTES GOVERNING FRAUD AND BOILER ROOMS; NOT TO APPLY FOR REGISTRATION; NOT TO ENGAGE IN COMMODITY FUTURES BUSINESS.
GROSSFELD, KENNETH R.	87-3	CFTC	12/17/86	4b(A)	166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$52,500; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 1 MO. OR LESS; PROHIBITED FROM HANDLING MANAGED ACCOUNTS FOR 18 MONTHS.
GROSSFELD, KENNETH R.	89-23	CFTC	12/10/96				PEN. AMNT.: \$1,800,000; APPEALED TO 11 TH CIR.
GROSSMAN, AARON T.	83-36	CFTC	12/29/83				REG. DENIED AS AP.
GROSSO, GEORGE	80-29	CFTC	12/02/86	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000; TRAD. PRIV. SUSP. 3 MO.; SUSP. AS FB 3 MO.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GROVES, JAMES WARREN	SD-80-1	CFTC	12/14/81				REG. DENIED AS AP.
GRUBERG, STEVEN MARK	79-50	CFTC	12/28/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
GRUNFELD, JOSEPH A.	03 CV 9124	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
GU, ZIANPIN	93-0088	ED NY	12/06/94	4(a) 4b(A)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; COOPERATE WITH THE COMMISSION; RELEASE ALL CLAIMS TO ASSETS OF STANDARD FOREX.
GUALLINI, PAUL H.	84-22	CFTC	01/08/85	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
GUARINO, NICHOLAS A., JR.	03-2193	D KS	4/22/03	4o(1)(A) & (B)	4.41(a)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
GUDINO, ROBERT	03-17	CFTC	6/30/03	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$6,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
GUGLIARO, JOSEPH	02-13	CFTC	10/7/03	4b(a)(i-iv) 4c(a)(1) 4g	1.35(d) 1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000 WITHIN 30 DAYS; TRADING PRIVILEGES PROHIBITED; FLOOR BROKER REGISTRATION SUSPENDED FOR THREE MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
GULF-ATLANTIC GOLD COINS, INC.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
GULF-NATIONWIDE GOLD COINS, INC.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
GUNNELS, STEPHEN H.	78-1393	CD MA	12/29/81	4c(b) 4g	1.31 1.32 32.6(a) 32.6(f) 32.7(a) 32.9	PERMANENT INJUNCTION	
GUNTHER, FREDERICK A.	80-15	CFTC	09/14/82	4b 4k 4o			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; SUSP. AS AP 60 MO.
GUSTIN, SIDNEY	92-6893	SD FL	12/07/94	4m 4o 4d(1)	4.13 33.10 4.21	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k(1) 4k(2) 4b(a)(i) 4b(a)(ii) 4g 4c(b) 4n(3)(A)	1.31		CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
GUSTIN, SIDNEY	95-4	CFTC	02/07/95	4b(a)(i) 4b(a)(ii) 4c(b) 4d(1) 4g 4k(1) 4k(2) 4m 4n(3)(A) 4o	1.31 3.12 3.16 4.13 4.21 33.10		CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION WITH COMMISSION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION OR ACT AS AGENT OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED; COOPERATE FULLY WITH COMMISSION.
GUTTMAN, ZOLTAN	79-47	CFTC	03/30/81				REG. DENIED AS FB ON 3/30/81; REGISTERED AS FB ON 11/14/86.
GUTTMAN, ZOLTAN	93-4	CFTC	04/27/98	4c(a)(A) 4c(a)(B) 4g(1)	1.38(a) 1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
HABERBUSH, ARTHUR B.	78-10	CFTC	06/26/80	4c			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HAGAN, DAVID D.	81-2250-W	WD TN	01/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
HAGAN, LAMBERT JOSEPH	SD-85-12	CFTC	09/13/85				REG. REVOKED AS AP.
HALE, RICHARD A.	H-03-3526	SD TX	12/17/2004	4b(a)(i)&(iii) 4c(b) 4o(1)(A)	33.10 4.30	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$440,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION.
HALFORD, HAROLD H.	78-1692	SD FL	05/25/81	4c(b)	32.9	PERMANENT INJUNCTION	
HALFORD, HAROLD H.	81-11	CFTC	05/22/81	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TO WITHDRAW AP APPLICATION AND NOT TO REAPPLY FOR ONE YEAR.
HALL, LLEWELLYN CONNELL	94-4	CFTC	11/02/93	4g(a) 6(c)	17.01(b) 18.04(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
HALL, PAUL	78-55	CFTC	03/11/80	4c(b)	32.9 32.3 32.7 32.5(a) 32.5(c) 32.8(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NOT TO SEEK REGISTRATION WITH CFTC.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HALL, THOMAS N.	88-C-3188	ND OK	06/14/89	4b(A) 4o(1) 4m(1)	4.23 4.21 4.22(a) 4.22(c) 4.22(d) 4.22(e)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; TO MAKE \$100,000 RESTITUTION TO CUSTOMERS.
HALPER, ROBERT S.	92-21	CFTC	12/16/92	4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$55,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT SEEK REGISTRATION FOR 1 YEAR; CONDITIONS IMPOSED IF REGISTRATION SOUGHT BETWEEN 1 & 2 YEARS; NOT APPEAR ON FLOOR FOR 6 MONTHS; AFTER, REGISTRATION SUBJECT TO CONDITIONS FOR 1 YEAR.
HALPER, ROBERT S.	SD-95-10	CFTC	02/22/95				FT CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR ONE YEAR.
HALSTEAD, GARY E.	84-0621-R	ND TX	11/19/84 04/12/85	4d(1) 4d(2) 4k 4(a) 4b(D) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
HALTMIER, ROBERT	75-2	CFTC	05/05/76	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 18 MO.
HAMLET, EDWARD T.	94-14	CFTC	10/28/97	4o(1)(B)			CEASE & DESIST ORDER.
HAMMER, MICHAEL	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; TRADING PRIVILEGES BARRED FOR 12 MONTHS THEN RESTRICTED FOR 1 YEAR.
HANDLER, IRA	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
HANEMAN, JACK W.	86-25	CFTC	12/02/86	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP.
HANEMAN, WILLIAM F.	88-29	CFTC	03/03/89		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED; NOT TO ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION.
HANEY, LARRY	79-2778	WD TN	11/18/81	4c(b)	32.9	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(c)	32.11		
HANFORD, WILLIAM W.	83-10	CFTC	05/30/85	4e			PEN. AMNT.: \$1,000.
HANKS, JAMES MICHAEL	CV-98-N-1755-S	ND AL	9/28/00	4b(a)(i) 4b(a)(iii) 4k(2) 4o(1)	3.12(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM APPLYING FOR REGISTRATION OR SEEKING EXEMPTION FROM REGISTRATION W/ THE COMMISSION; RESTITUTION OF \$10,849,000 PLUS PRE-JUDGEMENT INTEREST OF AT LEAST \$1,842,780 JOINTLY & SEVERALLY OWED WITH CO-DEFENDANT FINANCIAL PLANNING ALLIANCE INTERNATIONAL; PREVIOUS ORDERS SHALL EXPIRE UPON ENTRY OF THIS ORDER.
HANLEY, KEVIN MICHAEL	SD-97-4	CFTC	04/08/97	8a(3)(E)			CONDITIONALLY REGISTERED AS FB FOR TWO YEARS.
HANNUM, DONALD R.	79-0752	CD CA	03/31/82	4b	1.7	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HANNUM, DONALD R.	80-27	CFTC	02/27/87	4b 4d 4h 4k 8b	1.7		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 60 MO.
HANOVER TRADING CORP.	98-CIV-1365	SD NY	03/03/98	4(a) 4b		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
HAPPEL, HORST J.	90-30	CFTC	03/12/91	4a(5) 4c(a) 4i 6(b)	18.04 PRELIMINARY		CEASE & DESIST ORDER; PEN. AMNT.: \$255,000; TRAD. PRIV. SUSP. 24 MO.; MUST NOTIFY DIRECTOR OF ENFORCEMENT IN WRITING WHEN HE STARTS TRADING; MUST KEEP BOOKS & RECORDS.
HARDIN, DAVID R.	77-21	CFTC	09/08/80	4b 4c 4d 4f 4g 4k	1.17.01 1.20 1.31 1.32 1.33 1.33(a) 1.35 1.37		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
HARDWICK AND WELLS	83-19	CFTC	02/10/84	4b(A)	4.21(a)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMMODITIES, INC.				4n(3)(A) 4n(4) 4o(1)	4.22(c) 4.23(a)		AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
HARDWICK, WELLS, AND WINTHROP, INC.	83-19	CFTC	02/10/84	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.21(a) 4.22(c) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
HARELICK, BRIAN H.	78-44	CFTC	05/18/79	6(b)			CEASE & DESIST ORDER; SUSP. AS AP 6 MO.
HARELIK, BRIAN H.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HARKER, THOMAS W. SR.	85-1482-W3	WD MO	05/16/86	4(a)		PERMANENT INJUNCTION	
HARLEY, STANLEY C.	00-20	CFTC	5/31/00	4m(1)	4.31(a) 4.31(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY AMOUNT OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
HARLOW, DAVID E.	85-5158-H	SD TX	12/30/86	4b(A) 4b(B) 4b(C) 4b(D) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS.
HARLOW, DAVID E.	87-8	CFTC	02/27/87	4b(A) 4b(B) 4b(C) 4b(D) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 M.
HARMON, ROBERT BENJAMIN, JR.	03-25	CFTC	1/16/2004	4c(a)(A) & (B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$8,500 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
HARRIGAN, MARTIN DAVID	SD-93-7	CFTC	05/04/93				CONDITIONAL FB REGISTRATION GRANTED.
HARRIS WILLIAM B.	88-18	CFTC	02/27/90	4b(A) 4k(1) 6(b)	166.2 4.31(a) 3.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
HARRIS, ALLAN P.	00-15	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL COMPLY W/ UNDERTAKINGS.
HARRIS, CHARLES LEE	04C 5723	ND IL	9/15/2004	4b(a)(i)-(iii) 4c(b) 4o(1) 4k(2)	33.1	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HARRIS, ROBERT O. JR.	91-3289	ED PA	09/03/91	4d	33.3	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
HARRIS, RONALD	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; REG. DENIED AS AP.
HARRISON PRESCOTT, INC.	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
HARRISON, GEORGE R.	79-0609-H	ND TX	10/18/81	4c(b) 4c(c)		PERMANENT INJUNCTION	
HARRISON, GEORGE R.	82-26	CFTC	09/12/84	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; PEN. AMNT.: \$24,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HARRISON, GEORGE R.	04-04	CFTC	11/18/03	4o(1)(A) & (B)	4.41(a)(1) & (2) 4.41(b)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$18,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
HARRISON, RONALD W.	80-19	CFTC	03/27/81	4d(2) 4g 13(a)	1.20(a) 1.23 1.37 17.01		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS AP 1 MO. OR LESS.
HARRISON, STEPHEN	86-36	CFTC	09/30/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
HARTFORD FINANCIAL GROUP	98-6564	S.D. FL.	11/24/99	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	FINAL JUDGEMENT	CIVIL MONETARY PENALTY OF \$330,000; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
HARTZELL, RICHARD B.	85-6	CFTC	01/13/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
HARVARD INVESTMENT SERVICES, INC.	86-31	CFTC	08/19/86	4o(1)	4.41(a) 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000 JOINTLY OWED; TO UNDERTAKE TO COMPLY WITH REG. 4.31.
HARVEY B. POLLAK AND COMPANY	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HARVEY, THOMAS J.	80-15	CFTC	10/15/80	4b 4o 4k 4f(!)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HAWKER, BRYAN KEITH	2:03 CV-0260	D UT	10/20/03	4b(a)(2)(i)-(iii)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
HAWKINS, JIM	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
HAYES, LESLIE L.	90-20380	ND CA	07/31/92	4m(1) 4n(3)(A) 4o 4b(A) 4b(B)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ORDERED TO DISGORGE \$30,000 AND TO PAY 10% OF HIS GROSS INCOME TO THE REGISTRY OF THE COURT; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION; JEAN MCCOWN APPOINTED SPECIAL MASTER.
HAYES, LOREN	00 C 7344	ND IL				CONSENT ORDER	FREEZE OF ASSETS; DISGORGEMENT OF \$247,500 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN.
HAYES, RICHARD C.	SD-95-5	CFTC	01/03/97				REG. REVOKED AS FB; COMPLY WITH UNDERTAKINGS; NOT TO APPLY TO BE REGISTERED WITH COMMISSION; ANY FUTURE REG. SHALL BE CONDITIONAL FOR 2 YEARS.
HAZELCORN, HOWARD	80-30	CFTC	06/23/87	4b 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 3 MO.; SUSP. AS FB 3 MO.
HE, YING	93-0067	CD CA	04/11/94	4(a)		PERMANENT INJUNCTION	
HEARN, JOHN	85-3169	SD FL	10/25/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
HEARTLAND FUTURES FUND	92-1062-T	D KS	02/11/94	4b(a)(ii)		PERMANENT INJUNCTION	
HEATH, V. JOYCE	88-15	CFTC	04/08/91	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP.
HEFFERNAN, GEORGE	CV101-141	SD GA	8/4/03			ORDER	DISGORGEMENT OF \$275,000 AND CIVIL MONETARY PENALTY OF \$125,000 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HEFFERNAN, GEORGE	CV101-141	SD GA	3/23/2004			ORDER	ELEVENTH CIRCUIT DISMISSED APPEAL. 8/4/03 ORDER IS FINAL IN ALL RESPECTS.
HEFFERNAN, GEORGE a/k/a GEORGE W. MARSHALL	4 04 23302 25	D SC	12/21/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HEFFERNAN, GEORGE d/b/a ACCUTRADER AND ACCUTRADER DAY TRADING SCHOOL	00-29	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
HEFFERON, THOMAS H. JR.	77-10	CFTC	03/07/85	4c(b)	32.9		PEN. AMNT.: \$500.
HEINOLD COMMODITIES, INC.	80-28	CFTC	03/27/86	4g	1.37		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; APPEALED; APPEAL WITHDRAWN 5/7/86.
HEINOLD COMMODITIES, INC.	85-45	CFTC	09/27/85	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
HEITSCHMIDT, ROGER	92-25	CFTC	11/13/95	4n(3)(A)	4.31(a) 4.31(f)(i) 166.2		SUSP. AS AP 6 MO.; SUSP AS CTA 6 MO.; SUSP. AS IB 6 MO.
HELPER COMMODITIES CORP., INC.	85-39	CFTC	01/27/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
HELPER, LEWIS BRIAN	SD-92-1	CFTC	02/14/92	8a(3)(M)			CEASE & DESIST ORDER; CONDITIONALLY REGISTERED AS A FLOOR BROKER; MY NOT ACT AS PRINCIPAL; PARTNER, OFFICER, DIRECTOR, OR BRANCH OFFICE MANAGER OF ANY REGISTRANT; MAY NOT EXERCISE SUPERVISORY AUTHORITY; MAY NOT EXERCISE DISCRETIONARY TRADING AUTHORITY OVER CUSTOMERS' ACCOUNTS; MUST BE EMPLOYED BY COMMISSION REGISTRANT; EMPLOYER MUST EXECUTE SUPERVISORY REGISTRATION AGREEMENT.
HELFFRICH, STUART MICHAEL	SD 04-08	CFTC	9/3/2004			COMMISSION ORDER	FB REGISTRATION REVOKED.
HELMICH, GERALD W.	90-30	CFTC	09/25/90				MAY NOT ACT IN SUPERVISORY CAPACITY FOR 14 DAYS FOR ANYONE REGISTERED OR REQUIRED TO BE REGISTERED.
HEMMERS, WILLIAM	80-32	CFTC	01/21/86	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
HEMMINGER, RALPH J.	78-6	CFTC	11/21/77	4c(a)			CEASE & DESIST ORDER; REG. REVOKED AS FB.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HEMPEL, MICHAEL R.	82-24	CFTC	02/16/83	4b 4d(1) 4m 4o(1)	1.7		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HENCH, NEVIN F.	80-36	CFTC	02/04/83	4b(A) 4b(C) 4d(1) 8b	1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION.
HENCH, NEVIN F.	88-3-98	D MN	04/07/89	4b(C) 9(a) 4d(1) 4d(2) 8b		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING ORDERS OF THE COMMISSION; RESTITUTION.
HENCORP BECSTONE FUTURES, LC	05-06	CFTC	12/22/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 JOINTLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
HENDRICK, DANIEL A.	82-2	CFTC	09/17/82	6(b)			CEASE & DESIST ORDER; REG. DENIED AS CTA; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
HENINGER, ROBERT	2:04CV00804 BJS	D UT	9/1/2004			COMPLAINT FILED	
HENNINGER, ROBERT	1:02CV00101	D UT	8/13/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.21 4.31	COMPLAINT FILED	
HENRIKSEN, RICHARD	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.; APPEALED.
HENRY & HORNE, PLC	98-11	CFTC	10/21/98		14.8(c)		CEASE & DESIST ORDER; COMMISSION PERMANENTLY DENIES H&H THE PRIVILEGE OF APPEARING OR PRACTICING BEFORE IT; H&H SHALL NOT APPLY TO THE COMMISSION FOR REINSTATEMENT FOR 5 YEARS FROM THE DATE OF THIS ORDER.
HENRY POLLAK AND COMPANY, INC.	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HENSHAW, REID	1:04CV1403	ND OH	7/22/2004			COMPLAINT FILED	
HEPPNER, ANTHONY J.	02-1783	D MN	7/19/02			STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS.
HEREDIA, JOHN C.	SD-85-4	CFTC	01/30/85				REG. REVOKED AS AP.
HERITAGE CAPITAL ADVISORY SERVICES, LTD.	82-C-5955	ND IL	02/10/83	4m		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
HERITAGE MARKET RESEARCH, INC.	85-1229	SD OH	08/02/85	4(a)		PERMANENT INJUNCTION	PROHIBITED FROM SELLING SECURITIES EXCEPT IN FULL COMPLIANCE WITH THE OHIO SECURITIES ACT.
HERLIHY, JOHN P.	85-50	CFTC	02/27/87	4d(1) 4m	1.7 4.20 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000 JOINTLY OWED.
HERMANS, CARL J.	97-0777	CD CAL	06/23/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4k(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; CIVIL MONETARY PENALTY OF \$125,000; RESTITUTION OF \$778,219.27.
HERMANSON, JOHN A.	95-10	CFTC	05/20/99	4f(b) 6c	1.17(a)(1) 1.17(a)(4) 1.10(d)(1) 1.12(a)(1) 1.12(a)(2) 1.12(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; REG. REVOKED AS AP.
HERNANDEZ, JOSE	88-2185	SD FL	01/25/90	4b 4c(b) 9(a) 4k 4g(1) 4n(3)	33.10 3.12 3.16 1.31 1.35 4.23 4.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
HERNANDEZ, ROBERT PHILLIP	86-2	CFTC	09/10/86	4b(A) 4o(1) 4n(3)(A)	1.31 4.23 4.32		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRADING PRIVILEGES REVOKED.
HERNANDEZ, SAMUEL J.	88-2185	SD FL	12/14/89	4b 4c(b) 4g(1) 4n(3)	33.10 1.31 1.35 4.23 4.32 166.3	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HERNANDEZ, SAMUEL J.	90-2	CFTC	12/01/89	4b 4c(b)	1.31 1.35		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g(1) 4n(3)	4.23 4.32 33.10 166.3		REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION.
HERR, ALAN	82-2173	SD NY	09/13/82 11/21/83	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.17 1.10c 1.10d 1.14 1.20 4.20(c) 4.21(a) 4.21(b) 4.21(c) 4.22 4.24	PERMANENT INJUNCTION	DISGORGEMENT.
HERR, ALAN	83-5	CFTC	03/30/84	4b(A) 4n(1) 4n(2) 4o(1) 4d(1) 4d(2) 4n(4)	1.10c 1.10d 1.14 1.7 1.20 4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
HERR, HERB	80-0689	SD NY	12/20/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
HERR, HERB	8202173	SD NY	09/13/82 11/21/83	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.17 1.10c 1.10d 1.14 1.20 4.20(c) 4.21(a) 4.21(b) 4.21(c) 4.22 4.24	PERMANENT INJUNCTION	DISGORGEMENT.
HERR, HERB	83-5	CFTC	03/30/84	4b(A) 4n(1) 4n(2) 4o(1) 4d(1) 4d(2) 4n(4)	1.10c 1.10d 1.14 1.7 1.20 4.20(c) 4.21 4.22		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					4.24		
HERZBER, MELVIN	82-23	CFTC	05/16/83	6(b) 4f(1) 4k(1) 4d(2) 4f(2) 4b(2)	1.10(a)(1) 1.20(a) 1.32 1.17(a)(1) 1.10(b) 1.10(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HERZBERG, MELVIN	80-3952	SD NY	10/22/80	4d(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS.
HESSAR ALLIANCE INCORPORATED	03 CV 7112	SD NY	8/24/2004			PERMANENT INJUNCTION	RESTITUTION OF \$2,185,000.
HESSE, MICHAEL THOMAS	91-C-1707	D CO	05/19/92	4b(A) 4o	4.20(b) 4.20(c)	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; DISGORGE AND RETURN \$15,000.
HESSEE, KEVIN LEE	92-8529	SD FL	09/24/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	
HESSEE, KEVIN LEE	94-3	CFTC	10/21/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; NEVER SEEK OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NEVER BE ASSOCIATED WITH ANY COMMISSION REGISTRANT; COOPERATE WITH THE COMMISSION.
HESTERMAN, WILLIAM B. JR.	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
HEWITT, PAUL J.	SD-90-5	CFTC	11/26/90				REG. REVOKED AS CTA.
HEYBURN, DENNIS	SACV02-173	CD CA	2/28/02	4b(a)(i) 4b(a)(iii) 4(a)	1.1(b)(1)	COMPLAINT FILED	
HILBURN, RODGER	80-1	CFTC	11/10/80	4c(c) 4c(b)	32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HILBURN, RODGER DON	85-1555	ND CA	03/30/88	4(a) 4b(a) 4b(c)		PERMANENT INJUNCTION	
HILL, JOSEPH T.	78-14	CFTC	05/03/78				REG. DENIED AS AP.
HINDLEY, RICHARD	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
HINES, BILLY HUGH	79-29	CFTC	04/09/80	4c(c)	32.1		CEASE & DESIST ORDER.
HING, JOHN ONG	01-01	CFTC	7/25/03	4b(a)(i) & (iii)	1.12(b) & (g) 166.3	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$220,000; REGISTRATION REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HINSHAW, DOUGLAS D.	88-18	CFTC	02/27/90	4b(A)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HIRSCHBERG, JUDD BLAIR	SD-91-7	CFTC	12/27/95				REG. REVOKED AS FB; 10-YEAR PROHIBITION AGAINST REG. WITH COMMISSION VACATED.
HIRSCHY, PIERRE ALAIN	85-12	CFTC	01/06/86	4b(A) 6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000,000; TRADING PRIVILEGES REVOKED.
HIX, JOHN D.	78-47	CFTC	08/28/78				REG. REVOKED AS AP.
HOBBS, EVERETT SCOTT	96-5946	ED CAL	09/05/96	4b(a)(i) 4b(a)(ii) 4o(1)(A) 4o(1)(B) 4m(1)	4.20(a) 4.20(b) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED.
HOFFBERG, BUFF AARON	93-C-3106	ND IL	12/23/94	4b(a)(i) 4o(1) 4m(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ENJOINED FROM ACTING IN ANY CAPACITY AS A CTA, CPO, FCM, LTM, IB, FB, FT, OR AP.
HOFFECKER, CHARLES PAUL	92-6692	SD FL	05/03/93 02/21/96	4b 4c(b)	33.7(f) 33.10	PRELIMINARY INJUNCTION	FREEZE LIFTED; CFG TO TRANSFER \$150,000 TO A TRUST ACCOUNT; VACATE ORDER DENYING PERMANENT INJUNCTION AND REMAND.
HOFFMAN, CHARLES JR.	78-59	CFTC	09/22/80				REG. DENIED AS AP.
HOFFMAN, PETER D.	99-9	CFTC	03/30/99	4b(A) 4m 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; SHALL NOT APPLY FOR REGISTRATION IN ANY CAPACITY.
HOFFMAN, ROBERT P.	96-08202	SD FL	09/29/99	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4k(1) 4k(2) 4d(1) 4d(2) 4m(1) 9(a) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; DISGORGEMENT OF \$55,940.44.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HOFMANN KAVANAUGH COMMODITY CORPORATION	77-3928	CD CA	10/31/77	4d(2) 4f(2)	1.17 1.20(a)	PERMANENT INJUNCTION	
HOFMANN KAVANAUGH COMMODITY CORPORATION	80-2	CFTC	03/03/83	4f(2) 4g(1) 4d(2)	1.17(b)(1) 1.10(f) 1.20(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
HOGGE, MARTIN J.	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
HOLD-TRADE, INC. a/k/a HOLD TRADE, LTD.	99-4	CFTC	2/11/2004	4b(a)(i)-(iii) 2(a)(1)(B)		COMMISSION ORDER	CEASE & DESIST; JOINTLY OWED CIVIL MONETARY PENALTY OF \$250,000 AND RESTITUTION OF \$276,557 PLUS POST JUDGMENT INTEREST WITH KYLER F. LUNMAN, II. TO BE PAID PURSUANT TO PAYMENT PLAN; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; NFA DESIGNATED AS MONITOR.
HOLLANDER, FREDERICK N.	93-1567	SD FL	02/25/94	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	COOPERATE WITH THE COMMISSION.
HOLLANDER, FREDERICK N.	94-11	CFTC	03/01/94	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NEVER SEEK OR ACT IN CAPACITY REQUIRING REGISTRATION; NEVER BE ASSOCIATED WITH ANY REGISTRANT; COOPERATE WITH THE COMMISSION.
HOLLENBAUGH, JOHN	1:04CV1403	ND OH	7/22/2004			COMPLAINT FILED	
HOLLOCKER, STEWART W.	82-44	CFTC	01/23/86	4k	1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
HOLMES, TONY	79-28	CFTC	10/15/80	4c(b)	32.3(b)(1)		CEASE & DESIST ORDER.
HOLSTON, YOUNG, PARKER & ASSOCIATES	03 CV 1796	ND NY	5/23/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
HOLT, ANTHONY L.	97C7061	ND IL	1/30/01	4m(1) 4o(1)(B) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; CIVIL MONETARY OF \$50,000 – PAYMENT PLAN FOR 10 YEARS; MAY NOT SEEK REGISTION OR EXEMPTION FROM REGISTION WITH COMMISSION; AMENDED COMPLAINT AND OTHER RELIEF DISMISSED WITH PREJUDICE.
HOLT, RONALD STEPHEN	CV 03 1826	D AZ	7/27/2004			CONTEMPT ORDER	CONTEMPT ORDER ENTERED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HOMOLKA, KATHLEEN D.	89-25	CFTC	08/03/90	4a(5)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY.
HON, EDMOND	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	
HONG, TONY	92-259	ED NY				COMPLAINT FILED	
HORN, SIMON PETER	92-443E(M)	SD CA	01/14/93	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JANET RANSON APPOINTED PERMANENT RECEIVER; DISGORGE \$541,856.79; SUM WILL NOT BE DISCHARGABLE IN BANKRUPTCY.
HORNBLOWER, WEEKS, NOYES AND TRASK, INC.	81-7	CFTC	02/09/81	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$6,000 JOINTLY OWED.
HOROWITZ, ALAN LEE	91-23	CFTC	03/31/92	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; REG. REVOKED AS AP; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY, NOR ENGAGE IN ANY ACTIVITIES REQUIRING REGISTRATION.
HOUGE, RICHARD	99-6	CFTC	3/9/00	4(a) 4c(b) 4d(1)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
HOUSTON SYSTEM TRADING, LLC	00-24	CFTC	6/29/00	4o(1) 4k 4m(1) 4b(a)(i) 4b(a)(iii) 4n(4)	4.41(a) 4.41(b) 3.12 4.22 4.20 4.23 4.21 4.31 4.33	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION.
HOWARD, YDIYELL	00 C 7344	ND IL	3/27/02	4b(a)(i) 4b(a)(iii)	166.2	PERMANENT INJUNCTION	JOINT OWED RESTITUTION OF \$91,975 PLUS PRE JUDGMENT INTEREST; DISGORGEMENT OF \$33,500; CIVIL MONETARY PENALTY O F \$55,000 PURSUANT TO A PAYMENT PLAN.
HOWE, JOHN FARWELL III	76-4051-H	D MA	11/11/76	4c(b)	30.01	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(2) 4f(2) 4g(1) 4o(1)	1.17 1.20 1.31 1.32 1.33		
HOWE, ROSE M.	83-44	CFTC	10/29/85	4n(1) 4n(2)	1.10(c) 1.10(d) 1.14 3.13 3.31		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
HOWE, WILLIAM A.	79-1071	D MA	06/15/79	4d(2) 4f(2) 4g(1)	1.17a(1) 1.18 1.20(a) 1.31(a) 1.32 1.34 1.35	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
HOWE, WILLIAM A.	83-44	CFTC	10/29/85	4b(A) 4b(B) 4n(1) 4n(2) 4n(3) 4n(4) 4o(1)	1.10 1.14 3.13 3.31 1.10d 4.21 4.22 4.23 4.23(b) 4.31		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; APPEALED; SANCTIONS NOT STAYED BY 1 ST CIR.; AFFIRMED ON APPEAL TO 1 ST CIRCUIT 10/29/86.
HOWE, WILLIAM A.	84-768N	D MA	03/26/84			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
HOWELL, BOBBY J.	78-2240	WD TN	12/02/80				TO JOINTLY PAY \$25,806.74 TO RECEIVER.
HOWELL, BOBBY J.	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;
HOWELL, BOBBY J.	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
HOY, ROGER MARTIN a/k/a ROGER MARTIN	99-CV-1184	D. MINN.	2/8/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4o	33.10 4.33(a)(7) 4.41(a)	PERMANENT INJUNCTION	NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS JOINTLY & SEVERALLY OWE RESTITUTION OF \$120,000 AND CIVIL MONETARY PENALTY OF \$65,000; SHALL COMPLY W/ UNDERTAKINGS.
HOYT, NANCY	CV 03 603	D OR	8/25/2004	4b(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$120,000 PLUS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4(a)			PRE & POST JUDGMENT INTEREST; CONTINGENT CIVIL MONETARY PENALTY OF \$240,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
HSU, DAVID	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
HSU, DAVID	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
HSU, GRACE	98-10	CFTC	04/06/99	4b(a)(i)	166.2 1.55(a)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HSU, RUBY	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
HSU, RUBY	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
HUCKMAN, FRED	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
HUDDLESTON, MARY HUNT	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUDKINS, STEVEN D.	3:98CV0281AS	N.D. IND.	1/12/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a)(1) 4.20(c) 4.21 4.24	PERMANENT INJUNCTION	DISGORGEMENT OF \$592,395; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY OWE RESTITUTION OF \$606,830 WITH BEMILLER PLUS PRE-JUDGEMENT INTEREST OF \$53,327; SHALL NOT SEEK REGISTRATION W/ COMMISSION; ADDITIONAL; RESTITUTION OF \$255,175.
HUGHES, SHELDON	77-2	CFTC	02/29/80	4f(2) 4g	1.17 1.35		CEASE & DESIST ORDER; REG. REVOKED AS AP.
HUMPHERYS, VAUGHN E.	79-25	CFTC	02/04/81	4g	1.37		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 48 MO.; REG. REVOKED AS AP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HUNSUCKER, BOBBY JOE	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
HUNT HOLDINGS, INC.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, DOUGLAS	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, HOUSTON B.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, JOSEPH	86-5457	CD CA	01/12/87	4m 4o(1)		PERMANENT INJUNCTION	
HUNT, NELSON B.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS EXCEPT FOR HEDGING.
HUNT, NELSON BUNKER	77-1489	ND IL	07/21/81	4a		PERMANENT INJUNCTION	TO DISSEMINATE JUDGMENT TO CHILDREN AND THEIR SPOUSES.
HUNT, NELSON BUNKER	85-12	CFTC	12/20/89	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000,000; TRADING PRIVILEGES REVOKED.
HUNT, W. H.	77-1489	ND IL	07/21/81	4a		PERMANENT INJUNCTION	TO DISSEMINATE JUDGMENT TO CHILDREN AND THEIR SPOUSES.
HUNT, W. H.	78-7	CFTC	07/21/81	4a	150.4		PEN. AMNT.: \$500,000 JOINTLY OWED; PROHIBITED FROM TRADING SOYBEAN FUTURES FOR 2 YEARS.
HUNT, WILLIAM HERBERT	85-12	CFTC	12/20/89	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000,000; TRADING PRIVILEGES REVOKED.
HUNTER, NOREEN JUDITH	88-16	CFTC	04/25/89	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
HUSSAIN, SYED	98-2	CFTC	07/15/99	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; NOTICE OF EFFECTIVE DATE; MAY 18, 1999 ALJ DEFAULT JUDGMENT BECAME THE FINAL ORDER OF THE COMMISSION ON 7/1/99.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HUTCHERSON, MARK	99-7	CFTC	2/4/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS AP REVOKED; PENALTY AMOUNT \$10,000; RESTITUTION OF \$11,097,793; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
HUTCHINSON, NORMAN E.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
HYMAN, ALBERT	78-40	CFTC	06/22/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
IACIOFANO, DOMENIC	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
IACIOFANO, DOMENIC F.	79-51	CFTC	02/27/81				REG. DENIED AS AP.
IAGROSSI, NANCY	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
IAM, INC.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
IANNOTTI, FRANK M.	92-00361	D CT	08/06/92	4(a)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; THE COURT ALSO RESCINDED ALL OUTSTANDING CONTRACTS.
IANNUZZI, ANTHONY	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
IANNUZZI, ANTHONY	03 CV 9129	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ROSNER APPOINTED TEMPORARY RECEIVER.
IB BROKERAGE	93-2765	SD NY	01/29/96	4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN, ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
IBB INC.	93-2765	SD NY	01/29/96	4d(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN, ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
IBS, INC. (A NORTH CAROLINA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
ICELAND MANAGEMENT SERVICES, INC.	03-2659 TJH	CD CAL	4/16/03	4b(a)(2) 4c(b) 4o(1) 4m(1) 4n(4)	33.10 PRELIMINARY	COMPLAINT FILED	
ICELAND MANAGEMENT SERVICES, INC.	03-2659 TJH	CD CAL	12/13/2004	4b(a)(2)(i)&(i) ii) 4c(b) 4o(1)(A)&(B)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$1,950,000 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; ASSET FREEZE LIFTED.
IDE INTERENATIONAL	80-0689	SD NY	07/19/82	4b		PERMANT INJUNCTION	
ILK, MARK RICHARD	90-32	CFTC	09/22/92	4b(A)	166.2		CEASE & DESIST ORDER; MAY NEVER SEEK REGISTRATION IN ANY CAPACITY WITH THE COMMISSION.
ILK, MARK RICHARD	92-13	CFTC	11/05/92	4c(b) 4k(2)	4.31(a) 4.31(f)(1) 33.10 166.3		CEASE & DESIST ORDER; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
IMC TRADING, INC. (A NEVADA	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i)		PRELIMINARY	ACCESS BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORP.)				4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IMC TRADING, INC. (A NORTH CAROLINA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IMC TRADING, INC. (AN ARIZONA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PRELIMINARY	INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
IMPERIAL OPTIONS, LTD.	77-7	CFTC	06/21/78				REG. DENIED AS CTA & FCM.
INAMDAR, ANAND K.	CV 04 3081	ED NY	12/20/2004		PRELIMINARY	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$20,000 JOINTLY OWED IN TWO INSTALLMENTS; SHALL COOPERATE WITH COMMISSION'S PROSECUTION OF THE CASE AGAINST DEFENDANTS TRADEWINS & SCHMIDT.
INCOMCO, INC.	80-25	CFTC	10/02/84				CONSOLIDATED WITH DOCKET 82-20.
INCOMCO, INC.	80-3103	SD NY	07/29/81	4d(2) 4f(2) 4g 4i	1.20(a) 1.17(a) 1.31 1.35	PERMANENT INJUNCTION	
INCOMCO, INC.	80-4399	SD NY	07/29/81				CONSOLIDATED WITH 80-3103 (S.D.N.Y. 1980).
INCOMCO, INC.	82-20	CFTC	05/12/86	4d(2) 4f(1) 4f(2) 6(b)	1.10 1.12 1.17 1.20(a) 1.22 123 1.27(a)		CEASE & DESIST ORDER; APPEALED.
INDEX FUTURES GROUP, INC.	92-28	CFTC	09/29/92	9(a) 4d(2)	1.20 1.22	COMPLAINT FILED	PEN. AMNT.: \$100,000.
INDEX SERVICES, INC.	85-23	CFTC	12/29/86	4b(A)	3.31		CEASE & DESIST ORDER;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(b) 4n 4o	4.31(a) 4.31(b) 4.31(f) 4.41(a) 4.41(b) 33.3(a) 33.10(a) 33.10(c)		TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA.
INDIHAR, MICHAEL	96-08202	SD FL	06/25/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)(A) 4o(1)(B) 4d(1) 4d(2) 4m(1) 4k(1) 4k(2) 9(A) 4n	1.20(a) 4.20(c) 3.12(a) 4.21 4.24 4.26 4.22 4.23 4.25	PERMANENT INJUNCTION	RESTITUTION OF \$24,309 PLUS PRE-JUDGMENT INTEREST; BASED UPON DEFENDANTS SWORN FINANCIAL DISCLOSURE STATEMENT, THE COURT IS NOT ORDERING THE PAYMENT OF THE RESTITUTION AMOUNT AND A CIVIL MONETARY PENALTY UPON DEFENDANTS; DEFENDANTS SHALL SIGN ACKNOWLEDGEMENTS OF SERVICE OF ORDER AND SERVE ON COMMISSION WITHIN 7 DAYS.
INFINITE TRADING GROUP, LLC	1:01-cv-1107	ND GA	3/27/03	4c(b)	32.9 32.5 32.11 33.3 32.8	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$660,000 TO BE PAID WITHIN 30 DAYS; RESTITUTION OF \$219,250 TO BE PAID WITHIN 30 DAYS OF ORDER DATE PLUS PRE-JUDGMENT INTEREST.
INGWERSON, MICHAEL	03-19	CFTC	7/11/03	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$59,000 TO BE PAID WITHIN TEN DAYS; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
INTERBROKERS USA, INC.	89-2324-1	D SC	02/16/93	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	
INTERCO	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
INTERCO II	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
INTERCONTINENT COMMODITY	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ADVISORS, INC.					4.23 4.32		RECORDS; CHARGED WITH CIV. CONTEMPT.
INTERCONTINENTAL FOREIGN EXCHANGE, LTD.	90-192	D CO	12/02/91	4m(1) 4o 4b(A) 4b(B) 4d(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; DISGORGE \$405,961.86 MINUS ANY PAYMENT MADE TO THE STATE OF ARIZONA FOR RESTITUTION TO CUSTOMERS; RECEIVER MAY BE APPOINTED.
INTERNATIONAL ADVANCED INVESTMENTS, INC.	CIV-PJM-98-3316	D. MD	10/27/99	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE ASSETS; STOP SOLICITATION; RESTITUTION & DISGORGEMENT OF \$5,264,251 PLUS PRE AND POST JUDGEMENT INTEREST; CIVIL MONETARY PENALTY OF \$15,792,753 PLUS PRE AND POST JUDGEMENT INTEREST; SHALL NOT SEEK APPLICATION FOR REGISTRATION.
INTERNATIONAL BULLION CLEARING CORPORATION	81-CA12	WD TX	02/22/89	4c(b) 4c(c) 4m	32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN ANY BUSINESS ACCEPTING, CONFIRMING OR EXECUTING COMMODITY OPTIONS CONTRACTS; ENJOINED FROM VIOLATING TEXAS DECEPTIVE TRADE PRACTICES – CONSUMER PROTECTION ACT.
INTERNATIONAL BULLION CORPORATION	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
INTERNATIONAL BULLION SERVICES (BAHAMAS), INC.	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
INTERNATIONAL CLEARING EXCHANGE	81-CA12	WD TX	12/15/82 02/22/89	4c(c) 4c(b)	32.9	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; SEE INTERNATIONAL BULLION CLEARING CORPORATION.
INTERNATIONAL COAL CORPORATION	81-2250-W	WD TN	05/06/86	4 4b(A)		PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(C) 4o(1)			
INTERNATIONAL COMMODITIES CORPORATION	77-3864	CD CA	06/12/79	4c(b) 4i 4g 4o	1.35(a) 32.7 32.9 32.5 1.31	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION.
INTERNATIONAL COMMODITIES CORPORATION	79-7	CFTC	04/22/83	4c(b) 6(b) 4g 4g(1) 4f(1) 4f(2) 4d	32.9 32.5 1.31(a) 1.35 32.7 1.17(b) 1.20 32.6 1.23 1.18 1.10(f) 1.32		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
INTERNATIONAL COMMODITY ADVISORS, INC.	76-19	CFTC	12/27/76	4b 4o(1) 4m			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. DENIED AS CTA.
INTERNATIONAL COMMODITY INVESTMENT INC.	78-6508	SD FL	02/06/79	4d(2) 4f(2)	1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
INTERNATIONAL COMMODITY OPTIONS, LTD.	78-2	CFTC	07/03/79	4c(b)	32.3		CEASE & DESIST ORDER; REG. DENIED AS FCM.
INTERNATIONAL CURRENCY EXCHANGE, INC.	79-03851	CD CA	09/21/82	4c(c) 4c(b)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
INTERNATIONAL CURRENCY MERCHANTS INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
INTERNATIONAL CURRENCY STRATEGIES, INC.	01-8350	SD FL	7/15/02	4c(b)	32.9 32.11 33.3 32.5 4.14(a)(9)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$734,545.99.
INTERNATIONAL DYNAMICS, INC.	84-29	CFTC	05/28/85	4m(2)	1.10c 1.10d 1.14		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED.
INTERNATIONAL FINANCIAL SERVICES (NEW YORK) LLC	02 CIV 5497	SD NY	5/26/2004	4(a) 4b(a)(2)(C)(i)) & (iii)	1.1(b)(1) & (3)	FINAL JUDGMENT	RESTITUTION & DISGORGEMENT OF \$25,428,840 AND CIVIL MONETARY PENALTY OF \$76,286,520 PLUS POST

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
INTERNATIONAL FOREIGN CURRENCY, INC. d/b/a INTERNATIONAL FOREIGN CURRENCY EXCHANGE, and I.F.C. TRADING, INC.	CV 03 3577	ED NY	7/23/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
INTERNATIONAL FUNDING ASSOCIATION, INC.	CV 03 1826 PHX	D AZ	9/18/03	4b(a)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
INTERNATIONAL FUTURES CORPORATION	98-16	CFTC	02/25/99	4b(a) 4o(1)(A) 4o(1)(B) 4m	4.31(a) 4.31(b) 4.33(a)(7) 4.36(d)(1) 4.41(a) 4.41(b)		CEASE & DESIST ORDER; REG. REVOKED AS IB.
INTERNATIONAL GOLD BULLION EXCHANGE, INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
INTERNATIONAL GOLD EXCHANGE INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
INTERNATIONAL GRAIN, LTD.	83-C-4994	ND IL	10/14/83	4g(1) 4b(A) 4b(B) 4b(D) 4d(1) 4d(2)	166.2 1.20(a) 1.31(a) 1.35	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
INTERNATIONAL INVESTMENT GROUP, LTD.	99-6560-CIV	S.D. FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841. SHALL NOT SEEK REGISTRATION W/ COMMISSION.
INTERNATIONAL INVESTORS TRADING GROUP, INC.	01-7402	SD FL	8/23/2004			DEFAULT ORDER	RESTITUTION OF \$1,880,145 AND CIVIL MONETARY PENALTY OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$5,640,435 JOINTLY OWED.
INTERNATIONAL METALS INVESTMENT CO., LTD.	85-12	CFTC	04/30/91	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED.
INTERNATIONAL MONETARY GROUP, INC.	5:01CV1496	ND OH	4/30/02	4c(b) 4m(1) 4o(1) 4k(2) 4n(4)	32.9 32.11 33.3 32.5 3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	TRADING PROHIBITION.
INTERNATIONAL PETROLEUM EXCHANGE, INC.	80-0689	SD NY	07/19/82	4b		PERMANENT INJUNCTION	
INTERNATIONAL PRECIOUS METALS CORPORATION	83-17	CFTC	12/21/82	4o(1)	31.03 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.
INTERNATIONAL ROYAL INVESTORS LTD.	79-1663	SD NY	01/26/81	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
INTERNATIONAL SILVER BULLION EXCHANGE CORP.	84-10501	ND IL	09/16/85	4o(1) 4(a)(1) 4(a)(2) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATING ILLINOIS CONSUMER FRAUD & DECEPTIVE BUS. PRACTICES ACT.
INTERNATIONAL SILVER BULLION EXCHANGE CORP.	85-26	CFTC	09/13/85	4(a)(1)(4(a)(2) 4b(A) 4o(1)			CEASE & DESIST ORDER.
INTERNATIONAL TRADING GROUP	89-5363	CD CA	03/05/91	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
INTERNATIONAL TRADING GROUP OF IOWA	89-5363	CD CA	04/03/90	4c(b)	32.9 33.10 166.3	PERMANENT INJUNCTION	
INTERNATIONAL TRADING GROUP OF IOWA	90-9	CFTC	03/27/90	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
INTERNATIONAL TRADING GROUP, LTD.	91-5	CFTC	03/05/91	4c(b)	32.9 33.10 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; NEVER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TO APPLY FOR REGISTRATION WITH THE COMMISSION.
INTERNATIONAL TRADING SYSTEMS, AUSTRALIA PTY, LIMITED	00-28	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED; SHALL COMPLY W/ UNDERTAKINGS.
INTERNATIONAL TRADING SYSTEMS, LTD.	00-28	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED; SHALL COMPLY W/ UNDERTAKINGS.
INTERSTATE SECURITIES CORPORATION	87-19	CFTC	06/01/92	4b(A)	166.3		PEN. AMNT.: \$100,000; TENTATIVE PENALTY MADE FINAL ON 12/16/92.
INTERTRADE FOREX, INC.	6:03-cv-119	MD FL	12/15/2004	4(a) 4b(a)(2)(i)	1.1(b)(1) & (3)	DEFAULT ORDER	RESTITUTION OF \$434,097.17 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; PROTECT BOOKS & RECORDS; ALL PRIOR FREEZE ORDERS DISSOLVED.
INTERVEST COMMODITIES INCORPORATED	81-11	CFTC	05/22/81	4c(b)	32.9		CEASE & DESIST ORDER; NOT TO REAPPLY FOR REGISTRATION AS FCM.
INTERVEST COMMODITIES, INC.	78-1692	SD FL	05/25/81	4c(b)	32.9	PERMANENT INJUNCTION	
INVESTMENT BANKER'S BROKERAGE	93-2765	SD NY	01/29/96	4(d)(1) 4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RICHARD E. NATHAN ESQ. APPOINTED AS RECEIVER; ALL CONTRACTS RESCINDED.
INVESTORS FREEDOM CLUB, L.C.	8:03-CV-54-T	MD FL	1/13/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
INVESTORS INTERNATIONAL INC.	78-64	CFTC	09/17/81	4d(1) 4k	1.7		CEASE & DESIST ORDER; REG. DENIED AS CTA & CPO.
IOWA STATE BANK AND TRUST CO.	4-96-70005	A	11/07/96				PAY RESTITUTION OF \$521,804.85 PLUS INTEREST OF \$44,561.41 FOR DISTRIBUTION TO CUSTOMERS.
IP, YUN SANG	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REG. REVOKED AS AP.
IP, YUNG SANG	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
IPEC EQUITIES CORPORATION	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
ISB CLEARING CORPORATION	03 CV 9127	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
ISB CLEARING CORPORATION	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
ISLES, CARMEL E.	93-8242	SD FL	01/13/94	4b 9(a) 4d		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; DISGORGE AT LEAST \$560,000 (JOINT WITH CIBA); PROHIBITED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION; 7/26/94 ORDER OF CONTEMPT.
ITRADECURRENCY USA, LLC	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
ITRADECURRENCY USA, LLC	03 CV 9129	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
ITZKOWITZ, DAVID	86-3	CFTC	04/29/86	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; NOT TO REAPPLY FOR REGISTRATION AS FB FOR 1 YEAR.
ITZKOWITZ, DAVID	SD-00-03	CFTC	6/9/00			ALJ ORDER	FB REGISTRATION REVOKED; BECAME FINAL ORDER OF COMMISSION ON 7/10/00.
ITZKOWITZ, DAVID	SD-95-20	CFTC	07/25/95				FB REGISTRATION CONDITIONED FOR 2 YEARS.
IV GREAT RIVER CORP.	98-5	CFTC	01/23/98	4b(a) 4(d)(1)	1.20(c) 1.33		CEASE & DESIST ORDER; RESPONDENTS' RESTITUTION IS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4(d)(2) 4k(1) 9(a)(1)	1.55 3.12		WAIVED IN LIGHT OF FINANCIAL CONDITION.
IZDEBSKI, RICHARD	88-18	CFTC	06/07/88	4b(A) 4k(1) 6(b)	1.31(a) 3.15 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION OR BECOME PRINCIPAL OF ANY ENTITY REQUIRING REGISTRATION FOR 15 YEARS.
J. S. LOVE & ASSOCIATED OPTIONS, LTD.	76-928	SD NY	03/01/76	4c(b) 4m 4o	30.01	PERMANENT INJUNCTION	RECEIVER APPOINTED.
J. S. LOVE & ASSOCIATES CONSULTANTS, INC.	76-928	SD NY	03/01/76	4c(b) 4m 4o	30.01	PERMANENT INJUNCTION	RECEIVER APPOINTED.
J. TRADERS, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
J.P.M. INDUSTRIES INC.	SD-87-3	CFTC	12/18/90				REG. REVOKED AS CPO
J.P.M. INVESTMENTS, INC.	99-C-2357	ND IL	04/12/99 05/28/99			STATUTORY RESTRAINING ORDER	ORDER AMENDING THE 4/12/99 STATUTORY RESTRAINING ORDER.
J.P.M. TRADING COMPANY, INC.	SD-87-3	CFTC	12/18/90				REG. REVOKED AS IB & CTA.
J.P.M.R., INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
J.R. SIMPLOT, CO.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 72 MO.
J.S. CAMPBELL AND COMPANY	88-24	CFTC	11/30/89	4b(A) 4b(B) 4b(C) 4o(1) 4d(1) 4d(2) 9(a)	1.20		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 240 MO.
JACK CARL ASSOCIATES, INC.	88-5	CFTC	01/21/88	4k			CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
JACKAM, KEVIN	99-7	CFTC	07/29/99	4c(b)	33.10 166.3		CEASE & DESIST ORDER; TRADING PROHIBITION; RESTITUTION OF \$200,000 PLUS PRE-JUDGMENT INTEREST; SHALL IMMEDIATELY COMPLY WITH UNDERTAKINGS; CIVIL MONETARY PENALTY NOT IMPOSED BASED ON SWORN FINANCIAL STATEMENT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
JACOBSEN, ELLIOTT	80-0421	SD NY	06/21/83	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.20(c) 4.21(a) 4.22(a) 4.23	PERMANENT INJUNCTION	
JADERBORG, RONALD T.	79-6	CFTC	05/29/79	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP.
JAMELL, SALEM F.	87-16	CFTC	09/22/87	4b(A)	4.13(b)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$500; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 1 MO. OR LESS.
JAMES BROWN MONTFORT	SD-91-4	CFTC	01/22/92	8a(3)(G) 8a(3)(N) 8a(4)			REG. DENIED AS CTA; MAY NOT APPLY TO REGISTER FOR 5 YEARS, BUT MAY APPLY FOR CONDITIONAL REGISTRATION IN 2 YEARS.
JAMES T. MCKERR & COMPANY	86-20	CFTC	11/17/87	4d(2) 4f(2)	1.20(a) 1.23 1.32 1.35(a) 1.17 1.27(a) 1.36(a) 1.36(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,500.
JAMES TIMPSON AND ASSOCIATES, INC.	86-1342TCM	SD CA	09/14/87	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
JAMES, DONALD E., individually and d/b/a FRANKLIN THOMAS & COMPANY	1:99-cv-0967	N.D. GA	5/8/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1) 4n(4)	4.22 4.20(c) 4.21	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$3,331,538.02 PLUS PRE-JUDGEMENT INTEREST OF \$227,640.52.; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL NOT ACT AS PRINCIPAL, EMPLOYEE, OFFICER OR AGENT OF ANY PERSON REGISTERED, EXEMPTED FROM REGISTRATION OR REQUIRED TO BE REGISTERED UNDER THE ACT.
JANKOWSKI, CHRISTOPHER A.	79-16	CFTC	04/21/86	4f 4b(A) 4g 4d(1) 4d(2) 4b(B) 4b(C) 4b(D)	1.10(b) 1.18(a) 1.10(d) 1.20(a) 1.10(f) 1.35 1.17(a) 1.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4h(2) 4k 4	1.38 1.23 1.32		
JANSON, DAVID HERMAN	02-11	CFTC	5/22/02	4c(a)	1.56(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000.
JARBOE, JAMES P.	80-19	CFTC	06/16/81	4d(2) 4g 9(b) 6(b) 6(c) 13(a)	1.20(a) 1.23 1.37 17.01		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
JARVIS, THOMAS	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
JAWHARI, NIZAR HASSAN	86-H-4366	SD TX	03/09/87 03/28/87 12/02/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES AND DECEPTIVE TRADE PRACTICES LAWS; TO PAY TO THE STATE OF TEXAS \$10,000 PENALTY AND \$10,000 JOINTLY FOR COSTS CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; MUST PAY RECEIVER AMOUNT SPENT IN VIOLATION OF COURT ORDER.
JCC, INC.	83-43	CFTC	01/14/97				REGISTRATION PREVIOUSLY REVOKED IN 89-4.
JCC, INCORPORATED	89-4	CFTC	09/15/95	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; REG. REVOKED AS FCM; AFFIRMED (11 TH CIR.)
JDI LIMITED INC. D/B/A/ FUTURE VISION	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(i)			REGISTRATION; ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITY TRADING ADVICE; CONTROLLING ANY COMMODITY TRADING; BEING EMPLOYED BY ANY BUSINESS THAT PROVIDES COMMODITY FUTURES OR OPTIONS PROGRAMS; ALSO ENJOINED FROM VIOLATING FLORIDA DECEPTIVE & UNFAIR PRACTICES ACT AND FROM OPERATING A BUSINESS IN FLORIDA.
JDM INVESTMENTS	1:03 CV 149	MD NC	6/20/03	4b(a)(2)(i)-(iii)	1.1(b)	COMPLAINT FILED	
JEBROCK, MICHAEL	87-2591HAA	D NJ	07/18/88 11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
JEFFERSON NATIONAL INVESTMENT CORPORATION	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
JENSEN, DANIEL E.	SD-94-9	CFTC	09/09/94				REG. DENIED AS FB.
JEWETT, EUGENE LYON II	97-7	CFTC	05/08/97	4d(1) 4d(2)	1.33(a) 1.33(b) 1.55 33.7		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; RESTITUTION ORDERED; SINCE INITIAL DECISION NOT APPEALED OR REVIEWED INDEPENDENTLY, IT BECAME COMMISSION FINAL ORDER ON 6/9/97.
JIA, JAMES	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
JMK CAPITAL MANAGEMENT, INC.	C-1-01-212	SD OH	12/18/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	4.20(c) 4.21	PERMANENT INJUNCTION	
JNW MANAGEMENT	1:00 CV 0300	ND IN	8/24/03	4k(2) 4o(1)(B)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; JOINTLY OWE CIVIL MONETARY PENALTY OF \$110,000 AND DISGORGEMENT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OF \$100,182.90 TO BE PAID WITHIN TEN DAYS.
JOE MILLER COMPANY d/b/a IMC TRADING (A CALIFORNIA CORP.)	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
JOHANNING, JEROME B.	87-13	CFTC	05/11/88	4b(D) 4c(a)(A) 4c(a)(B)	1.38(a) PRELIMINARY		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION FOR 1 YEAR.
JOHN C. NAYLOR & ASSOCIATES	80-27	CFTC	01/09/84	4b 4d 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
JOHN C. NAYLOR CORPORATION	80-27	CFTC	01/09/84	4b 4d 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
JOHN C. NAYLOR GROUP	80-27	CFTC	01/09/84	4b 4d 4h			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
JOHN F. DURKIN AND COMPANY, INC.	82-43	CFTC	05/02/84	4b 4m 4n 4o(1)	4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CTA & CPO; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
JOHN J. MULLER ASSOCIATES, INC.	77-22	CFTC	08/02/82				REG. DENIED AS FCM.
JOHN R. SIMPLOT COMPANY	78-25	CFTC	03/07/78				CONSOLIDATED WITH 77-13; SEE J. R. SIMPLOT CO.
JOHNSON, COREY	00-35	CFTC	7/8/02	4c(b)	33.10 166.3	ALJ ORDER	DEFAULT ORDER; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000.
JOHNSON, DAVID G.	1:00 CV 0300	ND IND	2/12/03	4o(1)(B)		PERMANENT INJUNCTION	DISGORGEMENT OF \$150,000; CONTINGENT CIVIL MONETARY PENALTY OF \$150,000 PURSUANT TO PAYMENT PLAN; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY &

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SEVERALLY LIABLE WITH FERGUSON FOR RESTITUTION OF \$1,200,000 PLUS PRE-JUDGMENT INTEREST IN THE AMOUNT OF \$244,655 PURSUANT TO PAYMENT PLAN.
JOHNSON, DAVID G.	SD 03-03	CFTC	5/2/03			COMMISSION ORDER	INTRODUCING BROKER AND ASSOCIATED PERSON REGISTRATION REVOKED.
JOHNSON, DAVID G. d/b/a TRADEMASTER	1:00CV0300	ND IN	7/11/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)(A) 4o(1)(B) 4k(2) 2(a)(1)(B)	1.31 4.23	COMPLAINT FILED	
JOHNSON, EDWARD T.	04-80132	SD FL	2/10/2004	4c(b)	32.9(a) & (c)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
JOHNSON, G. VICTOR	04-29	CFTC	9/30/2004			COMPLAINT FILED	
JOHNSON, STEPHEN F.	92-5	CFTC	01/22/92		1.35(a-1)(2)		CEASE & DESIST ORDER; SUSP. AS AP 4 MO.
JOHNSON, THOMAS J.	82-34	CFTC	11/06/85	4a(2)(B) 4i	150.4 150.11 150.12 180.00		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
JOHNSON, THOMAS J.	84-2	CFTC	10/24/83				CONSOLIDATED WITH 82-34.
JOHNSON, THOMAS J.	89-8	CFTC	01/26/90	4a(2)(B) 6(b)	150.2		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
JOINER, WILLIAM H.	84-37	CFTC	05/14/84	4c(b) 4c(c)	32.11		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
JOINER, WILLIAM H. JR.	79-1085	ND TX	03/19/84	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
JONES, NICHOLAS B.	78-2	CFTC	07/03/79	4c(b)	32.3		CEASE & DESIST ORDER; REG. DENIED AS AP.
JONES, NICHOLAS B.	79-4873	SD NY	10/23/79	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
JONES, STANLEY T.	85-6	CFTC	01/13/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
JONES, TERRY EDWARD	03-15	CFTC	6/30/03	4m	4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PROHIBITED FROM TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR A PERIOD OF 2 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
JORDAN, ROBERT	83-20	CFTC	03/30/83	4a(2)(B)	150.2 150.4 150.11 150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
JOSTEN, WALTER	84-6717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
JOSTEN, WALTER S.	84-8601	ND IL	10/19/84	4b(A) 4b(C)		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
JOYCE, JOHN	02-13	CFTC	10/15/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(a)(1)	1.38 PRELIMINARY	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN 10 DAYS OF ORDER DATE; FB REGISTRATION SUSPENDED FOR 3 MONTHS BEGINNING ON 10/14/02.
JOYCE, PAUL FRANCIS	92-8529	SD FL	06/09/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	
JOYCE, PAUL FRANCIS	93-21	CFTC	06/21/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER SEEK REGISTRATION IN ANY CAPACITY REQUIRING REGISTRATION OR WORK FOR ANY REGISTRANT; COOPERATE WITH THE COMMISSION RE: RELATED PROCEEDINGS.
JPM COMMODITIES, INC.	99-C-2357	ND IL	04/12/99			STATUTORY RESTRAINING ORDER	
JPM TRADERS, INC.	99-C-2357	ND IL	04/12/99 05/28/99			STATUTORY RESTRAINING ORDER	ORDER AMENDING THE 4/12/99 STATUTORY RESTRAINING ORDER
JPM, INC.	99 C 2357	N.D. IL.	7/17/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a)(1) 4.20(c) 4.21	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; RESTITUTION OF \$49,000 PLUS \$3,693 IN PRE-JUDGEMENT INTEREST JOINTLY & SEVERALLY OWED WITH KOZIOL & J. MCGIVNEY AND POST JUDGEMENT INTEREST; DISGORGEMENT OF \$49,000 WILL BE SATISFIED THROUGH RESTITUTION PAYMENTS.
JPM2, INC.	99-C-2357	ND IL	04/12/99			STATUTORY	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
						RESTRAINING ORDER	
JSG FREIGHT SYSTEMS, INC.	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
JUDD, PAUL B.	00-13	CFTC	5/1/00	4c(b) 4o(1)	4.41(a) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENT; SHALL COMPLY W/ UNDERTAKINGS.
JUECHTER, ADAM	96-CV-2640	ED PA.	10/20/99			FINAL ORDER OF DISTRIBUTION, SUPPLEMENTING PERMANENT INJUNCTION	JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$3,000,000. ALL BUT \$77,618 IS WAIVED BASED ON PALEY & JUECHTER'S SWORN FINANCIAL STATEMENTS. PAYMENT BY PALEY, JUECHTER & AYM IN ACCORDANCE W/ RESTITUTION ORDER ENTERED IN SEC V. AYM SATISFIES DUTY TO PAY \$77,618 TO CFTC.
JUSTUS ENTERPRISES, INC.	01-01	CFTC	7/25/03	4b(a)(i) & (iii) 4m 4o(1)		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$919,174; TRADING PRIVILEGES PROHIBITED FOR TEN YEARS.
JVF INVESTMENTS, INC.	83-8018WMH	SD FL	05/12/84	4a		PERMANENT INJUNCTION	
KAHN, ELLIS K.	83-43	CFTC	02/13/97				REG. REVOKED AS CTA & CPO.
KAHN, ELLIS K.	89-4	CFTC	09/15/95	4b(A)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$510,000; REG. REVOKED AS FB & AP; AFFIRMED (11 TH CIR.)
KAHN, LARRY	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	
KALUS, ELLIOT	78-55	CFTC	05/25/79	4c(b)	32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; REG. REVOKED AS AP.
KAMERDIN, JOHN	85-50	CFTC	02/27/87	4b(A)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
KAMINSKI, KENNETH W.	80-36	CFTC	02/04/83	4f(1) 4g(1) 8b 4b(A) 4b(C)	1.18(a) 1.35(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
KAMROW, JEFFREY WARD	90-24	CFTC	01/31/91	4(b)(A) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
KANGLES, ELIZABETH A.	SD-88-4	CFTC	05/17/88				REG. DENIED AS FB; INITIAL DECISION VACATED AND

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REMANDED ON 6/6/90.
KANNO, GEORGE	79-59	CFTC	12/11/80				REG. DENIED AS AP.
KANSAS CITY BOARD OF TRADE	85-6	CFTC	11/23/84	5a(8)	1.51(a) 1.53 8.06(a)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000.
KANSAS COMMODITY TRADERS, INCORPORATED	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER; REG. REVOKED AS CPO.
KAPLAN, ARTHUR	80-29	CFTC	05/20/81	4b(A) 4b(C) 4b(D) 4c(a) 4b	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
KAPLAN, MURRAY F.	SD-95-6	CFTC	06/13/96				REG. DENIED AS FB; COMPLY WITH CONDITIONS; NOT TO APPLY TO BE REGISTERED IN CAPACITY FOR 1 YEAR; NOT TO APPLY TO BE REGISTERED IN ANY CAPACITY OTHER THAN FT FOR 5 YEARS; ANY FUTURE APPLICATION FOR FT TO BE CONDITIONAL.
KAPP, ARNOLD E.	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
KARAFOTAS, PHILLIP T.	77-1	CFTC	05/26/78	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
KARET INTERNATIONAL	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
KARIAN, ARLENE	76-928	SD NY	03/10/76	4c(b)	30.01	PERMANENT INJUNCTION	
KARNY, DEAN	86-5457	CD CA	08/31/88	4m(1) 4o(1)(A) 4o(1)(B)		PERMANENT INJUNCTION	
KARRIS, CHRIS JOHN	83-11	CFTC	02/25/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
KASTIL, VICTOR M.	85-46	CFTC	02/21/86	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
KATES, KEVIN	00-27	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMPLAINT FILED	
KAUFMAN, GEORGE J.	83-12	CFTC	04/20/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
KAUFMAN, MILTON	91-7	CFTC	06/25/92	4b(A)	1.38(a)		CEASE & DESIST ORDER; PEN.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)			AMNT.: \$60,000; TRAD. PRIV. SUSP. 15 MO.; REG. REVOKED AS FB; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY FOR 5 YEARS.
KAUFMAN, MILTON	SD-94-2	CFTC	11/24/93				CONDITIONAL REGISTRATION AS FT FOR 2 YEARS.
KAUFMAN, STUART	80-28	CFTC	03/27/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 3 MO.
KAULENTIS, JAMES J.	93-2	CFTC	12/04/92	4c(a)(A) 4c(a)(B) 4b(A) 4b(B) 4b(C) 4b(D)	1.38(a)		CEASE & DESIST ORDER; PEN. AMANT.: \$30,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; LIQUIDATE ALL FUTURES & OPTIONS POSITIONS.
KAVANAUGH, L. ROY JR.	77-3928	CD CA	10/31/77	4d(2) 4f(2)	1.17 1.20(a)	PERMANENT INJUNCTION	
KAVANAUGH, L. ROY JR.	80-2	CFTC	12/15/82	4f(2) 4g(1) 4d(2)	1.17(b)(1) 1.10(f) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
KAVEKOS, MANNY G.	01-8350	SD FL	7/15/02			COURT ORDER	DISMISSED WITHOUT PREJUDICE.
KAWAKAMI, LEO T.	82-41	CFTC	03/21/83				REG. REVOKED AS AP.
KAY, JAMES W.	78-28	CFTC	06/29/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
KAZANAS, ELAINE a/k/a LAUREN ROSWELL a/k/a JOAN BENNETT	02-60769	SD FL	8/31/2004			PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$51,000 AND CIVIL MONETARY PENALTY OF \$153,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
KEATS, RICHARD	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
KEEDY, JAYNE	90-1748-T	ND TX	08/01/90	4b(A) 4b(B) 4d(1) 4d(2)		PERMANENT INJUNCTION	ALSO ENJOINED FROM ACTING IN A CAPACITY REQUIRING REGISTRATION, ACCEPTING FUNDS FOR, OR GIVING ADVICE ON TRADING COMMODITY FUTURES OR OPTIONS.
KEEFFE, ARTHUR JOHN (II)	8:04-CV-01021-DKC	D MD	3/29/2004			COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KEELER, RALPH	80-0689	SD NY	07/22/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
KEESHIN, SEYMOUR M.	82-21	CFTC	07/18/84	4b(A) 4b(B) 4b(D) 4c(a)(A) 4c(c) 4g	1.35 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 6 MO.
KELLER, JOHN E.	81-2250-W	WD TN	01/22/87	4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
KELLOGG, MICHAEL A.	80-6	CFTC	10/14/80	4c(a) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KELLY, DAVID PAUL II	03-74206	ED MI	11/12/03	4b(a)(2)(i)-(iii); 4c(b); 4o(1); 4m(1); 4k(2); 4n(4)	33.10; 4.22; 4.24; 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
KELLY, J. MICHAEL	79-54	CFTC	09/26/80	4m 4b 4o 4c(b) 4h(2)	32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
KELLY, PATRICK D.	SD-96-6	CFTC	04/16/96	8a(3)(E)			CONDITIONALLY REGISTERED FOR 2 YEARS AS A FT.
KELLY, ROBERT J.	83-13	CFTC	04/12/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
KELLY, SEAN G.	97-6	CFTC	11/19/98	4n(3)(A)	1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; SUSP. AS CTA 6 MO.; APPEALED.
KELLY, THOMAS E.	98CIV5270	SD NY	11/03/98	4b(a)(i) 4b(a)(iii)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$291,938 JOINTLY & SEVERALLY OWED WITH A. RHEE; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER CEA.
KELSON, GARY	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
KELSON, GARY	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
KEMP, ELIZABETH MISKUS	03-06	CFTC	1/6/03	4(a) 4b(a)		COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES PROHIBITED; CIVIL MONETARY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PENALTY OF \$220,000 JOINTLY & SEVERALLY OWED PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
KEMPER FINANCIAL SERVICES	94-1	CFTC	10/20/93		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; PAY AN ADDITIONAL 9.2 MILLION INTO ESCROW ACCOUNT FOR DISTRIBUTION TO SHAREHOLDERS.
KENNEDY, EDWARD JOHN	83-28	CFTC	03/31/83	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000.
KENNEY, THOMAS P.	89-27	CFTC	06/30/92	4a(5) 4c(a)(A) 4c(a)(B) 4e 4i	1.38 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 24 MO.; MUST LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS.
KENNEY, THOMAS P.	91-11	CFTC	03/11/97				TRADING PRIVILEGES REVOKED.
KENT, HERBERT J.	81-1070-MC	D MA	06/05/81	4d(1) 4b(A) 4b(B) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
KEPREOS, CONSTANTINE THEODORE	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT.
KEROES, MARTIN	78-57	CFTC	01/22/81	6(b)	1.14		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
KERZINGER, WILLY	97-15	CFTC	09/04/97	4b(a)(i) 4m 4o(1)(B) 9(a)(1)	4.20(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
KESSLER, IRWIN R.	SD-98-5	CFTC	05/29/98	8a(3)(M) 8a(4)			KESSLER'S FB RESTRICTED AS FOLLOWS: MAY NOT SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OR GOVERNING BOARD SUBJECT TO REGULATION BY THE COMMISSION; MAY NOT ACT AS A FB/FT UNLESS HIS FLOOR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING ACTIVITIES ARE SUBJECT TO A SUPPLEMENTAL CERTIFICATION STATEMENT; RESTRICTIONS REMAIN IN EFFECT FOR TWO YEARS FROM THE DATE OF THE ORDER.
KETCHAM, RAYMOND	81-1189	D NJ	07/08/81		1.14 4.31(a) 1.10(c)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
KETCHAM, RAYMOND H.	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
KETCHAM, RAYMOND H.	84-42	CFTC	04/03/85	4b(A) 4o(1)	4.31(a) 4.31(b) 4.31(d) 4.31(e)(2) 4.31(f)(1)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KETCHAM, THERESA S.	84-42	CFTC	04/03/85	4b(A) 4o(1)	4.31(a) 4.31(b) 4.31(d) 4.31(e)(2) 4.31(f)(1)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KHOKHANI, JYOTI I.	78-64	CFTC	09/17/81	4d(1) 4k	1.7		CEASE & DESIST ORDER.
KHROVJAK, CLAY	02-01	CFTC	9/19/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$40,000; TRADING PROHIBITION; SHALL NEVER APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; DISMISSED.
KIDDER PEABODY AND CO. INC.	88-6	CFTC	11/28/89	4b(D) 4c(a)(A) 4c(a)(B) 4g	1.35(a-1)(1) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.
KIDDER, PEABODY & CO. INC.	87-2	CFTC	11/25/86	4c(a)(A) 4g(1)	1.31(a)(1) 1.35()		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000.
KIDZ FIRST INTERNATIONAL, INC.	00-2071 RHK/SRN	D. MINN.	9/15/00			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; GREENE ESPEL, P.L.L.P IS APPOINTED AS LIMITED EQUITY RECEIVER, WITHOUT BOND.
KILBRIDE, RONALD	02-09	CFTC	3/20/02	4b(a)(i)	1.38	COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.35(d)		
KILBRIDGE, ROBERT	02-09	CFTC	1/31/03	4b(a)(i) 4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.38 1.35(d)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY OF \$50,000 TO BE PAID PURSUANT TO PAYMENT PLAN; FB REGISTRATION SUSPENDED FOR 6 MONTHS; TRADING PRIVILEGES SUSPENDED FOR 3 YEARS; TRADING PRIVILEGES WILL BE RESTRICTED AFTER 3 YEAR SUSPENSION.
KILDANI, PAUL	80-1	CFTC	11/10/80	4c(c) 4c(b)	32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
KILLMAR, PAUL	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DISGORGE \$3,100,000; NEVER ACT IN CAPACITY REQUIRING REGISTRATION; NEVER SEEK REGISTRATION IN ANY CAPACITY; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
KILPATRICK, JOHN	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	
KIM, BONG JAE	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING 63.12 OF THE NY EXECUTIVE LAW; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATING TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE ENGAGED IN SUCH BUSINESS.
KIM, SEUNGHO	00-24	CFTC	6/29/00	4o(1) 4k 4m(1)	4.41(a) 4.41(b) 3.12	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000; TRADING PRIVILEGES REVOKED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(i) 4b(a)(iii) 4n(4)	4.22 4.20 4.23 4.21 4.31 4.33		RESTITUTION OF \$86,498 PLUS PRE-JUDGEMENT INTEREST OF \$14,000; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION.
KIM, WOOK HYUN	1:02CV2394	ND GA	8/28/02			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
KIMBERLYNN CREEK RANCH, INC. (A CALIFORNIA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KING COMMODITY SERVICE, INC.	78-8293	SD FL	06/05/79	4f 4g 4b 4o(1)	1.17 1.18(a) 1.18(b) 1.18(c) 1.23 1.32	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
KING COMMODITY SERVICES, INC.	79-48	CFTC	05/25/79	4b 4d 4f 4g 4o	1.17 1.18(a) 1.23 1.32 1.18(b) 1.18(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED.
KING COMMODITY SERVICES, INC.	82-13	CFTC	03/10/82	4d(2) 4f(1) 4f(2) 4g	1.10(b) 1.12(a) 1.12(b) 1.17(a)(1) 1.20(a) 1.32 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
KING J. M. AND ASSOCIATES, INC.	78-4195EW	SD NY	09/20/78	4k(1) 4b 4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
KING, BRIAN	89-1923PN	D MD	11/01/91	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ALL CONTRACTS ARE RESCINDED AND RESTITUTION MUST BE MADE TO CUSTOMERS.
KING, DAVID M.	79-2087	D DC	10/29/79	4m 4n(3)(A)	4.21 4.23	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			
KING, HUGH P.	75-10	CFTC	09/13/76	6(b) 6(c)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
KING, J. MICHAEL	78-8293	SD FL	06/05/79	4b 4o(1) 4d(2) 4f 4g	1.17 1.18(a) 1.18(b) 1.18(c) 1.23 1.32	PERMANENT INJUNCTION	
KING, J. MICHAEL	79-48	CFTC	05/25/79	4b 4d 4f 4g 4o	1.17 1.18(a) 1.23 1.32 1.18(b) 1.18(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED.
KING, J. MICHAEL	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; KING SHALL NOT APPLY OR ENGAGE IN ANY ACTIVITY REQUIRING REGISTRATION WITH THE COMMISSION.
KING, JAVETTE L.	00 C 7344	ND IL	3/27/02			PERMANENT INJUNCTION	DISGORGEMENT OF \$226,992 PLUS PRE JUDGEMENT INTEREST.
KING, JOHN J.	90-14	CFTC	03/12/91	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.31(a)(1) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS; IF KING APPLIES FOR REGISTRATION AFTER 3 YEARS, CONDITIONS WILL APPLY TO HIS REGISTRATION.
KING, JOHN L.	87-20	CFTC	09/29/87	4k(2) 4m(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; REG. REVOKED AS CTA; NOT TO APPLY FOR REGISTRATION.
KING, JOHN R.	87-20	CFTC	09/29/87	4k(2) 4k(3) 4m(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; NOT TO APPLY FOR REGISTRATION.
KING, MICHAEL A.	90-28	CFTC	08/11/92	4f(2) 6(b)	1.10(d) 1.12(a)(1) 1.17(a)(1) 1.17(a)(4) 1.18(a)		CEASE & DESIST ORDER; MAY NEVER APPLY TO REGISTER WITH THE COMMISSION IN ANY CAPACITY.
KING, MICHAEL A.	92-17	CFTC	08/11/92	4c(b)	33.10 166.3		CEASE & DESIST ORDER; MAY NEVER APPLY TO REGISTER

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							WITH THE COMMISSION IN ANY CAPACITY; MUST PAY FNTC RECEIVER \$25,000.
KINGSFIELD RACING, INC. (A NEVADA CORP.)	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KINGSFIELD, PAMELA	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KINGSFIELD, SAMUEL	3:00CV103-V	W.D. NC.	6/21/00			PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
KINNAMON JACOBS, INC.	86-H-4366	SD TX	03/09/87	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; COSTS AWARDED; ALSO ENJOINED FROM VIOLATION OF TEXAS SECURITIES & DECEPTIVE TRADE PRACTICES LAWS; ALL CONTRACTS RESCINDED; TO JOINTLY PAY TO STATE OF TEXAS \$10,000 FOR COSTS.
KIRK, PAUL	86-2	CFTC	09/10/86	4b(A) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRADING PRIVILEGES REVOKED.
KIRRIS, EDWARD STEVENSON, III	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
KITCHENER, GARY	78-55	CFTC	05/25/79	4c(b)	32.5(a)		CEASE & DESIST ORDER; REG.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.5(c) 32.7 32.9		REVOKED AS AP.
KJL FINANCIAL GROUP, INC.	4:02CV01477	ED MO	3/9/2004	4b(a)(i)-(iii) 4o(1) 4m(1)	4.30 4.34 4.35 4.31	PERMANENT INJUNCTION	RESTITUTION OF \$567,550.74 JOINTLY OWED WITH KENNETH J. LEE.; PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION.
KLEMEN, STEPHEN J. JR.	75-1	CFTC	02/09/76	4g(1) 4i	18.00		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; SUSTAINED ON APPEAL TO 7 TH CIR.
KLINE, JASON SCOTT	92-6427	SD FL	11/17/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a) 166.3	PERMANENT INJUNCTION	
KLINE, JAYSON S.	04-80132	SD FL	2/10/2004	4c(b)	32.9(a) & (c)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
KLINE, JAYSON SCOTT	94-8	CFTC	12/09/93	4b(a) 4c(b) 4o	4.31(g) 4.41(a) 33.7(f) 33.10 166.3		CEASE & DESIST ORDER; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
KLITIN ASSOCIATES II	97CV4973	ED NY	08/02/99	4o(a)(A) 4o(1)(B) 9(a) 4n(4)	4.22 4.22(a)(3) 4.22(b) 4.22(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ALL CONTRACTS AND OTHER AGREEMENTS BETWEEN CUSTOMER AND DEFENDANTS ARE RESCINDED; CIVIL MONETARY PENALTY NOT IMPOSED BASED ON SWORN FINANCIAL STATEMENT.
KLITIN, OSCAR A.	97CV4973	E.D. N.Y	10/26/99			CONSENT ORDER FROM U.S. BANKRUPTCY COURT	DEBT OF \$115,772.86 PLUS POST JUDGEMENT INTEREST OWED AS SET OUT IS EXCEPTED FROM DISCHARGE IN BANKRUPTCY.
KLONDIKE INTERNATIONAL INC.	03 CV 7112	SD NY	8/24/2004			PERMANENT INJUNCTION	RESTITUTION OF \$240,000.
KNACK, ROBERT L.	84-9	CFTC	05/15/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB.
KNAUTH, JOSEPH B., JR.	04-15	CFTC	5/10/2004	4c(a)(A) & (B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ONE YEAR TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
KNIGHT WEALTH INTERNATIONAL	94-0220-C	ND CA	07/28/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; AN AMOUNT TO BE AGREED UPON BY THE PARTIES; \$693,766.42 ORDERED BY COURT 5/12/95.
KNIGHT WEALTH INVESTMENT	94-0220-C	ND CA	01/21/94	4(a)		COMPLAINT FILED	
KNIPPING, EDWARD K. individually and d/b/a TIME TRADERS INVESTMENT GROUP	01-163-P-H	D MA	7/23/02			SUPPLEMENTAL ORDER	RESTITUTION OF \$3,444,829.64 TO BE PAID JOINTLY WITH TIME TRADERS, INC.; AFTER RESTITUTION HAS BEEN PAID, DEFENDANT SHALL EACH PAY \$250,000 PLUS PREJUDGMENT INTEREST TO THE COMMISSION.
KNOTKO, ANDREI	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CMP OF \$100,000 OR TRIPLE MONETARY GAIN-WHICHEVER IS GREATER; DISGORGEMENT TO RECEIVER IN THE AMOUNT OF \$17,133.83; ALL DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION TO TII CUSTOMERS - \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
KNOWLES, STEVE	04-60744	SD FL	6/7/2004			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS
KOBLICA, LEONARD F.	83-20	CFTC	03/30/83	4a(2)(B)	150.2 15.04 150.11 150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
KOENIG, EMIL	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(b) 1.35(a)	PERMANENT INJUNCTION	
KOENIG, STANLEY W. JR.	85-6	CFTC	04/29/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
KOERNER, WILLIAM	98-5	CFTC	01/23/98	4b(a) 4d(1) 4d(2)	1.20(c) 1.33 1.55		CEASE & DESIST ORDER; PERMANENT TRADING PROHIBITION; RESTITUTION IS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k(1) 9(a)(1)	3.12		WAIVED.
KOH, MYUNG SUK	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING NY EXECUTIVE LAW 63.12; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATED TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE ENGAGED IN SUCH BUSINESS.
KOHLER, JAMES THOMAS JR.	78-16	CFTC	08/21/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
KOHLI, CHUCK	95-1598	D. NJ	2/29/00	4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	FINAL JUDGEMENT	DISGORGEMENT OF \$30,000,000 PLUS PRE-JUDGEMENT INTEREST; FREEZE OF ASSETS.
KOKES, ED	92-13	CFTC	11/05/92	4c(b) 4k(3)	1.56(c) 33.10		CEASE & DESIST ORDER; MAY NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
KOKORIS, PAUL	78-55	CFTC	05/25/79	4c(b)	32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; REG. REVOKED AS AP; MAY REAPPLY FOR REGISTRATION IN 2 YEARS.
KOKORIS, PAUL	85-3169	SD FL	10/25/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
KOLB, GERALD	76-20	CFTC	11/17/76	4b 4c			PEN. AMNT.: \$1,000.
KOLB, GERALD	76-2095R	CD CA	07/30/76	4b 4c		PERMANENT INJUNCTION	
KOLTER, THOMAS F.	93-19	CFTC	11/08/94	4b(a)(i) 4c(b) 4o(1)(B) 6(c)	33.10(a)		CEASE & DESIST ORDER; PERMANENTLY PROHIBITED FROM PRACTICING BEFORE THE COMMISSION AS AN ATTORNEY.
KONIG, SALOMON	91-7008	SD FL	05/29/92	4e		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; MARSHA LYONS APPOINTED TEMPORARY ESCROW AGENT; DEFENDANTS' DEPOSIT OF \$223,348.57 TO BE USED TO RETURN CUSTOMER FUNDS.
KONKEL, MICHAEL JAMES	00-T-547-S	M.D. ALA.	7/10/00	4b(a)(i)	4.41(a)	PRELIMINARY	MAY 1, 2000 STATUTORY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
individually and d/b/a VENTURE FUND, ICE CAPITAL MANAGEMENT, INC., AD ASTRA, INC., and THE INSCAPE FUNDS				4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.22 4.20(c) 4.21(a) 4.21(b)	INJUNCTION	RESTRAINING ORDER REMAINS IN FULL FORCE & EFFECT; ACCOUNTING MADE; DEFENDANT ENTITLED TO REASONABLE LIVING EXPENSES NOT TO EXCEED \$3,500 PER MONTH AND \$2,500 PER MONTH FOR LEGAL FEES.
KORBEAN INTERNATIONAL INVESTMENT CORP.	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING 63.12 OF THE NY EXECUTIVE LAW; CEASE ALL ACTIVITIES & OPERATIONS; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATING TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE ENGAGED IN SUCH BUSINESS.
KORBEAN LINE, INC.	95-CIV-0919	ED NY	02/09/95	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTET & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING 63.12 OF NY EXECUTIVE LAW; PROHIBITED FROM ENGAGING IN ANY BUSINESS RELATING TO THE OFFER & SALE TO THE PUBLIC OF COMMODITIES OR EMPLOYING ANYONE IN SUCH BUSINESS.
KOROBOV, MICHAEL	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
KORSEN, STEVEN S.	81-14	CFTC	09/24/81				TO WITHDRAW AP APPLICATION AND NOT REAPPLY BEFORE 09/01/85.
KOSAR, MELANIE ROSE	90-6	CFTC	03/20/90	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV.. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY TO REGISTER, HAVE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONTRACT MAKRET MEMBERSHIP, OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS IN ACCORDANCE WITH RELATED PROCEEDINGS.
KOSUGA, VINCENT W.	77-1	CFTC	10/06/82	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$4,000; TRAD. PRIV. SUSP. 1-2 MO.
KOTANSKY, RAYMOND D.	79-40	CFTC	04/01/80	6(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
KOURMOLIS, MICHAEL	CV 03 3577	ED NY	7/23/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
KOWALSKI, CHUCK	99-1558-CIV-T-23F	MD FL	07/06/99		32.9(a) 32.9(c) 33.10(a) 33.10(c)	COMPLAINT FILED	
KOZIOL, EDWIN A., JR.	99 C 2357	N.D. IL.	7/17/00	4b(a)(i)		PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; RESTITUTION OF \$755,085 PLUS PRE-JUDGEMENT INTEREST OF \$115,950 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY & EDWIN KOZIOL. RESTITUTION OF \$49,000 PLUS PRE-JUDGEMENT INTEREST OF \$3,693 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY, KOZIOL, & JPM, INC. AND POST JUDGEMENT INTEREST.
KRAEBEL, ROY E.	87-3276 (JWB)	D NJ	08/11/87	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4m 4o(1)	1.20 3.4 4.20(c)	PERMANENT INJUNCTION	
KRAMER, KENNETH	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KRAUS, STEVEN C.	88-32	CFTC	09/30/88		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
KRAVITZ, MAURY A.	77-1	CFTC	05/26/78	4c(a)			CEASE & DESIST ORDER.
KREMKE, ROBERT CLAIR	82-44	CFTC	01/23/86	4k	1.10(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
KRISTUFEK, ROBERT S.	01-23	CFTC	9/12/02	6(c) 6(d) 9(a) 4c(a)(A) 4c(a)(B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$155,000; TRADING PRIVILEGES SUSPENDED FOR 24 MONTHS; DISMISSED.
KRIVACEK, MICHAEL BRADLEY	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; APPEALED; ENJOINED FROM TRADING PETROLEUM FUTURES; APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR.
KRON, DAN	84-10501	ND IL	09/16/85	4o(1) 4(a)(1) 4(a)(2) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATING ILLINOIS CONSUMER FRAUD & DECEPTIVE BUSINESS PRACTICES ACT.
KRON, DAN	85-26	CFTC	09/13/85	4(a)(i) 4(a)(2) 4b(A) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA.
KRONISH, MARC	99-CV-2640	ED PA	10/04/99	4(a) 4b(a) 4d 9(a)(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$3,000,000 WAIVED BASED ON SWORN FINANCIAL STATEMENT; SHALL NOT MAKE ANY PUBLIC STATEMENT REGARDING ALLEGATIONS.
KROSP, JAMES CECIL	79-03851	CD CA	09/16/82	4c(c) 4c(b)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
KRUTE CORPORATION	03-2659 TJH	CD CAL	4/16/03	4b(a)(2) 4c(b) 4o(1) 4m(1) 4n(4)	33.10 4.22	COMPLAINT FILED	
KRUTE CORPORATION	03-2659 TJH	CD CAL	12/13/2004	4b(a)(2)(i)&(i ii) 4c(b) 4o(1)(A)&(B)	33.10 4.22(a)	PERMANENT INJUNCTION	RESTITUTION OF \$1,950,000 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4m(1)			PROTECT BOOKS & RECORDS; TRADING PROHIBITION; ASSET FREEZE LIFTED.
KRYSINSKI, KEITH WILSON	03C 8571	ND IL	8/3/2004	4b(a)(2)(i)-(ii) 4d(a)		PERMANENT INJUNCTION	RESTITUTION OF \$333,509 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION.
KUHLIK, IRA W.	84-4056JS	SD NY	06/26/84	4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	
KUHLIK, IRA W.	85-8	CFTC	09/18/86	4c(a)(A) 4c(a)(B) 4g 4e	1.38 1.35 18.04 1.20(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$21,000; SUSP. AS FB 20 MO.; TRADING PRIVILEGES SUSPENDED 2 ½ MONTHS.
KURTA, BRUCE J.	SD-94-17	CFTC	09/26/94				CONDITIONAL REGISTERED AS FT; CONDITIONS TO REMAIN IN EFFECT FOR TWO YEARS.
KUVET, ERIC	85-7871-KN	CD CA	12/05/88 12/14/88	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING CALIFORNIA BUSINESS AND PROFESSIONAL CODE; TO PAY CIVIL PENALTY OF \$500,000 TO THE STATE OF CALIFORNIA.
KVISTAD, PAUL	85-29	CFTC	01/27/89				DISMISSAL APPEALED BY COMMISSION ON 2/14/89; REMANDED ON OTHER ISSUE 4/24/99.
KYLE, JOHN N. II	88-22	CFTC	03/29/91	4c(b)	33.7(d) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
KYZNETSOV, SERGEY	04 CV 02768	SD NY	4/12/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
L R. ASSOCIATES, INC.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
L. G. Z. MANAGEMENT, INC.	85-6936	SD FL	12/19/85			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
L.A. FOREX, INC.	97-6800	CD CAL	03/02/98	4b(a)(i) 4b(a)(ii) 4m(1)	4.20 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			ENJOINED FROM: ACTING IN ANY CAPACITY WHICH REQUIRES REGISTRATION UNDER THE CEA WITHOUT BEING REGISTERED BY THE COMMISSION; DIRECTLY OR INDIRECTLY SOLICITING, ACCEPTING, OR RECEIVING FUNDS FOR INVESTMENT IN COMMODITIES; L.A. FOREX SHALL PAY RESTITUTION IN THE AMOUNT OF \$1,121,643.50 AND A CMP OF \$550,000.
LA BRUCE, NATASHA	03-80526	SD FL	6/11/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
LA TOURETTE, JOHN	CV-98-N-1755-S	ND ALA	07/07/98	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B) 4n(4)	4.20(c) 3.12(a) 4.21 4.22 4.24 4.25 4.26	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
LABARBIERA, VINCENT	84-21	CFTC	11/06/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 2 YEARS.
LABELL, STEVEN	04-60797	SD FL	6/21/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
LABELL, STEVEN	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	
LABIB, HANY	98-2	CFTC	07/15/99	4k(1)	3.12(a) 1.57 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$120,000; NOTICE OF EFFECTIVE DATE; MAY 28, 1999 ALJ DEFAULT JUDGMENT BECAME THE FINAL ORDER OF THE COMMISSION ON 7/1/99.
LACROSSE, CRAIG J.	90-20	CFTC	2/21/01			ALJ INITIAL DECISION	SHALL BE PERMITTED TO TRADE OFF THE FLOOR OF ANY DESIGNATED FUTURES EXCHANGE, THROUGH A REGISTERED FCM AND SOLELY FOR HIS OWN ACCOUNT; THE COMMISSION'S 1/21/97 ORDER REMAINS IN EFFECT IN ALL OTHER RESPECTS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LACROSSE, CRAIG J.	SD-91-6	CFTC	2/21/01			ALJ INITIAL DECISION	SHALL BE PERMITTED TO TRADE OFF THE FLOOR OF ANY DESIGNATED FUTURES EXCHANGE, THROUGH A REGISTERED FCM AND SOLELY FOR HIS OWN ACCOUNT; THE COMMISSION'S 1/21/97 ORDER REMAINS IN EFFECT IN ALL OTHER RESPECTS.
LAGORIO, LEE	CV04-6463	CD CAL	8/25/2004			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION.
LAI, CHAN KOW a/k/a WILSON LAI	02 CIV 5497	SD NY	5/26/2004	4(a) 4b(a)(2)(C)(i)) & (iii)	1.1(b)(1) & (3)	FINAL JUDGMENT	RESTITUTION & DISGORGEMENT OF \$25,428,840 AND CIVIL MONETARY PENALTY OF \$76,286,520 PLUS POST JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
LAI, PETER T.	97-5	CFTC	01/12/99	4(a) 4b(a)(i) 4b(a)(iv) 4d(1) 4d(2) 4o(1) 4k(1) 9(a)(1)	3.10 3.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; APPEALED; COMMISSION AFFIRMS THE RESULT OF THE INITIAL DEISION WITHOUT OPINION, 1/12/99.
LAKE STATES COMMODITIES, INC.	94-C-4375	ND IL	07/19/94	4b(a)(i) 4b(a)(ii) 4d(1) 4k(1) 4k(2) 4m(1) 4o(1)		COMPLAINT FILED	
LAKEN, GLENN B.	SD-00-05	CFTC	2/8/01			COMMISSION ORDER	COMMISSION AFFIRMS ALJ'S DECISION TO TEMPORARILY SUSPEND FB REGISTRATION.
LAKIN, DON	SACV02-173	CD CAL	3/24/03	4b(a)(i) & (iii) 4(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$240,000 CONTINGENT PURSUANT TO PAYMENT PLAN; JOINTLY & SEVERALLY LIABLE WITH NAFEIY FOR \$1,097,464.64 IN

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RESTITUTION PLUS POST JUDGMENT INTEREST TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
LALLY COMMODITIES	85-40	CFTC	06/25/87		21.02		PEN. AMNT.: \$500.
LAM, KWOK LUN	CV 02-1417	CD CAL	6/18/03	4(a)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$262,698 AND RESTITUTION OF \$497,258 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR.
LAMA, JESSE	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
LAMANTIA, SAM H.	79-52	CFTC	02/25/82	4c(a)(A)			CEASE & DESIST ORDER; REG. REVOKED AS FB.
LAMAR, THOMAS W.	98-70619	ED MI	08/05/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(3)(B)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.22 4.30 4.31(b)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PERMANENTLY ENJOINED FROM DIRECTLY OR INDIRECTLY SEEKING REGISTRATION IN ANY CAPACITY; RESTITUTION & DISGORGEMENT OF \$2,838,169.08.
LAMB, LAWTON B.	83-42	CFTC	05/12/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
LAMBERT, SCOTT A.	SD-85-11	CFTC	07/23/85				CONDITIONALLY REGISTERED AS AN AP; UNCONDITIONALLY REGISTERED AS AN AP 9/20/87.
LAMBORN, ARTHUR H. III	78-10	CFTC	01/27/81	4(c) 4b(B)			CEASE & DESIST ORDER; SUSP. AS FB 1 MO. OR LESS.
LAMBORN, GEORGE	02-14	CFTC	6/6/03	4b		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
LANDIN, ALFRED	78-31	CFTC	05/25/79				CONSOLIDATED WITH DOCKET 78-55.
LANDIN, ALFRED	78-55	CFTC	05/25/79	4b 4c(b) 4g	32.5(a) 32.5(c) 32.7		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; REG. REVOKED AS AP.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o	32.8 32.9 1.31 1.35		
LANDIN, ALFRED	78-8293	SD FL	06/05/79	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
LANE, GEORGE C.	92-26	CFTC	08/11/92	4k(1)			CEASE & DESIST ORDER; REG. REVOKED AS CTA.
LANER, STEVEN R.	SD-96-7	CFTC	05/17/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
LANI, RICHARD SR.	02-14	CFTC	6/6/03	166.3		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
LAO, YUAN-YI	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
LAROCCA, ROBERT	04-80562	SD FL	6/21/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
LAROCQUE, JOHN PAUL	SD-97-1	CFTC	11/26/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
LARSON, DONALD E.	81-4409	CD CA	01/20/82	4n 4 4b 4h 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
LASPAGNOLETTA, RONALD	84-14	CFTC	06/22/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$130,000; TRAD. PRIV. SUSP. 14 MO.; SUSP. AS FB 120 MO.
LASPAGNOLETTA, RONALD	SD-94-15	CFTC	09/02/94				CONDITIONALLY REGISTERED AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.
LASSEN, JACK	03-767 FMC	CD CAL	2/3/03	4(a); 4b(a)(i)-(iii)	1.1(b)	COMPLAINT FILED	
LASSEN, JOHN	03-767 FMC	CD CAL	5/28/2004	4b(a) 4(a)		PERMANENT INJUNCTION	RESTITUTION OF \$333,769.31 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
LAUBSCHER, DONNA	98-12	CFTC	04/09/98		14.8(c)		LAUBSCHER NOT TO APPLY TO THE COMMISSION FOR REINSTATEMENT FOR FIVE YEARS FROM THE DATE OF THIS ORDER.
LAUTENBACH, WESLEY B.	SD-85-5	CFTC	01/11/85				CONDITIONALLY REGISTERED AS AP.
LAVENDER, IRA MONROE	00-23	CFTC	6/29/00	4b(a)(i) 4b(a)(iii) 4m(1) 4o(1)		COMMISSION ORDER	TRADING PRIVILEGES REVOKED; SHALL NEVER APPLY FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY OR SEEK EXEMPTION FROM REGISTRATION; NEVER ENGAGE IN ANY ACTIVITY THAT REQUIRES REGISTRATION WITH COMMISSION NEVER TO ACT AS A PRINCIPAL, AGENT OR OFFICER OF ANY PERSON REGISTERED..
LAWRENCE, COLLINS & WEXLER, INC.	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
LAWRENCE, EMIL	79-28	CFTC	10/15/80	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.
LAWRENCE, EMIL	82-5	CFTC	01/31/84	6(b)			SUSP. AS AP 3 MO.; AFFIRMED ON APPEAL TO 9 TH CIR.
LAWSON, KENNETH	02-14	CFTC	1/22/2004	4g	1.35	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000 TO BE PAID WITHIN 30 DAYS; TRADING PRIVILEGES PROHIBITED FOR 10 YRS.
LAWSON, ROBERT A.	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT.
LAWTON, GRANT	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
LE VASSEUR POTATO CO., INC.	79-36	CFTC	08/24/81	4a(2)(B) 6(b)	150.10(a) 18.00 18.01 18.03 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.
LE VASSEUR, JOHN	79-36	CFTC	08/24/81	4a(2)(B)	150.10(a)		CEASE & DESIST ORDER; TRAD.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				6(b)	18.00 18.01 18.03 19.00 19.04 19.10		PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.
LEAF, DAHL AND COMPANY, LTD.	83-2	CFTC	02/10/84		1.16(b)(2) 1.10 1.16 1.16(d)(1) 1.17(c)(2) 1.17(c)(5) 1.16(e)(2)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO PRACTICE BEFORE CFTC FOR 3 YEARS AND TO DISGORGE AUDITING FEE.
LEAVEN, CARL D.	77-1	CFTC	09/11/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 24 MO.
LEAVITT, ALAN	85-1	CFTC	04/23/85	4b(A) 4o(1)			CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION.
LECLAIRE, DAVID BENEDICT	SD-93-18	CFTC	05/30/95				DBL TO WITHDRAW FT APPLICATION; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY FOR 18 MONTHS.
LEDOUX, DANIEL	01-7402	SD FL	8/23/2004			DEFAULT ORDER	RESTITUTION OF \$47,512.50; DISGORGEMENT OF \$92,237; CIVIL MONETARY PENALTY OF \$360,000.
LEE, ANDREW M.	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	
LEE, ANDREW M.	92-9	CFTC	12/09/91	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
LEE, CHANG H.	1:02CV2394	ND GA	8/28/02			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
LEE, JOHN DANIEL	03-74206	ED MI	11/12/03	4b(a)(2)(i)-(iii); 4c(b); 4o(1); 4m(1); 4k(2); 4n(4)	33.10; 4.22; 4.24; 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
LEE, KENNETH J individually and d/b/a KJL INVESTMENT GROUP	4:02CV01477	ED MO	3/9/2004	4b(a)(i)-(iii) 4o(1) 4m(1)	4.30 4.34 4.35 4.31	PERMANENT INJUNCTION	RESTITUTION OF \$567,550.74 JOINTLY OWED WITH KJL FINANCIAL GROUP, INC.; PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$300,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION.
LEIGH, MICHAEL	78-55	CFTC	05/25/79	4c(b)	32.3		CEASE & DESIST ORDER; PEN.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.5(a) 32.5(c) 32.7 32.8(a) 32.9		AMNT.: \$25,000 JOINTLY OWED; SUSP. AS AP 1 MO. OR LESS.
LEMIEUX, CHARLES	76-928	SD NY	04/09/76	4c(b)	30.01	PERMANENT INJUNCTION	
LEMIEUX, CHARLES P.	77-550	WD MI	06/14/83	4c(b)	32.9 32.5(a) 32.5(c) 32.5(d)	PERMANENT INJUNCTION	DISGORGEMENT.
LEMIEUX, CHARLES P. III	77-371T	D MA	02/21/85	4c(b)	32.3(b)(1) 32.7 32.3(b)(2) 32.3(a) 32.7(e)	PERMANENT INJUNCTION	
LEMIEUX, CHARLES P. III	77-6	CFTC	07/26/79	4c(b)	32.3 1.18 1.31 32.7		CEASE & DESIST ORDER.
LEMMON, JASON	5:01CV1496	ND OH	4/30/02	4c(b) 4m(1) 4o(1) 4k(2) 4n(4)	32.9 32.11 33.3 32.5 3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	JOINT OWED RESTITUTION OF \$2,875,348.70 PLUS PRE & POST JUDGEMENT INTEREST TO BE PAID PURSUANT TO 10 YEAR PAYMENT PLAN; PREJUDGEMENT INTEREST OF \$611,803.76; CONTINGENT CIVIL MONETARY PENALTY OF \$220,000; TRADING PROHIBITION.
LENTON, HARRY	77-13	CFTC	03/23/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000; TRAD. PRIV. SUSP. 24 MO.
LENZ, HARRY E. JR.	78-6508	SD FL	06/28/79				ORDER.
LEONARD, BETTY	94-13	CFTC	05/24/95	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
LEONARD, ROBERT	94-13	CFTC	05/24/95	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; COOPERATE FULLY WITH THE COMMISSION.
LERMAN, CHARLES	SD-85-7	CFTC	06/07/85				SUSP. AS FB 4 MO.
LERMAN, LAWRENCE	92-22	CFTC	09/17/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT TRADE ON THE TRADING FLOOR OF ANY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONTRACT MAKRET FOR 10 YEARS.
LERNER, EDWARD	89-4	CFTC	12/13/91	4b(A)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; \$50,000 CIVIL MONETARY PENALTY TENTATIVELY ASSESSED.
LEVENTIS, GEORGE D.	89-5	CFTC	05/11/90	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
LEVETTE, SANDRA	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DISGORGE \$3,100,000; NEVER ACT IN CAPACITY REQUIRING REGISTRTRION; NEVER SEEK REGISTRATION IN ANY CAPACITY; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
LEVINE, ARTHUR	78-4195EW	SD NY	09/20/78	4k(1) 4b 4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
LEVINE, MARK H.	78-10	CFTC	04/16/79	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; SUSP. AS FB 1 MO. OR LESS.
LEVINE, SCOTT JEFFREY	91-CIV-6136	SD FL	08/06/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3	PERMANENT INJUNCTION	
LEVINE, SCOTT JEFFREY	92-23	CFTC	07/27/92	4b 4c(b)	33.7(f) 33.10 \166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; REG. REVOKED AS AP; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
LEVITIS, ILYA	97-13	CFTC	2/4/00	4(a) 4b(a)(i) 4b(a)(ii) 4b(a)(iv) 4d(1) 4d(2) 4k(1) 9(a)(1)	1.20 3.12(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION.
LEVITIS, LEON	97-13	CFTC	2/4/00	4(a) 4b(a)(i)	1.20 3.12(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(ii) 4b(a)(iv) 4d(1) 4d(2) 4k(1) 9(a)(1)			SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION.
LEWIS, BRIAN	80-27	CFTC	01/18/83	4k			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REFUND \$61,384 TO CLIENTS; NOT TO APPLY FOR REGISTRATION OR TO APPEAR AS COUNSEL BEFORE CFTC FOR 5 YEARS.
LEXINGTON ROYCE & ASSOCIATES, INC.	04 CV 02768	SD NY	4/12/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
LEXUS FINANCIAL GROUP, INC.	97-4	CFTC	2/17/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS IB REVOKED; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
LIBERTY FINANCIAL TRADING CORPORATION, INC.	04-61235	SD FL	12/7/2004	4c(b)	33.10(a)&(c)	PRELIMINARY INJUNCTION	
LIBERTY FOREIGN INVESTMENTS GROUP INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
LIBERTY REAL ASSETS MANAGEMENT CORPORATION	04-61235	SD FL	12/7/2004	4c(b)	33.10(a)&(c)	PRELIMINARY INJUNCTION	
LICHTENSTEIN, MICHAEL H.	85-6936	SD FL	12/19/85			RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; PENALTY AMOUNT OF \$120,000.
LIDA INTERNATIONAL FINANCIAL DATA	94-1256	CD CA	10/03/96	4(a)		PERMANENT INJUNCTION	DISGORGE \$800,000; ENJOINED FROM SELLING/PURCHASING OR OFFERING TO SELL OR PURCHASE ANY COMMODITY OR OPTION.
LIEBERG, DENNIS C.	87-13	CFTC	05/11/88	4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.
LIGAMMARI, PATRICK P.	90-1	CFTC	04/17/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED; SUSP. AS AP 1 MO. OR LESS.
LIGAMMARI, PATRICK P.	02-05	CFTC	12/17/03	4c(a)	1.38	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$200,000; PROHIBITED FROM TRADING FOR ONE YEAR; APPEAL DISSMISSED.
LIGGIO, ANTHONY	79-28	CFTC	10/16/80	4c(b)	32.9		CEASE & DESIST ORDER; SUSP. AS AP 1 MO. OR LESS.
LINCOLN FEDERAL INVESTMENT CORPORATION	78-2240	WD TN	07/05/78	4c(b) 4f 4g	32.7 32.9 1.17 1.18 32.6	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
LINCOLNWOOD COMMODITIES OF CALIFORNIA, INC.	78-48	CFTC	01/31/84	4g(1) 4d(2) 4f(2) 4f(1)	1.37 1.20(a) 1.21 1.17 1.10		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 33 MO.; REG. REVOKED AS FCM, CTA & CPO.
LINCOLNWOOD COMMODITIES, INC.	80-28	CFTC	01/25/91	4g1.37			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; ALJ DECISION OF 3/27/86 AFFIRMED IN PART AND VACATED IN PART; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
LINCOLNWOOD, INC.	84-4056JS	SD NY	06/26/84	4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
LINCOLNWOOD, INC.	85-8	CFTC	02/21/86	4i 6(b) 4d(2) 4d	18.04 1.20(a) 1.28		FIRM DEFUNCT.
LIND, PHILIP	78-1069	SD FL	10/26/81	4c(b) 4o(1)	32.5(a) 32.8 32.9 30.01(c)	PERMANENT INJUNCTION	
LINDSEY, EDWARD CAMERON	1:01-cv-1107	ND GA	6/24/03	4c(b)	32.9 32.5 32.11 33.3(a) 32.8(c)	SUMMARY JUDGMENT	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$186,432, CIVIL MONETARY PENALTY OF \$480,000, AND RESTITUTION OF \$219,250 OWED WITH SHAWN CHRISTIE SHALL BE PAID WITHIN 30 DAYS.
LININGER, PATRICK	80-27	CFTC	05/12/83	4b 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$7,000; TRAD. PRIV. SUSP. 60 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
LINO INVESTMENT GROUP	94-0670	CD CAL	08/23/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BOOKS & RECORDS; DISGORGEMENT & RESTITUTION AMOUNT TO BE AGREED TO BY THE PARTIES.
LIONETTI, ROBERT V.	78-1692	SD FL	05/18/82	4c(b)	32.9	PERMANENT INJUNCTION	
LIU, NANCY	93-0067	CD CA	01/07/93	4(a)		RESTRAINING ORDER	
LIPPSE, RODNEY A.	78-67	CFTC	02/12/79				REG. DENIED AS AP.
LIPTON, DANIEL	02-14	CFTC	10/25/02	4g	1.35(a-1)(2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$7,500 TO BE PAID WITHIN 10 DAYS OF ORDER DATE; FB REGISTRATION RESTRICTED FOR 2 YRS.
LIT AMERICA, INC.	90-27	CFTC	07/16/91	4g(1) 4i 6(b)	17.00(a) 17.00(b) 17.00(d) 17.00(e) 17.01(a) 17.01(b) 17.01(d) 17.01(b)(2) 17.02(b)(2)		PEN. AMNT.: \$90,000.
LIT DIVISION OF FIRST OPTIONS OF CHICAGO	98-16	CFTC	1/27/00		166.3 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY AMOUNT \$25,000; RESTITUTION OF \$138,000.
LIT FUTURES LIMITED	90-23	CFTC	09/11/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$160,000 JOINTLY OWED.
LITTLE, MICHAEL J.	77-19	CFTC	06/26/80	4o(1)(4f(2)	30.02 1.17		CEASE & DESIST ORDER; SUSP. AS AP 3 MO.; SUSP. AS CTA 3 MO.
LITTLETON, GLEN E.	85-6	CFTC	01/03/86	4c(a)(A) 4c(a)(B) 4g(1)	1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
LITWACK, GREGORY	86-6778	SD FL	10/22/86	4c(c)		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING FLORIDA INVESTOR PROTECTION ACT; TO PAY \$5,000 TO RECEIVER.
LIU, EDWARD T.	85-28	CFTC	01/21/87	4i	18.04 15.01(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 60 MO.; APPEAL WITHDRAWN 03/24/87.
LIU, HANK T. H.	92-259	ED NY	03/10/93	4(a) 4b(A) 4d(1)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
LIU, JUSTIN SING	94-6	CFTC	11/23/93	4b(a)(i) 4b(a)(ii) 4m 4o(1)	4.30 4.41		CEASE & DESIST ORDER; MAKE RESTITUTION OF \$160,000 TO TWO CUSTOMERS; NOT TO APPLY FOR REGISTRATION IN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				9(a)			ANY CAPACITY; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION.
LIVOTI, GAVIN a/k/a GAVIN LAVOTE	01-7402	SD FL	8/23/01	4c(b)	32.9 32.11 33.3(a) 32.5	COMPLAINT FILED	
LLOYD PROBBER & ASSOCIATES	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LLOYD, CARR AND COMPANY	77-371T	D MA	01/23/78			RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; PROCEEDINGS STAYED; TO BE LIQUIDATED IN BANKRUPTCY PROCEEDINGS.
LLOYD, CARR AND COMPANY	77-550	WD MI	06/14/83	4c(b)	32.9 32.5(a) 32.5(c) 32.5(d)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
LLOYD, CARR AND COMPANY	77-6	CFTC	07/26/79	4c(b)	1.18 1.31 32.3 32.7		CEASE & DESIST ORDER; REG. DENIED AS FCM.
LLOYD, CARR FINANCIAL COMPANY	77-371T	D MA	01/07/82				PROCEEDINGS STAYED; TO BE LIQUIDATED IN BANKRUPTCY PROCEEDINGS.
LLOYD, CARR FINANCIAL COMPANY	77-6	CFTC	07/26/79	4c(b)	1.18 1.31 32.3 32.7		CEASE & DESIST ORDER; REG. REVOKED AS CTA.
LOCKE, LIONEL WILLIAM	89-93-A2	D ND	05/08/91	4b(A)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ALSO ENJOINED FROM VIOLATIONS OF THE NORTH DAKOTA SECURITIES AND FRAUD STATUTES; MUST MAKE RESTITUTION OF \$721,387; ENJOINED FROM APPLYING FOR REGISTRATION OR FOR SECURITIES LICENSE OF ANY STATE OR ACTING AS AN FCM, IB, FB, CTA, CPO OR AP OF ANY REGISTRANT.
LOCKE, SANDRA	89-93-A2	D ND	05/08/91	4b(A)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; ENJOINED FROM APPLYING FOR REGISTRATION OR FOR

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SECURITIES LICENSE OF ANY STATE OR ACTING AS AN FCM, IB, FB, CTA, CPO OR AP OF ANY REGISTRANT.
LOEB RHOADES AND COMPANY	80-18	CFTC	04/01/80	4g(1)	1.35(a) 1.31(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500 JOINTLY OWED.
LOEB RHOADES, HORNBLOWER AND COMPANY	81-7	CFTC	02/09/81	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$6,000 JOINTLY OWED.
LOEHRMANN, ROBERT	92-6893	SD FL	01/27/93	4m 4o 4d(1) 4k(1) 4k(2) 4b(A) 4b(B) 4c(b)	4.13 33.10 4.21	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT OF \$20,272,000; FREEZE OF ASSETS WILL REMAIN UNTIL DISGORGEMENT IS MADE; 1/4/94 DISTRICT COURT HOLDS LOEHRMANN IN CONTEMPT FOR FAILURE TO OBEY 1/27/93 ORDER.
LOEWINGER, ROBERT	81-5	CFTC	01/15/82				REG. DENIED AS AP.
LOFGREN, JOHN MARTIN	02 C 6222	ND IL	8/30/02			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STEPHEN T. BOBO APPOINTED AS TEMPORARY RECEIVER.
LOFGREN, JOHN MARTIN	SD 04-09	CFTC	9/29/2004			COMMISSION ORDER	AP REGISTRATION REVOKED.
LOHAN, MICHAEL	86-0770	ED NY	04/01/87	4b(A) 4d(1) 4d(2) 4m(1) 4o(1)	1.20 3.4 4.20(c) 4.21(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; CONTEMPT FILED; PROHIBITED FROM ACTING IN CAPACITY REQUIRING REGISTRATION; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN CERTAIN COMMODITY FUTURES BUSINESS.
LOHAN, MICHAEL J.	89-2778MAC	ED NY	08/31/89	4b(A) 4d(1) 4d(2) 4o(1) 9(a)	1.20 3.4 4.20(a) 4.20(b) 4.20(c) 4.41(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LONDON COMMODITY HOUSE, INC.	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 CONTINGENT; REG. REVOKED AS CTA; REG. DENIED AS FCM; TO CEASE DOING BUSINESS.
LONDON FINANCIAL, INC.	97-12	CFTC	8/14/00	4b(a)(i) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSPENDED 3 YEARS; SHALL COMPLY WITH UNDERTAKINGS INCLUDING: NEVER APPLYING FOR REGISTRATION W/ COMMISSION IN ANY CAPACITY.
LONDON METAL EXCHANGE	92-443E(M)	SD CA	07/15/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JANET RANSON APPOINTED PERMANENT RECEIVER; NEVER ENGAGE IN FUTURES OPTIONS BUSINESS; NEVER APPLY FOR REGISTRATION.
LONDON, ALBERT O.	79-20	CFTC	07/22/85				SUSP. AS FB 3 MO.; TO CEASE & DESIST ANY PRACTICE PROHIBITED BY THE ACT.
LONDON, JOHN C. JR.	88-3	CFTC	11/17/87	4b(A)	1.56(c) 18.04(d)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
LONG POINT INVESTMENTS, LLC	6:03CV42	ED TX	6/9/03	4b(a)(2)(i)-(iii)	1.1(b)(1) 1.1(b)(3)	PERMANENT INJUNCTION	RESTITUTION OF \$23,157,504.82 AND CIVIL MONETARY PENALTY OF \$8,400,000 JOINTLY OWED WITH JOHN A. WHEELER AND CDM TECHNOLOGIES; TRADING PROHIBITION; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
LONG, MICHAEL SCOTT	92-16	CFTC	10/26/92	4b	166.2		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
LOPEZ, RAY P.	79-41	CFTC	04/07/81	4c(b) 4c(c)	32.1		CEASE & DESIST ORDER; REG. REVOKED AS AP.
LOVE, CAROL J.	2:00CV00622ST	D. UT	9/25/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.20(a) 4.20(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING MADE.
LOVE, JAMES SPENCER JR.	76-928	SD NY	03/01/76	4c(b) 4m 4o	30.01	PERMANENT INJUNCTION	
LOVE, RICHARD STRATTON	92-6427	SD FL	10/18/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a) 166.3	PERMANENT INJUNCTION	DISGORGEMENT OF \$250,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LOVE, RICHARD STRATTON	94-2	CFTC	10/21/93	4b(a) 4c(b) 4o	4.31(g) 4.41(a) 33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS CPO & CTA; PAY ANY MONIES REMAINING FROM THE \$250,000 DISGORGED PURSUANT TO THE ORDER OF PERMANENT INJUNCTION IN THE RELATED CIVIL PROCEEDING AS A CMP.
LOVITT, ALLEN B.	76-9	CFTC	02/13/76				CONDITIONALLY REGISTERED AS AP.
LOWRANCE, RICHARD M.	SD-91-8	CFTC	10/11/94				REG. REVOKED AS FB.
LOYD, DAVID MICHAEL	99-6560-CIV	S.D. FL.	7/13/00	4b(a)(i) 4b(a)(ii) 4m(1) 4k(2) 4o(1) 4n(4)	4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; RESTITUTION OF \$2,595,307 PLUS PREJUDGEMENT INTEREST OF \$339,831.
LPA FUNDING ASSOCIATES, LTD.	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LU, HAO JAN	CV03-8339	CD CAL	11/18/03			EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; EACH INDIVIDUAL DEFENDANT SHOULD BE ALLOWED TO SET ASIDE \$5,000 PER MONTH FOR REASONABLE AND NECESSARY LIVING EXPENSES.
LUBASH, ROBERT	79-26	CFTC	06/15/84				NOT TO ENGAGE IN ANY BUSINESS REQUIRING REGISTRATION.
LUDWIG, HAROLD	04-19	CFTC	7/13/2004	4b(a)(2)(i) & (iii) 4o(1)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$2,000,000 AND RESTITUTION OF \$4,900,000 TO BE PAID PURSUANT TO PAYMENT PLAN; TRADING PROHIBITION; CTA & AP REGISTRATION REVOKED; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
LUGER, DAVID A.	02-80435	SD FL	6/3/02			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
LUGER, DAVID ALAN	97-4	CFTC	2/17/00	4c(b)	166.3	COMMISSION ORDER	CEASE & DESIST ORDER;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					33.10		TRADING PRIVILEGES REVOKED; REGISTRATION AS AP REVOKED; JOINTLY & SEVERALLY OWE RESTITUTION OF \$8,613,570.44 WITH SINGER; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
LUNMAN, KYLER F., II	99-4	CFTC	2/11/2004	4b(a)(i)-(iii)		COMMISSION ORDER	CEASE & DESIST; JOINTLY OWED CIVIL MONETARY PENALTY OF \$250,000 AND RESTITUTION OF \$276,557 PLUS POST JUDGMENT INTEREST WITH HOLD TRADE, INC. TO BE PAID PURSUANT TO PAYMENT PLAN; TEN YEAR TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; NFA DESIGNATED AS MONITOR.
LUNMANN II, KYLER F.	99-4	CFTC	12/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 13(a) 2(a)(i)(A) 13(b)		COMPLAINT FILED	
LUX, THOMAS D.	96-10	CFTC	09/25/96		1.16(c)(5) 1.16(d)(1) 1.16(e)(2)		CEASE & DESIST ORDER; CENSORED BY COMMISSION FOR REGISTRATION VIOLATIONS AND FOR IMPROPER UNPROFESSIONAL CONDUCT.
LUXENBURGER, PHILIP L.	97-2	CFTC	06/30/97		1.37(a)	AMENDED COMPLAINT FILED	
LYLE, ARTHUR G.	SD-87-2	CFTC	09/10/87				REG. REVOKED AS FB.
LYNCH, NORBERT	81-15	CFTC	04/22/83	4n(1) 4o(1) 4b(A) 4n(3)	1.10(c) 1.14(a) 4.21(a) 4.24 1.31 4.23(a) 1.10(d) 4.21(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
LYNN, GARY	78-1069	SD FL	01/17/83		166.3	PERMANENT INJUNCTION	
LYNNEWOOD EXPORT CORPORATION	77-15	CFTC	01/10/84	4a 6(b) 6(c) 9(b)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
LYNNEWOOD JEN	CV03-8339	CD CAL	5/10/2004			COMPLAINT FILED	
LYONS, FREDERICK B.	85-11	CFTC	07/30/85	4m	4.31(a)		CEASE & DESIST ORDER; PEN.

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					4.31(d) 4.31(f)(1)		AMNT.: \$4,000; TRAD. PRIV. SUSP. 3 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 1 YEAR.
MACDONALD, GORDON	78-0122	WD MO	12/20/78	4o		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
MACDONALD, GORDON	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
MACGREGOR FINANCIAL SERVICES, INC.	84-28	CFTC	02/08/85	4m 4b 13(a) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED; TRAD. PRIV. SUSP. 60 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS; TO JOINTLY PAY ADDITIONAL \$50,000 PENALTY LESS CUSTOMER CLAIMS PAID W/I 18 MOS.
MACLEOD, WINFORD	87-12	CFTC	08/05/87	4b(A) 4b(B) 4b(C) 4m 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO REAPPLY FOR REGISTRATION; NOT TO TRADEFOR OWN ACCOUNT.
MACRO INTERNATIONAL GROUP	85-41	CFTC	01/27/86	4f(1)	21.02		CEASE & DESIST ORDER.
MAD FINANCIAL, INC. a/k/a MEYERS, ARNOLD, AND DAVIDSON FINANCIAL, INC.	02-60239	SD FL	7/14/2004			SUPPLEMENTAL ORDER	CIVIL MONETARY PENALTY OF \$229,615.51 JOINTLY OWED; PROTECT BOOKS & RECORDS.
MADDEN, TERRENCE P.	89-5	CFTC	10/19/90				APPEALED.
MADEO, FRANCO	SD-93-4	CFTC	02/26/93	8a(3)(E) 8a(3)(G)			CONDITIONALLY REGISTERED AS FB.
MADISON DEAN & ASSOCIATES, INC.	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
MADISON DEAN ASIA CORPORATION	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
MADISON FINANCIAL GROUP, LLC	01-09	CFTC	8/28/02	4c(b)	33.10 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; IB REGISTRATION REVOKED.
MADUROS, ANN	84-24	CFTC	04/30/85		1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
MADY FUNDING COMPANY, LLC	02-72394	ED MI	6/11/02	4c(b) 4m(1)	4.20(c) 33.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

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				4o(1)			STOP SOLICITATION; SHALL NOT ENGAGE IN TRADING OF ANY COMMODITY FUTURES OR OPTIONS ACCOUNTS OR APPLY FOR REGISTRATION.
MADY FUTURES INC.	02-72394	ED MI	6/11/02	4c(b) 4m(1) 4o(1)	4.20(c) 33.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; SHALL NOT ENGAGE IN TRADING OF ANY COMMODITY FUTURES OR OPTIONS ACCOUNTS OR APPLY FOR REGISTRATION.
MADY, CHARLES G.	02-72394	ED MI	11/6/03	4c(b) 4o(1) 4m(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RODGER D. YOUNG APPOINTED AS RECEIVER; TEN YEAR TRADING BAN; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY; RESTITUTION OF \$8,220,860 PLUS POST JUDGEMENT INTEREST TO BE PAID PURSUANT TO PAYMENT PLAN; CONTINGENT CIVIL MONETARY PENALTY OF \$8,220,860.
MAGID, HAROLD JAY	93-4	CFTC	04/18/95	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; FB REGISTRATION SUSPENDED FOR 6 MONTHS; FT REGISTRATION SUSPENDED FOR 4 MONTHS; COOPERATE WITH COMMISSION; CANNOT APPEAR ON TRADING FLOOR FOR 4 MONTHS; PROHIBITED FROM TRADING FOR OTHERS FOR 6 MONTHS.
MAGNUM CAPITAL INVESTMENTS, LTD.	04CV1512	D NJ	6/24/2004			COMPLAINT FILED	
MAGNUM INVESTMENTS, LTD.	04CV1512	D NJ	6/24/2004			COMPLAINT FILED	
MAHAN, CAROLYN SUE	79-9	CFTC	05/29/79				REG. DENIED AS AP.
MAIN STREET INVESTMENT GROUP, INC.	94-661-CIV	MD FL	04/01/96	4b(a)(i) 4m(1) 4o(1)	4.20 1.31 4.21	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				9(a)(1) 4n(3)(A) 4n(3)(a)	4.22		
MAINIERO, GARY J.	89-27	CFTC	03/31/92	4a(5) 6(b) 4i	18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 1-2 MO.; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN.
MAIRS, WILLIAMS N. JR.	78-9	CFTC	05/04/79				TO WITHDRAW AP REGISTRATION APPLICATION AND NOT TO REAPPLY FOR 10 YEARS.
MAKRIS, GEORGE E.	78-23	CFTC	05/03/78				REG. DENIED AS AP.
MALCOLMSON, ERIC SCOTT	04-80862	SD FL	9/13/2004			COMPLAINT FILED	
MALTBY, DANIEL P.	84-43	CFTC	11/08/84	4e 4g(1)	1.35(a)		CEASE & DEDIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 18 MONTHS.
MAN INTERNATIONAL FUTURES, INC.	85-44	CFTC	09/27/85	4c(a)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MANCINO, JOSEPH J.	90-1	CFTC	04/17/90		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED.
MANFRE, PAUL	97-13	CFTC	2/4/00	4(a) 4b(a)(i) 4d(1) 4k(1)	3.12(a)	COMMISSION ORDER	CEASE & DESIST ORDER.
MANN, GEOFFREY L.	99-S-1874	D COL	5/1/03			ORDER	CONSENT ORDER FOR CIVIL MONETARY PENALTIES; \$50,000 JOINTLY AND SEVERALLY OWED WITH CHARLES W. TRENCH; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION. ENTER INTO ANY OFF-EXCHANGE COMMODITY FUTURES OR OPTIONS TRANSACTION FOR THEIR OWN PERSONAL ACCOUNT OR FOR ANY ACCOUNT IN WHICH THEY HAVE A DIRECT OR INDIRECT INTEREST.
MANSEAU, PAUL E.	79-28	CFTC	10/15/80	4c(b)	32.9 32.3(b)		CEASE & DESIST ORDER; SUSP. AS AP 1 MO. OR LESS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MANTICORE RESOURCES	93-C1022E	ND OK	12/11/98	9(a)(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
MARANTETTE, DAVID T., III	CV99-00653	D. HAW	2/21/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4m(1) 4o(1)	4.20(c) 4.41(a) 4.41(b)(i) 4.41(b)(ii) 33.10(a) 33.10(c)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION IN ANY CAPACITY; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,246,043.24 PLUS POST JUDGEMENT INTEREST; NFA DESIGNATED AS MONITOR; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$700,000 JOINTLY & SEVERALLY OWED COMMENCING UPON THEIR FULFILLMENT OF RESTITUTION OBLIGATION.
MARCH, ARIC H.	91-4	CFTC	01/28/91	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; TO MAKE FULL RESTITUTION TO CUSTOMERS; NEVER TO APPEAR ON TRADING FLOOR DURING TRADING HOURS; SELL MEMBERSHIP ON THE CME; LIQUIDATE ALL FUTURES AND OPTION POSITIONS; NOT TO LEASE, PURCHASE, OR OTHERWISE USE ANY MEMBERSHIP IN ANY CONTRACT MARKET.
MARCHIANO, JOSEPH J.	95-15	CFTC	11/22/96		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; WITHDRAW AP REGISTRATION AND NOT TO APPLY FOR 1 YEAR; ANY SUBSEQUENT REGISTRATION WILL BE CONDITIONAL FOR 2 YEARS; COOPERATE WITH COMMISSION.
MARCHIANO, JOSEPH J.	98-6564	S.D. FL.	11/24/99	4f(a) 4k(1)	3.10(a)(2)(i)	FINAL JUDGEMENT	CIVIL MONETARY PENALTY OF \$330,000; ENJOINED FROM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k(5)			VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
MARCUS, H. ROBERT	90-1	CFTC	10/10/89	4c(a)(A) 4g	1.31(a)(1) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MARDER, NORRIS	86-0099	SD FL	01/21/86	4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; TO DISSOLVE CORPORATE DEFENDANT.
MARGOL, STEPHEN	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)	33.10(a) & (c)	COMPLAINT FILED	
MARGULIES, DAVID	81-4409	CD CA	06/10/82	4 4h 4n 4b 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; ACCOUNTING ORDERED.
MARICOPA CAPITAL MANAGEMENT, L.C.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA ECLIPSE PARTNERS, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA FINANCIAL CORP.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA INDEX HEDGE FUND, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)	PRELIMINARY	INJUNCTION & SRO	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA INTERNATIONAL	00-CIV-1317	S.D. N.Y.	2/24/00	4b	PRELIMINARY	PRELIMINARY	PROTECT & ACCESS BOOKS &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INVESTMENT CORP. d/b/a MARICOPA INVESTMENT CORP.				4o(1)		INJUNCTION & SRO	RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA INVESTMENT FUND, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARICOPA OVERSEAS, LTD.	00-CIV-1317	S.D. N.Y.	2/24/00		PRELIMINARY	PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MARINGER, HENRY	86-36	CFTC	09/30/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
MARISIE, RICHARD	99-17	CFTC	4/10/00	4g	1.35(a-1)(1) 1.35(a-1)(2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; SHALL COMPLY W/ UNDERTAKINGS.
MARISTELA, MARIA CECILLE	03-12	CFTC	6/6/03	4(a)		COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED FOR 2 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
MARITOTE, FRANCIS	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM THE DATE OF THE ORDER; ON APPEAL.
MARK, GERALD L.	85-21	CFTC	09/18/85	4k	3.12		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
MARKET CAPITAL GROWTH, INC.	3:98CV0281AS	N.D. IND.	12/8/99	4b(a)(i) 4b(a)(ii) 4m(1)	4.20	PERMANENT INJUNCTION	DISGORGEMENT; STOP SOLICITATION; TRADING PROHIBITION; JOINTLY &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			SEVERALLY OWE RESTITUTION OF \$1,026,965.15 WITH FIELD & SMITH. SHALL NOT SEEK REGISTRATION W/ COMMISSION.
MARKET EXCHANGE INDEX	88-C-3188	ND OK	05/22/89	4b(A) 4o(1) 4m(1)	4.23 4.21 4.22(c) 4.22(d) 4.22(e) 4.22(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
MARKET TIMER	78-65	CFTC	01/24/83	4b 4o			CEASE & DESIST ORDER; PEN. AMNT.: \$500; SUSP. AS CTA 12 MO.
MARKHAM & CO., a Nevada Corporation d/b/a BRITISH CAPITAL GROUP, LTD.	03 C 4346	ND IL	6/24/03			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
MARKIEWICZ, NORBERT R.	SD-82-5	CFTC	06/08/82				REG. DENIED AS AP.
MARKIN, JULIE A.	77-21	CFTC	09/08/80	4b			CEASE & DESIST ORDER.
MARKS, LOUIS H.	87-11	CFTC	07/28/87	4b(A) 4d(2) 4f(2) 4g(1) 4k(1) 9(a)	1.17(a) 1.20(a) 1.20(c) 1.32 1.35(a-1) 3.12(a) 17.00(a)(1) 17.01(b) 17.01(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO SEEK REGISTRATION IN ANY CAPACITY.
MARKS, STEVEN JAY	96-9	CFTC	09/03/96	4m	4.31 4.36(d)		CEASE & DESIST ORDER; RETURN CUSTOMER FUNDS WITHIN 60 DAYS OF ORDER; NOTIFY CUSTOMERS BY E-MAIL OF C&D; MAKE REASONABLE EFFORTS TO SATISFY REPARATION & ARBITRATION AWARDS.
MARQUIS FINANCIAL MANAGEMENT SYSTEMS, INC.	03-74206	ED MI	11/12/03	4b(a)(2)(i)-(iii); 4c(b); 4o(1); 4m(1); 4k(2); 4n(4)	33.10; 4.22; 4.24; 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
MARREN, JAMES M.	93-16	CFTC	06/26/97	4b(a)(iv)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; APPEALED.
MARRON, PETER S.	86-6	CFTC	03/02/93	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARSH, WILBUR	86-8	CFTC	02/24/86	4g 13(a)	1.31(a)(1) 1.35(a) 1.35(a-1)(1)		CEASE & DESIST ORDER.
MARSHBURN, KEVIN	97-8	CFTC	11/18/03	4b(a)(i)-(iii) 4g	1.31(a) 1.35(a) 1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$159,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PROHIBITED FROM TRADING FOR TEN YEARS; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
MARTIN, EDWARD d/b/a BLACK GOLD INTERNATIONAL	00-30	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
MARTIN, MICHAEL RICHARD	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR A ONE YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
MARTIN, RICHARD P.	88-2	CFTC	11/10/87	4k(1) 4k(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION FOR ONE YEAR.
MARTINSON, RICHARD	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARTURANO, PAUL	93-5	CFTC	03/02/93	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 3 MO.; REGISTRATION CONDITIONED AFTER SUSPENSION.
MARX, MOSES	86-12	CFTC	02/24/86	4g	1.35(a-1)		CEASE & DESIST ORDER.
MAS FX LLC f/n/a MAS FINANCIAL SERVICES, INC.	SACV02-173	CD CA	2/28/02	4b(a)(i) 4b(a)(iii) 4(a)	1.1(b)(1)	COMPLAINT FILED	
MASERI, RICHARD E.	95-6970	SD FL	11/05/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 9(a)(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
MASON, STEVEN SCOTT	SD-93-1	CFTC	12/29/92				CONDITIONALLY REGISTERED; FOR 2 YEARS – NOT ACT AS PRINCIPAL, ETC. OF REGISTERED ENTITY; NOT ACT IN SUPERVISORY CAPACITY OVER REGISTRANT; NOT EXERCISE DISCRETIONARY AUTHORITY OVER CUSTOMER ACCOUNT; SUBMIT SUPPLEMENTAL SPONSOR; ONLY RECEIVE CUSTOMER ORDERS THROUGH EMPLOYER; NOT SERVE ON A DISCIPLINARY COMMITTEE ETC.
MASS MEDIA MARKETING INC.	97-1492	SD FL					
MASS. COMMODITY INC.	80-3	CFTC	02/26/82	4m 4o			CEASE & DESIST ORDER.
MASSARO, JAMES W.	82-777	ND NY	09/17/82	4b(A) 4o(1)	4.30 4.31 4.41	PERMANENT INJUNCTION	DISGORGEMENT.
MASSARO, JAMES W.	83-34	CFTC	07/07/83	4b(A) 4o(1)	4.30 4.31(a) 4.31(b) 4.41		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
MATEJKA, MICHAEL THOMAS	98CIV5588	SD NY	05/11/99				DEFENDANTS JOINTLY & SEVERALLY PAY CIVIL MONETARY PENALTY OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$8,204,458.00 AND RESTITUTION OF \$2,701,486.00 PLUS INTEREST; ALL CONTRACTS WITH CUSTOMERS ARE RESCINDED.
MATHAS, PAUL E.	79-45	CFTC	04/01/82				REG. DENIED AS AP.
MATRIX TRADING GROUP, INC.	00-08880 CIV-ZLOCH	S.D. FL.	12/4/00			TERMPORARY RESTRAINING ORDER	10/30/00 STATUTORY RESTRAINING ORDER IS VACATED.
MATRIX, STEVEN	04-01	CFTC	10/2/03	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; SHALL COMPLY WITH UNDERTAKINGS.
MATROS, STUART	76-20	CFTC	11/17/76	4b 4c 4k			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
MATTHEWS, JOHN	94-13	CFTC	01/23/96	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PROHIBITION.
MATTOS, JORGE	05-06	CFTC	12/22/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 JOINTLY OWED WITHIN TEN DAYS; SHALL NOT APPLY FOR REGISTRATION FOR 5 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
MATTOX, MARCUS	76-20	CFTC	07/06/77	4b 4k			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
MAWHINNEY, MICHAEL	SD-95-7	CFTC	01/17/95				CONDITIONAL FT REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
MAX GROW JAPAN COMPANY, LTD.	90-1	CFTC	05/04/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 24 MO.
MAXWELL, ROBERT	87-2591HAA	D NJ	10/22/93	4b(a)		PERMANENT INJUNCTION	DISGORGEMENT OF \$200,000; ENJOINED FROM VIOLATIONS OF NJ & FL STATUTES.
MAYE COMMODITIES, INC.	92-21	CFTC	02/25/98	4b(A) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; ON APPEAL.
MAYER, BARRY	92-21	CFTC	02/25/98	4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. AMTN.: \$150,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB; ON APPEAL.
MAYER, LEON	78-60	CFTC	08/28/81	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 3 YEARS.
MAYERS, TERI LYNN	89-25	CFTC	08/03/90	6(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 3 MO.; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY.
MAYNE, RANDALL T.	88-6	CFTC	02/13/90	4c(a)(B)	1.38(a)		PEN. AMNT.: \$8,000.
MAYNE, RANDALL T.	88-7	CFTC	08/21/89	4g	1.35(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,000.
MAYRSOHN, CASPER	77-15	CFTC	08/09/77	9(b) 4a 6(b) 6(c)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
MAZEN, ABDELDAYEM	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
MAZUMA TRADING GROUP, INC. D/B/A PINPOINT MARKETING LTD.	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
MAZZARA, FRANK J.	93-2	CFTC	06/30/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a) PRELIMINARY		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY FOR A PERIOD OF ONE YEAR AFTER THE DATE OF THE ORDER.
MCBRIDE, MATTHEW T.	SD-96-3	CFTC	02/12/96	8a(3)(E)			CONDITIONALLY REGISTERED AS A FT FOR 2 YEARS.
MCCABE, EDWARD	86-36	CFTC	03/27/87	4b(A)	1.56(c) 30.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; SUSP. AS AP 3 MO.
MCCAFFERY, GEORGE	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; REG; DENIED AS AP.
MCCALMAN, HERBERT DUVALLE	80-4801	CD CA	03/19/81	4b 4 4h 4m 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MCCARTHY, GEORGE J.	89-25	CFTC	08/03/90	4a(5) 4i 6(b)	18.04(a)(6) 18.04(a)(8) 18.04(d)(i) 18.04(d)(ii)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 12 MO.; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 12 MONTHS.
MCCARTHY, WILLIAM J. MCCOLLUM, JOHN J.	87-934-RE 97-14	D OR CFTC	09/01/87 08/13/97	4(a) 4o(1)		PERMANENT INJUNCTION	CEASE & DESIST ORDER; RESTITUTION OF \$2.6 MILLION JOINTLY OWED; WILL NOT APPLY FOR REGISTRATION WITH COMMISSION IN ANY CAPACITY FOR 5 YEARS; FOR 7 YEARS WILL NOT ACCEPT ANY POSITION/DUTIES INVOLVING SUPERVISION OF PERSONS WHO TRADE FOR OTHERS/SOLICIT CUSTOMERS/OFFER ADVICE INSTRUMENTS THE COMMISSION REGULATES.
MCCONNELL, HOWARD J.	83-C5141	ND IL	08/24/83	4b 4d 4g		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
MCCORKELL, GARY LYNN	94-12	CFTC	11/02/94	4b(a)(i) 4b(a)(ii) 4m 4n(3)(A) 4o(1) 9(a)(1)	1.31 4.20(a) 4.20(b) 4.20(c) 4.23		CEASE & DESIST ORDER; PEN. AMNT.: \$233,000; TRADING PRIVILEGES REVOKED; EFFECTIVE AS FINAL ORDER 12/05/94.
MCDINE & ASSOCIATES	SD-94-8	CFTC	04/18/94	8a(2)(C)			REG. REVOKED AS CTA & CPO.
MCDINE & ASSOCIATES FUTURES FUND LTD. PARTN	92-459-C-1	SD OH	06/11/92			PRELIMINARY INJUNCTION	RECEIVER APPOINTED; SYDNEY WEIL OF THE LAW FIRM BECKMAN, WEIL, SHEPARDSON & FALLER, 1200 MERCANTILE CENTER, 120 E. 4 TH STREET, CINCINNATI, OHIO 45202 (513/621-2100) NAMED RECEIVER.
MCDINE & ASSOCIATES, INC.	92-459-C-1	SD OH	10/13/93	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(g)(1) 4.20(c)	PERMANENT INJUNCTION	
MCDINE LIMITED PARTNERSHIP	92-459-C-1	SD OH	06/11/92			PRELIMINARY INJUNCTION	RECEIVER APPOINTED; SYDNEY WEIL OF THE LAW FIRM BECKMAN, WEIL, SHEPARDSON & FALLER, 1200 MERCANTILE CENTER, 120 E. 4 TH STREET,

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CINCINNATI, OHIO 45202 (513/621-2100) NAMED RECEIVER.
MCDINE, DAVID D.	92-459-C-1	SD OH	10/13/93	4b(a)(i) 4b(a)(ii) 4o(1) 4d(1)	4.21(g)(1) 4.20(c)	PERMANENT INJUNCTION	NOT TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; PAY RESTITUTION OF \$1,773,108.00.
MCDINE, DAVID DIRK	SD-94-8	CFTC	04/18/94	8a(2)(C)			REG. REVOKED AS AP.
MCFARLIN, JOHN K.	92-8	CFTC	12/09/91	4b(A) 4o(1) 4m(1)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NEVER TO APPLY FOR REGISTRATION.
MCGEE, KAI KAMAKANI	SD-92-4	CFTC	11/17/92	8a(3)(J)			REG. REVOKED AS CPO, CTA & AP.
MCGHEE, ANDREW	83-4	CFTC	05/30/86	4b(A) 4d(2) 4g(1) 9(a)	1.20(a) 1.35 166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY FOR 7 YEARS.
MCGHEE, FRANK H.	83-4	CFTC	05/30/86	4b(A) 4d 4d(2) 4g(1) 4g(2) 9(a)	1.20(a) 1.31 1.32 1.35 1.35(b)(1)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 90 MO.; NOT TO REAPPLY FOR REGISTRATION IN ANY CAPACITY.
MCGIVNEY, JOSEPH P.	SD-87-3	CFTC	12/18/90				REG. REVOKED AS AP & CPO.
MCGIVNEY, JOSEPH P., SR.	99 C 2357	N.D. IL.	7/17/00	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a)(i) 4.20(c) 4.21	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ THE COMMISSION; DISGORGEMENT OF \$804,085 WILL SATISFIED THROUGH RESTITUTION PAYMENTS; RESTITUTION OF \$755,085 PLUS PRE-JUDGEMENT INTEREST OF \$115,950 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY & EDWIN KOZIOL. RESTITUTION OF \$49,000 PLUS PRE-JUDGEMENT INTEREST OF \$3,693 JOINTLY & SEVERALLY OWED BY J. MCGIVNEY, KOZIOL, & JPM, INC. AND POST JUDGEMENT INTEREST.
MCGIVNEY, MARITA	99 C 2357	N.D. IL.	7/17/00			ORDER OF EQUIABLE RELIEF	FREEZE OF ASSETS; DISGORGMENT OF \$100,000 PLUS POST JUDGEMENT INTEREST, DEFERRED FOR 3 YEARS BASED ON SWORN

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FINANCIAL STATEMENT; ANY RESTITUTION MADE BY J. MCGIVNEY SHALL SATISFY DOLLAR-FOR-DOLLAR THIS DISGORGMENT AMOUNT BEFORE EXPIRATION OF 3 YEAR PERIOD.
MCGOLDRICK, NEIL T.	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.; APPEALED.
MCGRATH, F. PATRICK	75-4-603	D MN				COMPLAINT FILED	
MCGUINESS, EVELYN M.	78-34	CFTC	12/01/80	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
MCINTOSH, RONALD J.	85-1555	ND CA	06/10/88 08/29/91	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ORDER OF DISGORGEMENT ISSUED ON 5/3/89; RM TO DISGORGE \$336,241.
MCLAURIN, ZEBEDEE V.	95-C-0285	ED IL	07/01/96	4b(a)(i) 4b(a)(ii)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ALL CONTRACTS RESCINDED.
MCNAIR, WILLIAM A.	78-10	CFTC	01/27/81	4g	1.35		SUSP. AS AP 1 MO. OR LESS.
MCPHERSON, JOHN A.	99-6	CFTC	3/9/00	4c(b) 4d(1)	1.33(a) 1.55 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
MCVEAN TRADING & INVESTMENTS	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	1.35(a-1)(1) 17.00(a) 17.01(b) 18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$875,000.
MCVEAN, CHARLES DOW	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	1.35(a-1)(1) 17.00(a) 17.01(b) 18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$875,000.
MCVEY WHITNEY, INC.	86-H-2284	SD TX	02/24/88	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED; PROHIBITED FROM VIOLATING TEXAS SECURITIES LAWS.
MDSK ASSOCIATES, INC.	92-00361	D CT	08/06/92	4(a)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; THE COURT ALSO RESCINDED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ALL OUTSTANDING CONTRACTS.
MECA INTERNATIONAL INC.	96-74525	ED MI	05/20/98	4b(a)(i) 4b(a)(ii) 4m(1) 4m 4k(2) 4o(1)(B) 9(a)(1) 4n(4)	4.21(a) 4.21(b) 4.22 4.20(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE ACT AND ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT.
MECKLENBURG, FREDERICK	88-3	CFTC	11/17/87		1.56(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MEEK, DAVID W.	84-6495-JE	SD FL	07/01/85 04/01/86	4n(3)(A)	1.31 4.23 4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; CHARGED WITH CIV. CONTEMPT.
MEEK, DAVID W.	85-6451	SD FL	06/09/92	4m 4o		PERMANENT INJUNCTION	
MEGA TREND 2000 INC.	02-6619	CD CAL	5/11/2004	4(a)		DEFAULT ORDER	RESTITUTION OF \$870,352.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR; EACH DEFENDANT OWES \$120,000 IN CIVIL MONETARY PENALTIES.
MEGA TREND 2000, INC.	02-6619	CD CA	8/23/02			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
MEGATECH FINANCIAL SERVICES, INC.	84-10501	ND IL	09/16/85	4o(1) 4(a)(1) 4(a)(2) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM VIOLATIONS OF ILL. CONSUMER FRAUD & DECEPTIVE BUS. PRACTICES ACT.
MEGATECH FINANCIAL SERVICES, INC.	85-26	CFTC	09/13/85	4(a)(1) 4(a)(2) 4b(A) 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
MEHMEDOVIC, IZMIR	04-23	CFTC	8/24/2004	4b(a)(1)(i) & (iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN DAYS; TRADING PRIVILEGES AND FB REGISTRATION SUSPENDED FOR 3 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
MEIERFIELD, GILBERT	80-28	CFTC	05/04/82	4b 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
MEKERTICHIAN, EDMOND	92-21	CFTC	12/16/92	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 6 MO.; NOT SEEK REGISTRATION FOR 1 YEAR; CONDITIONS IMPOSED IF REGISTRATION SOUGHT BETWEEN 1 & 2 YEARS; NOT APPEAR ON FLOOR FOR 6 MONTHS; AFTER, REGISTRATION SUBJECT TO CONDITIONS FOR 1 YEAR.
MEL SCHNELL COMPANY	86-7	CFTC	02/24/86		1.35(a-1)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MELIN, MARK	04-28	CFTC	9/30/2004	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS.
MELROSE ASSET MANAGEMENT CORP.	02 C 6222	ND IL	8/30/02			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STEPHEN T. BOBO APPOINTED AS TEMPORARY RECEIVER.
MELROSE ASSET MANAGEMENT CORPORATION	SD 04-10	CFTC	9/29/2004			COMMISSION ORDER	CPO & CTA REGISTRATION REVOKED.
MELROSE FUND, LLC	02 C 6222	ND IL	8/30/02			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STEPHEN T. BOBO APPOINTED AS TEMPORARY RECEIVER.
MENDOZA, ROBERT	6:03CV42	ED TX	6/15/2004			CONSENT ORDER	DISGORGEMENT OF \$50,000; ALL PAYMENTS SHOULD BE MADE TO THE COURT-APPOINTED RECEIVER IN CRIMINAL PROCEEDINGS - ROBB EVANS.
MENKES, MICHAEL S.	78-41	CFTC	09/22/81				REG. REVOKED AS AP.
MENKES, MICHAEL S.	80-15	CFTC	02/28/83	4b 4o			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
MERCHANTS TRADING COMPANY	89-25	CFTC	08/03/90	4g(1) 6(b)	17.00(b) 17.01(b)(7) 17.01(b)(7) 17.02(b)(2) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$32,000.
MERCHANTS TRADING	90-10	CFTC	04/24/90		166.3		CEASE & DESIST ORDER; PEN.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
COMPANY							AMNT.: \$5,000.
MERDINGER, STANLEY	79-0827	SD NY	10/05/82	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS.
MEROLLA, PAUL	01-07	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; TRADING PRIVILEGES SUSPENDED FOR 6 MONTHS; FB REGISTRATION SUSPENDED FOR 6 MONTHS; JOINT OWED RESTITUTION OF \$14,700 AND \$5,200 RESPECTIVELY WITHIN 10 DAYS.
MERRILL LYNCH & CO., INC.	99-11	CFTC	05/20/99	6(c) 6(d) 9(a)(2)		COMPLAINT FILED	
MERRILL LYNCH FUTURES	97-10	CFTC	06/24/97	4c(a)(A)	1.37(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$175,000.
MERRILL LYNCH FUTURES, INC.	85-44	CFTC	09/27/85	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000.
MERRILL LYNCH FUTURES, INC.	85-48	CFTC	09/30/85	4b 4g	1.33 1.37 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TO REVIEW AND REFORM CERTAIN TRAINING AND BRANCH OFFICE OPERATIONS AND TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
MERRILL LYNCH FUTURES, INC.	85-6	CFTC	11/14/85	4c(a)(A) 4c(a)(B)	1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
MERRILL LYNCH FUTURES, INC.	88-13	CFTC	03/22/88	4g(1)	1.31(a)(1) 1.31(a)(2) 1.35(a) 1.35(a-1)(2) 166.3		PEN. AMNT.: \$150,000 JOINTLY OWED.
MERRILL LYNCH INTERNATIONAL, INC.	99-11	CFTC	06/30/99	6(c) 6(d) 9(a)(2)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000,000 JOINTLY OWED.
MERRILL LYNCH, PIERCE, FENNER & SMITH INC.	88-13	CFTC	03/22/88	4b(A) 4g(1)	1.31(a)(1) 1.31(a)(2) 1.35(a) 1.35(a-1)(1) 1.35(a-1)(2) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED.
MERRILL LYNCH, PIERCE, FENNER, AND SMITH	86-8	CFTC	02/24/86	4g	1.31(a)(1) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TO UNDERTAKE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.35(a-1)(1)		IMPROVEMENTS IN RECORDKEEPING.
MERSCH, FREDERIC J.	01-02	CFTC	11/7/00	4a(e) 4i 6(c)	18.04(a)(5) 18.04(a)(9)(ii) 18.04(d)	COMPLAINT FILED	
MERWIN, JOHN	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED.
MERWIN, JOHN	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
MESSINA, JOHN	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
METALLICO	86-1479G	ND TX	06/16/86	4c(c) 4c(b)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED; ACCOUNTING ORDERED; PROHIBITED FROM VIOLATING TEXAS SECURITIES ACT.
MEYERS, BARBARA	80-27	CFTC	01/09/84	4b 4h 4k			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
MG FUTURES, INC.	95-14	CFTC	07/27/95		1.10(b)(1)(i) 1.12(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,250,000 JOINTLY OWED; COMPLY WITH UNDERTAKINGS IN 7/27/95 ORDER; COOPERATE WITH COMMISSION.
MG REFINING & MARKETING, INC.	95-14	CFTC	07/27/95	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$2,250,000 JOINTLY OWED; COMPLY WITH UNDERTAKINGS IN 7/27/95 ORDER.
MICHAEL EDWARDS TRADING GROUP, LTD.	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
MICHELETTO, JAMES D.	SD-90-1	CFTC	03/27/90				REG. DENIED AS FB; APPEALED ON 5/17/90; APPEAL DISMISSED AS UNTIMELY ON 11/14/91.
MICHELETTO, JAMES D.	SD-95-15	CFTC	04/10/95				FT CONDITIONAL REGISTRATION TO BE IN EFFECT FOR 2 YEARS.
MICHNO, KAZIMIR	82-27	CFTC	09/12/86	4b(A) 4b(B) 4b(C) 4d(1) 4d(2)	1.7 1.20(a) 4.20 4.21(a) 4.21(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$9,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; APPEAL WITHDRAWN 11/24/86.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4h(2) 4n(3)(A) 4n(4) 4o(1)	4.21(c) 4.22(a) 4.21(g) 4.22(n) 4.23 1.31 1.25 1.22 1.20 1.12		
MICHNO, KAZIMIR	90-16	CFTC	04/22/91	6(b) 8b 4k(3)	4.31		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
MID ATLANTIC OIL EXCHANGE	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
MIDAMERICA COMMODITY EXCHANGE, INC.	77-20	CFTC	08/16/77	5a(8)	1.51 1.53		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
MID-AMERICAN MONETARY EXCHANGE INC.	85-72563	ED MI	11/01/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
MIDLAND RARE COIN EXCHANGE, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY AND SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,499,950 PLUS PRE- JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
MID-SOUTH COAL, INC.	81-2250-W	WD TN	06/10/81	4 4h 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
MIDWEST COMMODITY CORPORATION	83-40	CFTC	09/21/83	4o(1)(B) 4n(4)	4.22(a) 4.22(b) 4.22(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
MILANO, MICHAEL	80-30	CFTC	06/23/87	4b 4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRAD. PRIV.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
MILLBRAE SUN HING BULLION	92-9	CFTC	12/09/91	4(a) 4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY FOR REGISTRATION.
MILLBRAE SUN HING BULLION LIMITED	90-5214R	CD CA	12/17/91	4(a) 4b(A)		PERMANENT INJUNCTION	
MILLER, BRUCE	02-14	CFTC	12/30/03	4b(a)(i) 4b(a)(iii)		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000 TO BE PAID WITHIN 30 DAYS; PROHIBITED FROM TRADING FOR TEN YEARS.
MILLER, HOWARD	92-4	CFTC	7/23/2004			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$350,000.
MILLER, LEON FRANCIS JR.	87-06486R	CD CA	10/11/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
MILLER, STEPHEN A.	85-13	CFTC	07/03/85	4i 4c(b)	15.01(c) 18.04 33.2(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRAD. PRIV. SUSP. 60 MO.
MILLER, STEPHEN W.	80-4	CFTC	06/20/84	13(a) 4d(2) 4f(2) 4g(1) 4g(3) 4g(4)	1.20(a) 1.26(a) 1.28 1.17 1.32 1.23 1.33 1.33(a) 1.35(a-1)		PEN. AMNT.: \$300.
MILLER, THOMAS T.	1:00 CV 0300	ND IND	2/12/03	4o(1)(B)		PERMANENT INJUNCTION	DISGORGEMENT OF \$780,000; CIVIL MONETARY PENALTY OF \$780,000; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE WITH FERGUSON FOR RESTITUTION OF \$8,000,000 PLUS PRE-JUDGMENT INTEREST IN THE AMOUNT OF \$244,655 PURSUANT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TO PAYMENT PLAN.
MILLER, THOMAS T.	SD 03-04	CFTC	5/2/03			COMMISSION ORDER	ASSOCIATED PERSON REGISTRATION REVOKED.
MILLS, ADAM	04-60744	SD FL	6/7/2004			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS
MILLS, MAURICE L.	CV02-2076	WD WA	10/3/02	4b(a)(i) 4b(a)(iii)		PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; DEFENDANTS SHALL POST NOTICE ON WEBSITE REGARDING SUIT FILED BY CFTC.
MIMS, GERALD D.	92-522	MD FL	05/07/93	4b 4d(1) 4m(1) 4o		PERMANENT INJUNCTION	MAIL PROMISSORY NOTES AND MAKE PAYMENTS TO FORMER CUSTOMERS TOTALING \$313,978.00; 11/07/94 U.S. DISTRICT COURT OF FLORIDA HOLDS MIMS IN CONTEMPT OF COURT FOR FAILURE TO COMPLY WITH MAY 7, 1993 ORDER.
MIMS, GERALD D.	93-7	CFTC	05/11/93	4b 4d(1) 4m(1) 4o			CEASE & DESIST ORDER; NEVER SEEK REGISTRATION OR ACT IN A CAPACITY REQUIRING REGISTRATION.
MINI-SYSTEMS, INC.	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(a) 1.35(b)	PERMANENT INJUNCTION	
MINNEAPOLIS COMMODITIES, INC.	75-4-603	D MN	01/09/76	4d(2) 4f(2) 4g 4b(A) 4b(B) 4b(C)	1.17(a) 1.20(a) 1.22 1.32 1.35(a) 1.35(b)	PERMANENT INJUNCTION	
MINNEAPOLIS GRAIN EXCHANGE	88-27	CFTC	09/20/88	5a(8)	1.51 1.53 8.06		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; UNDERTAKES TO MAINTAIN A LOG OF ALL INVESTIGATIONS OPENED AND CLOSED BY THE DEPARTMENT OF AUDITS AND INVESTIGATIONS; TO PROVIDE A COPY OF THE LOG INVESTIGATIONS TO THE DIVISION OF TRADING AND MARKETS MONTHLY.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MINTZ-MARCUS-GOLD & CO.	86-9	CFTC	02/24/86		1.31 1.35(a) 1.35(a-1)(2) 1.35(a-1)(4)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
MIRAGLIA, BERNARD	94-13	CFTC	7/15/2004	4c(a)(1)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
MIRANT AMERICAS ENERGY MARKETING, LP	05-05	CFTC	12/3/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$12,500,000; SHALL COMPLY WITH UNDERTAKINGS.
MIRONOV, ALEXEY	SACV 03-1454-JVS	CD CAL	10/15/03	4b(a)(2)(i) & (iii) 4f(b)	1.17(a)(1) & (4)	PRELIMINARY INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SPEND MORE THAN \$5,000 IN THE NEXT 90 DAYS ON REASONABLE ATTORNEYS FEES AND ANY PAYMENT MUST BE MADE WITH APPROVAL OF THE COMMISSION; SHALL NOT SPEND MORE THAN \$1,500 PER MONTH ON ORDINARY AND REASONABLE LIVING EXPENSES.
MISCHLER, JEFFREY A.	04-2181	WD TN	3/17/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
MISHRICK, SHUKRY	83-55	CFTC	12/02/83				REG. REVOKED AS AP.
MITCHEL, ROBERT J.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY AND SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
MITCHELL, KEVIN	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
MITCHELL, ROBERT J.	97-7422	SD FLA	10/20/99	4b(a)(2)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDER; JOINTLY &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SEVERALLY OWE RESTITUTION AND DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGMENT INTEREST.
MITRA, KEN	02-1783	D MN	3/26/2004	4b(a)(i) - (iii) 4o(1)(A) & (B) 4m(1) 4k(2)	4.24 4.25	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$3,127,752 PLUS PRE-JUDGMENT INTEREST JOINTLY OWED WITHIN 30 DAYS; CIVIL MONETARY PENALTY OF \$660,000 TO BE PAID WITHIN 30 DAYS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
MITSOPOULOS, CONSTANTINE	99-17	CFTC	8/31/00	4g	1.35(a-1)(1) 1.35(a-1)(2) 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000; SHALL COMPLY WITH UNDERTAKINGS, INCLUDING NEVER TO APPLY FOR REGISTRATION W/ COMMISSION.
MITSUBISHI INTERNATIONAL CORP.	97-10	CFTC	06/24/97	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$150,000.
MITTELSTADT, BRUCE W.	SD-95-17	CFTC	06/27/95				CONDITIONALLY REGISTERED FOR 2 YEARS AS A FT.
MITTELSTADT, BRUCE W.	92-7	CFTC	11/26/91	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB; AFTER SUSPENSION EXPIRES, MAY ONLY TRADE FOR OWN ACCOUNT; MUST LIQUIDATE POSITIONS BEFORE COMMENCEMENT OF TRADING SUSPENSION.
MIYAKO TSUSHO COMPANY, LTD.	90-1	CFTC	04/17/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; TRAD. PRIV. SUSP. 24 MO.
MIZRAHI, SAM	82-39	CFTC	01/20/84	4c(b) 4c(c) 4k(4)	1.14(b) 32.9 32.11		CEASE & DESIST ORDER; PEN. AMNT.: \$1,500; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
MIZRAHI, SAM	83-7	CFTC	12/06/82				CONSOLIDATED WITH 82-39.
MOBLEY TRADING & INVESTMENT CORP.	00-CIV-1317	S.D. N.Y.	2/24/00			PRELIMINARY INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TO ACT AS RECEIVER.
MOBLEY, DAVID M., SR.	00-CIV-1317	S.D. N.Y.	2/24/00	4b 4o(1)		INJUNCTION & SRO	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT SEEK REGISTRATION W/ COMMISSION; OTTO G. OBERMIER APPOINTED TO ACT AS RECEIVER.
MOCATTA METALS CORPORATION	89-3	CFTC	11/10/88	4c(a)	1.38(a)	PRELIMINARY	CEASE & DESSIT ORDER; PEN. AMNT.: \$145,000.
MOCK, DALE LUTHER	00-22	CFTC	6/27/00	4b(a)(i) 4b(a)(iii)	166.2	COMPLAINT FILED	
MO-COMM FUTURES INCORPORATED	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER; REG. REVOKED AS CPO.
MO-COMM FUTURES, INC.	78-0122	WD MO	12/20/78	4o		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
MODIST, MARK L.	97-7422	SD FLA				COMPLAINT FILED	
MOELLER, ORVILLE W.	85-185-JLQ	ED WA	08/07/87	4o(1)		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING SECTION 17(a) OF THE SECURITIES ACT OF 1933.
MOMENTUM TRADING GROUP, LTD. d/b/a ORCA FUNDS	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
MONARCH EQUITY CORPORATION	87-341R	SD CA	09/14/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; MAY NOT SEEK REGISTRATION WITH THE COMMISSION OR ENGAGE IN ACTIVITIES THAT WOULD REQUIRE REGISTRATION.
MONCUR, ROBERT	2:98CV00216J	CD UT	08/25/99	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$21,505; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS PERMANENTLY RESTRAINED, ENJOINED AND PROHIBITED FROM DIRECTLY OR

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INDIRECTLY: 1) ACTING AS FCM, CPO, CTA, IB, FB, FT OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION WITH COMMISSION; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; CIVIL MONETARY PENALTY NOT ORDERED BASED ON SWORN FINANCIAL STATEMENT.
MONDI, DAVID M.	84-20	CFTC	05/19/87	4c(a)(A) 4i 6(b)	18.00 18.01(a) 18.04(e) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
MONETARY MARKETING, INC.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
MONEX INTERNATIONAL, LTD.	84-50	CFTC	11/08/84	19	31.5(a)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$125,000.
MONIESON, BRIAN P.	89-1	CFTC	06/07/93	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS FB.
MONTE, FRED	99-8750-CV	S.D. FL.	10/29/99			REVISED EX PARTE SRO	ACCESS BOOKS & RECORDS; PROTECT BOOKS & RECORDS; ASSET FREEZE LIFTED.
MONTE, JEANNE H.	99-8750-CV	S.D. FL.	10/29/99			REVISED EX PARTE SRO	ACCESS BOOKS & RECORDS; PROTECT BOOKS & RECORDS; ASSET FREEZE LIFTED.
MONTFORT, JAMES BROWN III	SD-91-4	CFTC	01/22/92	8a(3)(G) 8a(3)(M) 8a(4) 8a(N)			MAY NOT APPLY TO REGISTER FOR 5 YEARS, BUT MAY APPLY FOR CONDITIONAL REGISTRATION IN 2 YEARS; WITHDRAW REGISTRATION.
MONTGOMERY COMPANY, INC. (THE	87-15	CFTC	02/11/88	4i	17.00 17.01 17.02		CEASE & DESIST ORDER; PEN. AMNT.: \$3,500.
MOORE, BRIAN	SACV02-173	CD CAL	3/24/03	4b(a)(i) & (iii) 4(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$490,047 CONTINGENT PURSUANT TO PAYMENT PLAN; JOINTLY & SEVERALLY LIABLE WITH MAS FX, FX ADVISORS PACIFIC, AND FX ADVISORS EAST FOR

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$2,259,403 IN RESTITUTION PLUS POST JUDGMENT INTEREST TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
MOORE, EARL	79-1436	ND IL	12/08/80	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
MOORE, JAMES DARREN	1:03 CV 149	MD NC	6/20/03	4b(a)(2)(i)-(iii)	1.1(b)	COMPLAINT FILED	
MOORE, STANLEY EDWARD	00-31	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; CTA REGISTRATION SUSPENDED FOR 6 MONTHS; SHALL COMPLY W/ UNDERTAKINGS.
MOORE, STEPHEN E.	03 CV 9129	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
MOORE, STEVEN	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
MOORGATE LTD.	92-041-LDG	D NV	08/03/93				COURT ORDER; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; COURT ORDER JOHN H. MOWBRAY IS THE TEMPORARY RECEIVER; SURRENDER ALL CONTRACTS RESCINDED.
MORAN, JOHN	81-2593	D NJ	09/28/81	4b(A) 4m 4n(1) 4o(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	
MORAN, JOHN	82-4	CFTC	11/20/81	4b(A) 4m 4n(1) 4o(1)	1.10(c) 1.14 4.31(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & AP; NOT TO REAPPLY FOR REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MORGAN J. DALEY CORPORATION	81-770	D MN	04/03/85	4o(1) 4n(4) 4n(3)(A)	1.16 4.22(d) 4.22(h) 4.23 1.31(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
MORGAN J. DALEY CORPORATION	85-15	CFTC	03/14/85	4n(3) 4n(4) 4o(1)	1.16 1.31(a) 4.21 4.22(d) 4.22(b) 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA.
MORGAN, HARRIS & SCOTT, LTD.	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
MORGAN, OLMSTEAD, KENNEDY & GARDNER	85-42	CFTC	04/02/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
MORIK, YOSSI	89-5	CFTC	10/19/90				APPEALED.
MORMENEO, CARLOS MANUEL	87-14	CFTC	04/26/88				SEE DOCKET NO. 88-1.
MORMENEO, CARLOS MANUEL	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$37,500; SUSP. AS AP 1-2 MO.; ALSO SETTLES PROCEEDING IN DOCKET 87-14; NOT TO ACT IN SUPERVISORY CAPACITY FOR 2 YEARS; CIVIL PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWED FUNDS EXCEED CUSTOMER CLAIMS.
MORRIS, ELLISON KENT	03-80032	SD FL	8/5/2004	4c(b)	32.9 32.11 33.3(a)	PERMANENT INJUNCTION	DEFAULT ORDER; JOINT OWED RESTITUTION OF \$1,092,880.60; CIVIL MONETARY PENALTY TO BE DETERMINED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
MORRIS, JOHN	80-01109	CD CA	05/07/80	4 4h		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ENJOINED FROM TRADING PETROLEUM FUTURES.
MORRISH ALLIANCE, LTD.	04 CV 02768	SD NY	4/12/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MORRISON, MARVIN J.	88-K-271	D CO	07/05/89	4b(A) 4b(B) 4b(C) 9(a) 4d(1) 4d(2)	1.20(a)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; CERTAIN ASSETS FROZEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MORRISON, RONALD	87-0341R	SD CA	02/05/90	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CALIFORNIA BUSINESS AND PROFESSIONS CODE; PROHIBITED FROM PARTICIPATING IN BROKERAGE BUSINESS SUBJECT TO SEC, CFTC, FEDERAL OR STATE LAW FOR TELEPHONE SOLICITATION.
MORRISSEY, OWEN	85-25	CFTC	11/06/86	4b 4d(2) 4f(2)	1.22 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$175,000; SUSP. AS FB 6 MO.; NOT TO APPLY FOR REGISTRATION AS FCM FOR 2 YEARS; NOT TO BE AN FCM PRINCIPAL OR OFFICER FOR 2 YEARS.
MORSE, JAMES	78-19	CFTC	08/12/82	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 120 MO.
MORSE, JAMES	78-4195EW	SD NY	09/20/78	4k(1) 4b 4d(2) 4f(2)	1.17 1.20	PERMANENT INJUNCTION	
MORSE, JAMES	79-1201	SD NY	04/05/79		32.9 32.11 32.5 32.3	PERMANENT INJUNCTION	DISGORGEMENT.
MORSE, JAMES	80-0689	SD NY	07/15/81	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
MORSE, THOMAS D.	82-0312	ED MO	06/11/84	4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; AFFIRMED ON APPEAL BY 8 TH CIR.
MORTON, KEITH B.	85-46	CFTC	02/21/86	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
MOSES, DON R.	87-3-498	ED TN	01/17/90	4m(1)	4.21	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1) 4n(4)	4.22 1.31 4.23		PAY TOTAL OF \$20,000 INTO ACCOUNT FOR BENEFIT OF CUSTOMERS.
MOSES-SEAY COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
MOSES-SEAY TRADING COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
MOSKOWITZ, RICHARD ALLAN	SD-94-7	CFTC	09/20/95				REG. DENIED AS FB; APPEALED; RESPONDENT APPEAL TO COMMISSION – 10/06/95.
MOSKOWITZ, RICHARD ALLEN	SD-90-3	CFTC	02/05/93	8a(3)(D) 8a(3)(G) 8a(4)	3.31 3.60		REG. REVOKED AS FB.
MOSKY, ROBERT D.	91-19	CFTC	06/25/97	4b(A) 4b(D)			CEASE & DESIST ORDER.
MOSKY, ROBERT D.	SD-93-16	CFTC	11/08/93				WITHDRAW FT REGISTRATION APPLICATION AND ENSURE THAT NO ACTION STATUS IS TERMINATED.
MOSS, NEIL KENNETH	80-4801	CD CA	03/19/81	4 4b 4h 4m 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
MOSS, PHILIP	80-28	CFTC	03/27/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
MOSS, PHILIP	80-31	CFTC	04/18/91	4c(a)(A) 4c(a)(B) 4b 4b(D) 4g	1.35 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1-2 MO.; DISMISS APPEAL TO 2 ND CIRCUIT.
MOUNT, STEPHEN E.	80-36	CFTC	09/27/85	4d(2) 4f(1) 4f(2) 4g(1) 6(b)	1.10(d) 1.17(a) 1.18(a) 1.20(a) 1.23 1.31 1.32 1.35(a) 1.18(c) 1.10(f)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.32		
MOUNTAIN ENERGY COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
MOYER, FRANK	86-6778	SD FL	10/22/86	4c(c)		PERMANENT INJUNCTION	ALSO ENJOINED FROM VIOLATING FLORIDA INVESTOR PROTECTION ACT; TO PAY \$5,000 TO RECEIVER.
MOYLE, ROBERT F.	85-45	CFTC	09/27/85	4k(1)	3.12(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
MSP TRADING, INC.	90-14	CFTC	03/12/91	4g	1.31(a)(1) 1.35(a) 1.35(a-1)(4) 1.35(b) 1.35(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NEVER TO REGISTER WITH THE COMMISSION.
MUDGE, GARY	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
MUELLER, MARK HUGO	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING: FOR A ONE YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
MULLER, JOHN J.	77-22	CFTC	08/02/82	4b(A)	32.9		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(b)			AMNT.: \$7,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP.
MULLER, JOHN J.	77-390JE	SD FL	03/25/80	4c(b)	32.9	PERMANENT INJUNCTION	
MULLET, MICHAEL D.	90-192	D CO	12/02/91	4m(1) 4b(A) 4o 4b(B) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$405,961.86 MINUS ANY PAYMENT MADE TO THE STATE OF ARIZONA FOR RESTITUTION TO CUSTOMERS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; RECEIVER MAY BE APPOINTED.
MULLIGAN, SUSAN	89-10	CFTC	07/26/89	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; NEVER TO SEEK REGISTRATION OR ACT IN ANY CAPACITY OF ANY CLASSIFICATION OF REGISTRATION.
MULTI-NATIONAL HOLDING CORPORATION	82-2173	SD NY	09/13/82	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.17 1.10c 1.10d 1.14 1.20 4.20(c) 4.21(a) 4.21(b) 4.21(c) 4.22 4.24	PERMANENT INJUNCTION	DISGORGEMENT.
MULTI-NATIONAL HOLDING CORPORATION	83-5	CFTC	03/30/84	4b(A) 4d(1) 4d(2) 4m 4n(1) 4n(2) 4n(4) 4o(1)	1.7 1.10c 1.10d 1.14 1.20 4.20(c) 4.21 4.22 4.24		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
MULTI-STATE ADVISORY CORPORATION	81-2953	D NJ	09/28/81	4b(A) 4m 4n(1) 4o(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
MULTI-STATE ADVISORY CORPORATION	82-4	CFTC	11/20/81	4b(A) 4m 4n(1) 4o(1)	1.10c 1.14 4.31(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA; NOT TO REAPPLY FOR REGISTRATION.
MULTIVEST OPTIONS, INC.	90-11	CFTC	05/04/90	4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					166.3		REG. REVOKED AS FCM; NEVER TO SEEK REGISTRATION IN ANY CAPACITY.
MULTIVEST OPTIONS, INC.	90-6050	SD FL	05/09/90	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	RECEIVER APPOINTED.
MUNN, CAROLYN F.	97 C 7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; SHALL NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN, STEVENS & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
MUNSON, JOHN	77-4	CFTC	07/19/77	4c(b)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; REG. REVOKED AS AP & CTA.
MURLAS BROTHERS COMMODITIES, INC.	79-39	CFTC	06/26/79	4f(2) 4f(1)	1.179a) 1.10(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
MURLAS COMMODITIES, INC.	85-29	CFTC	09/01/95	4b(A)	166.3		CEASE & DESIST ORDER.
MURPHY, ARTHUR	80-9	CFTC	12/09/81	4b(c) 4d(2) 4f(2) 4g	1.17(a) 1.23 1.31 1.32 1.33(a)(1) 1.34 1.35(a) 1.46(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; SUSP. AS AP 1 MO. OR LESS; SUSP. AS CTA 1 MO. OR LESS; NOT TO BE AN FCM PRINCIPAL FOR 5 YEARS OR AN FCM OFFICER FOR 2 YEARS.
MURPHY, DONALD F.	88-1	CFTC	04/26/88	4c(b)	33.7(d) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; SUSP. AS AP 4 MO.
MURPHY, DONALD J.	82-37	CFTC	09/25/85	4b 4c(a) 4g	1.35 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; APPEAL WITHDRAWN.
MURPHY, JAMES T.	82-22	CFTC	03/21/85	4b(A) 4o(1) 4m 4n(3)(A) 4n(4)	4.21 4.22(c) 4.21(g)(1) 4.22(a) 4.22(h) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$37,500; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS CTA.
MURPHY, JOSHUA	SD-91-3	CFTC	03/31/92				CONDITIONALLY REGISTERED AS FLOOR BROKER; MAY NOT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ACT AS PRINCIPAL, PARTNER, OFFICER, DIRECTOR, OR BRANCH MANAGER; MAY NOT EXERCISE SUPERVISORY AUTHORITY; MAY NOT EXERCISE DISCRETIONARY TRADING AUTHORITY; EMPLOYER MUST EXECUTE "EMPLOYING REGISTRANT AGREEMENT;" CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
MURPHY, MICHAEL PATRICK	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1) 4i 6(b)	1.35(a-1) 166.2 33.10 155.3(b)(2) 1.38(a) 1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00 17.01(d) 18.00		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
MURPHY, ROBERT	84-243PHX	D AZ	04/22/87	19	31.1 31.2	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; COSTS AWARDED TO PAY TO ARIZONA ATTORNEY GENERAL \$5,000 PENALTY AND \$5,000 COSTS; ALSO ENJOINED FROM VIOLATING THE ARIZONA CONSUMER FRAUD ACT.
MURPHY, TIMOTHY	01-06	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMPLAINT FILED	
MURPHY, TIMOTHY J.	SD-96-10	CFTC	12/02/96	8a(3)(M)			CEASE & DESIST ORDER; CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS.
MURPHY, TIMOTHY R.	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1)	1.35(a-1) 166.2 33.10 155.3 1.38(a) 1.31		CEASE & DESIST ORDER; PEN. AMNT.: \$275,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP & CTA; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i 6(b)	1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00 17.01(d) 18.00		REGISTRATION.
MURPHY, WILLIAM JOSEPH III	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1) 4i 6(b)	1.35(a-1) 166.2 33.10 155.3 1.38(a) 1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00 17.01(d) 18.00		CEASE & DESIST ORDER; PEN. AMNT.: \$275,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP & CTA; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
MURRAY, COYT E.	04CV1512	D NJ	6/24/2004			COMPLAINT FILED	
MYATT, MICHAEL	CV-97-838MA	D OR	07/22/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS LIABLE FOR RESTITUTION IN THE AMOUNT OF \$3,931,524.69; DEFENDANTS ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION OR LICENSING UNDER THE CEA OR OREGON SECURITIES LAW IS REQUIRED; ALSO VIOLATED OREGON STATAUTES.
MYSKOWSKI, ANTHONY	SD-99-2	CFTC	01/28/99	8a(3)(M)			FB REGISTRATION RESTRICTED FOR TWO YEARS AS FOLLOWS: MYSKOWSKI SHALL NOT ACT AS AN FB OR FT UNLESS HIS ACTIVITIES ARE SUBJECT TO A SUPPLEMENTAL SPONSOR CERTIFICATION STATEMENT AND SUBMITTED TO SPEAR LEEDS & KELLOGG; HE SHALL NOT DIRECTLY OR INDIRECTLY TRADE ON BEHALF OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CUSTOMERS; SHALL NOT DIRECTLY OR INDIRECTLY ACT IN A SUPERVISORY CAPACITY; MYSKOWSKI'S REGISTRATION SHALL BE AUTOMATICALLY SUSPENDED IF HE IS CHARGED WITH A DISCIPLINARY OFFENSE AS DEFINED IN REG. 1.63(a)(6).
MYSKOWSKI, JOHN J.	90-12	CFTC	05/23/90	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION; NOT TO APPEAR ON TRADING FLOOR ON ANY CONTRACT MARKET DURING TRADING HOURS; TO MAKE FULL RESTITUTION AS DETERMINED IN RELATED PROCEEDINGS.
N.S. RAMCHANDRAN d/b/a RAM CHANDRAN	95-1598	D. NJ	2/29/00	4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	FINAL JUDGEMENT	
NACHWALTER FINANCIAL DEVELOPMENT CORP.	93-71445	ED MI	03/25/94	4b(a)(i) 4d(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
NACHWALTER, ELLIOTT H.	93-71445	ED MI	03/25/94	4b(a)(l) 4d(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
NAFEIY, FARZAD	SACV02-173	CD CAL	3/24/03	4b(a)(i) & (iii) 4(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$181,000 CONTINGENT PURSUANT TO PAYMENT PLAN; JOINTLY & SEVERALLY LIABLE WITH LAKIN FOR \$1,097,464.64 IN RESTITUTION PLUS POST JUDGMENT INTEREST TO BE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PAID PURSUANT TO ANNUAL PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
NAGY, ROBERT A.	84-28	CFT	02/08/85	4m 4b 13(a) 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP.
NAHAS, NAJI ROBERT	85-12	CFTC	09/05/86	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRAD. PRIV. SUSP. 60 MO.; TO UNDERTAKE PRODUCTION OF DOCUMENTS.
NAJIB ASSAF, INC.	85-18	CFTC	08/01/86	4l	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; PROHIBITED FROM TRADING EXCEPT FOR HEDGING FOR 12 MONTHS.
NANASCA, ROLANDO	97-1492	SD FL					
NANAY, MICHAEL	88-14	CFTC	09/20/88	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP.
NAPOLETANO, VITO	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
NAPOLETANO, VITO	03 CV 9127	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
NAPOLETANO, VITO	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
NATIONAL BULLION & COIN, INC. d/b/a NATIONAL BULLION & COIN SERVICES, INC.	00-6885	S.D. FL.	3/28/01			FINAL JUDGEMENT	FREEZE ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,456,510.80 PLUS PRE & POST JUDGEMENT INTEREST; EACH DEFENDANT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SHALL PAY A CIVIL MONETARY PENALTY OF \$2,456,510.80 WHICH IS EQUAL TO THE RESTITUTION SUM ORDERED.
NATIONAL CENTURY FINANCIAL CORPORATION	83-48	CFTC	03/14/84	4b 4n 4o	4.20 4.21 4.22 4.23		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 90 MO.; REG. REVOKED AS CPO & CTA; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS; PEN. AMNT.: \$20,000 LESS PAYMENTS TO CUSTOMERS.
NATIONAL CENTURY FINANCIAL CORPORATION	84-4181MRP	CD CA	06/06/84	4b 4n 4o	4.21 4.22 4.20 4.23	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
NATIONAL COAL EXCHANGE, INC.	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; RECEIVER APPOINTED.
NATIONAL COMMODITIES CORPORATION, INC.	04-80862	SD FL	9/13/2004			COMPLAINT FILED	
NATIONAL COMMODITY EXCHANGE OF NO. AMERICA	80-36	CFTC	10/28/81	8b 4b(A) 4b(C) 4f(1) 4g(1)	1.18(a) 1..35(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
NATIONAL MONETARY CORPORATION	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	RECEIVER APPOINTED.
NATIONAL MONETARY FUND, INC.	82-2062	SD FL	04/10/85	4o(1)	4.31(a) 166.3 4.1(a)(2)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
NATIONAL MONETARY FUND, INC.	85-17	CFTC	03/29/85	4o(1)	4.1(a) 4.31(a) 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO; NOT TO REAPPLY FOR REGISTRATION.
NATIONAL TRADING GROUP, INC.	88-05840HLH	CD CA	09/30/88	4(a) 4b(A)		PERMANENT INJUNCTION	
NAUD, ODILE	80-27	CFTC	03/18/83	4b 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$500; TRAD. PRIV. SUSP. 36 MO.; NOT TO APPLY FOR REGISTRATION FOR 3 YEARS.
NAULIN, DAVID O.	91-4586	CD CA	12/17/92	4d 4b(2)(A) 4b(2)(B) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DISGORGE \$1,427,686.41; DISTRIBUTE FUNDS IN COURT'S REGISTRY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TO CUSTOMERS.
NAULIN, DAVID O.	92-6	CFTC	11/22/91	4o(1) 4d 4b(2)(A) 4b(2)(B)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; MAY NEVER SEEK TO REGISTER WITH THE OMISSION IN ANY CAPACITY.
NAUMAN, LEONARD G. d/b/a NAUMAN ADVISORY SERVICES	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
NAWAB ALI KHAN ALI a/k/a NAWAB KHAN AND ERIC ALI	02-6619	CD CA	8/23/02			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
NAYLOR, JOHN C.	80-27	CFTC	01/09/84	4b 4d 4h 4k			CEASE & DESIST ORDER; PEN. AMNT. \$15,000; TRAD. PRIV. SUSP. 120 MO. NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
NDT FUND, LLC	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
NELSON GHUN AND ASSOCIATES, INCORPORATED	81-13	CFTC	02/22/82	4b(A) 4o(1) 4n(1)	4.21(a) 4.21(b) 4.31(a) 4.31(b) 1.10(c) 1.10(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
NELSON, GEORGE PHILIP	81-13	CFTC	03/02/84	4b(A) 4n(1) 4o(1)	1.10c 1.10d 4.21(a) 4.21(b) 4.31(a) 4.31(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.
NELSON, JOHN JOSEPH	84-44	CFTC	12/17/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$8,000.
NELSON, RANDALL individually	CV-04-B-2794-NE	ND AL	9/23/2004			COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
and d/b/a COMMODITY INVESTMENT CLUB OF HUNTSVILLE							
NESBIT, H. PAUL	81-17	CFTC	11/06/84				REG. DENIED AS CTA.
NESBIT, H. PAUL	81-21	CFTC	08/05/85	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRADING PRIVILEGES REVOKED.
NESBIT, H. PAUL	81-9	CFTC	11/06/84				REG. DENIED AS AP.
NEUBERGER SECURITIES CORPORATION	78-0317	SD NY	01/11/78	4c(b)	32.9	PERMANENT INJUNCTION	
NEUBERGER, RICHARD	78-0317	SD NY	01/11/78	4c(b)	32.9	PERMANENT INJUNCTION	
NEW FOREST CAPITAL MANAGEMENT INC.	96-C-0076	L	10/03/96	4b(a)(i) 4b(a)(ii) 9(a)(1) 4o(1)	4.30	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ENJOINED FROM SOLICITING; PROHIBITED FROM ANY ACTIVITY RELATED TO COMMODITY TRADING; PROHIBITED FROM SEEKING REGISTRATION.
NEW JERSEY PRECIOUS METALS TRADING CORP.	79-3371	SD NY	10/22/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
NEW MILLENIUM PROMOTIONS	99-7	CFTC	07/29/99	4d(1)	166.3		CEASE & DESIST ORDER; CIVIL MONETARY PENALTY IS NOT IMPOSED BASED ON SWORN FINANCIAL STATEMENT; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
NEW WORLD TRADING, LLC	04-80562	SD FL	6/21/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
NEW YORK & FOREIGN SECURITIES, CORPORATION	85-43	CFTC	05/06/86	4f(1)	21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
NEW YORK CAPITAL ASSETS, INC.	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
NEW YORK CURRENCY EXCHANGE CORPORATION	98CIV5588	SD NY	09/04/98 05/11/99	4(a) 4b(a)(i) 4d(1) 4d(2) 9(a)(1) 4k(1)		INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; DEFENDANTS JOINTLY & SEVERALLY PAY CIVIL MONETARY PENALTY OF

PRELIMINARY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$8,204,458.00 AND RESTITUTION OF \$2,701,486.00 PLUS INTEREST; ALL CONTRACTS WITH CUSTOMERS ARE RESCINDED.
NEW YORK CURRENCY RESEARCH CORPORATION	98-3	CFTC	09/22/99				COMPLAINT DISMISSED
NEW YORK CURRENCY RESEARCH CORPORATION	98CIV5588	SD NY	08/07/98 05/11/99			EX-PARTE ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DEFENDANTS JOINTLY & SEVERALLY PAY CIVIL MONETARY PENALTY OF \$8,204,458.00 AND RESTITUTION OF \$2,701,486.00 PLUS INTEREST; ALL CONTRACTS WITH CUSTOMERS ARE RESCINDED.
NEW YORK FUTURES TRADERS INC.	86-0770	ED NY	04/01/87	4b(A) 4d(1) 4d(2) 4m(1) 4o(1)	1.20 3.4 4.20(c) 4.21(a)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM ACTING IN CAPACITY REQUIRING REGISTRATION; ALSO PERMANENTLY ENJOINED FROM ENGAGING IN CERTAIN COMMODITY FUTURES BUSINESSES.
NEW YORK MERCANTILE EXCHANGE	77-14	CFTC	10/19/78	5(f) 5a(8)	1.51 1.53		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
NEW YORK MERCANTILE EXCHANGE	81-23	CFTC	07/20/81	5a(8) 5(f)	1.51 1.53 8.05 8.06 8.07		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
NEWMAN, C. DAVID	85-1052F	ND TX	11/03/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
NEWMAN, MITCHELL R.	88-19	CFTC	05/20/93	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; APPEALED; ID SUMMARILY AFFIRMED.
NEWMAN, SAMUEL	04-24	CFTC	9/9/2004	4m(1)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							UNDERTAKINGS.
NEWPORT INVESTMENT MANAGEMENT CORPORATION	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NEWTON, RUTH	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.
NEWTON, WILLIAM R.	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.
NEXGEN SOFTWARE SYSTEMS, INC.	H-04 2947	SD TX	7/20/2004			COMPLAINT FILED	
NEXT FINANCIAL SERVICES UNLIMITED, INC.	04-80562	SD FL	6/21/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
NG, JIMSON B.T.	93-0067	CD CA	01/07/93	4(a)		RESTRAINING ORDER	
NICE, NICK VAN	00-34	CFTC	9/28/00	4b(a)(i) 4b(a)(iii) 4c(b) 4o(1)	4.41(a) 4.41(b) 33.10	COMPLAINT FILED	
NICHOLSON, F. WILLIAM	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
NICKOLAOU, NICHOLAS J.	99-C-6425	N.D. IL	12/27/99	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; REMOVE ALL MISLEADING INFORMATION FROM WEBSITE.
NICOLETTI, DAVID	SD-95-1	CFTC	12/26/95				CONDITIONAL FT REGISTRATION FOR 2 YEARS.
NIKKHAH, SHAHROKH	95-13	CFTC	11/20/03			ALJ INITIAL DECISION	CIVIL MONETARY PENALTY MAY NOT BE IMPOSED AGAINST RESPONDENTS.
NIMC INCORPORATED	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NIMC PRECIOUS METALS, INC.	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NIMC STRATEGIC METALS INTERNATIONAL, INC.	81-4409	CD CA	12/23/81 03/03/82	4b 4 4h 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
NIX, JAMES T.	88-H-3543	SD TX	05/14/90	4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4d(2) 9(a)			
NIXON, BRUCE A.	89-5	CFTC	10/19/90				APPEALED.
NOBLE METALS INTERNATIONAL	92-041-LDG	D NV	08/03/93	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; JOHN H. MOWBRAY IS THE PERMANENT EQUITY RECEIVER.
NOBLE WEALTH DATA INFORMATION SERVICE, INC., a/k/a NOBLE WEALTH, INC., a/k/a NOBEL WEALTH, INC.	CIV-PJM-98-3316	D MD	5/14/2004			PERMANENT INJUNCTION	RESTITUTION OF \$5,264,251 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$1,211,058 PLUS POST JUDGMENT INTEREST OF \$287,295.94 TO BE PAID PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
NOK, SIU-WAH	90-3034	ND CA	09/10/91	4(a) 13(a) 4b(A) 4b(B)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION.
NOPKINE CO., INC.	94-2403	SD NY	04/05/94	4c(b)	32.9	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
NORCROSS MARKETING, INC.	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	
NORDLICHT, JULES	79-31	CFTC	01/07/81	4c(a) 9(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 3 MO.; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 21 MONTHS.
NORTH AMERICAN ASSET MANAGEMENT, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SEEKING REGISTRATION WITH THE COMMISSION.
NORTH AMERICAN PETROLEUM CORP.	80-0689	SD NY	03/02/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
NORTHEAST INVESTMENT SERVICES, INC.	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
NORTHERN FINANCIAL CORPORATION	77-2	CFTC	02/29/80	4f(2) 4g	1.17 1.35		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
NORTHERN, LOVELL BRAXTON III	93-3	CFTC	07/19/94	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 84 MO.; NOT TO APPLY FOR REGISTRATION WITH THE COMMISSION; NEVER ENGAGE IN ANY ACTIVITY REQUIRING SUCH REGISTRATION; NEVER TO ACT AS AN AGENT OR OFFICER OF ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; NOT TO ACT IN ANY CAPACITY WHICH CAUSES HIM TO ACCEPT OR HOLD CUSTOMER FUNDS.
NORTHWEST GOLD COINS, INC.	85-6066	SD FL	01/30/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
NORTHWEST TRADING GROUP	87-934-RE	D OR	09/01/87	4(a)		PERMANENT INJUNCTION	
NORTON, EDWARD K. JR.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
NORWELL TRADE WINDS, LTD.	82-1	CFTC	11/04/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	1.7 4.21(a) 4.21(b) 4.22(a) 4.23(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION.
NORWELL TRADE WINS, LTD.	81-1749MA	D MA	07/10/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	4.22(a) 4.23(a) 1.7 4.21(a) 4.21(b)	PERMANENT INJUNCTION	RECEIVER APPOINTED; ACCOUNTING ORDERED.
NOTCH S.A. PANAMA	86-29	CFTC	05/19/87	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 4 MO.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
NOVAK AND NOVAK TRADING COMPANY, INC.	80-32	CFTC	06/29/83	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV.L SUSP. 1 MO. OR LESS.
NOVAK, JAY	80-32	CFTC	06/29/83	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV.L SUSP. 1 MO. OR LESS.
NOVAK, JOHN P.	H-04 2947	SD TX	7/20/2004			COMPLAINT FILED	
NOWAK, JAMES D.	91-1	CFTC	12/17/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NEVER TO APPEAR ON TRADING FLOOR DURING HOURS OF TRADING OR LEASE, PURCHASE, OR OTHERWISE USE ANY EXCHANGE MEMBERSHIP; LIQUIDATE ALL FUTURES AND OPTIONS POSITIONS; MAKE RESTITUTION TO CUSTOMERS.
NRG ENERGY, INC.	04-cv-3090	D MN	7/1/2004			COMPLAINT FILED	
NUGENT, BARTHOLOMEW J.	90-23	CFTC	02/28/94	4f	3.31		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
O'CONNOR FUTURES INC.	88-6	CFTC	02/13/90	4c(a)(B)	1.38(a)		PEN. AMNT.: \$44,000.
O'BRIEN, FRANCIS J.	84-8	CFTC	02/05/87	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB ; \$3,000 CIVIL PENALTY TENTATIVELY SET.
O'BRIEN, ROBERT J. JR.	82-44	CFTC	01/23/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
O'BRIEN, THOM AS F.	84-29	CFTC	10/05/84	4b(A) 4o(1) 4o(2)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.
O'CONNOR, PHILIP M.	83-59	CFTC	01/17/84				REG. REVOKED AS FB.
O'CONNOR, PHILIP M.	84-7	CFTC	06/20/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.
O'CONNELL, JAMES L.	87-4	CFTC	12/09/88	4b 4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; NOT TO SEEK REGISTRATION EXCEPT AS AP FOR 5 YEARS.
O'CONNELL, THOMAS B.	2:98CV104	D VT	04/17/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1) 9(A)(1)	4.20 4.21 4.22 4.24 4.25	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; PERMANENT TRADING BAN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
O'CONNOR, BRIAN T.	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT
O'CONNOR, EDMUND J.	76-8	CFTC	09/26/75	4a	150.1		CEASE & DESIST ORDER.
O'GRADY, STEPHEN G.	88-26	CFTC	09/20/88	4b(A) 4k(2) 4n(3) 4n(4) 4o(1)	4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION AS CPO OR FCM FOR 10 YEARS; NOT TO APPLY FOR REGISTRATION AS A CTA OR AP OF A CTA, CPO OR FCM FOR 3 YEARS; NOT TO APPLY FOR REGISTRATION AS A FB OR IB, AS AN AP OF A FB OR AN AP OF AN IB FOR 6 MONTHS.
O'HERRON ASSET MANAGEMENT	1:00 CV 913	WD MI	10/9/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	PERMANENT INJUNCTION	FREESE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; RESTITUTION OF \$1,420,359.18 PLUS PREJUDGMENT INTEREST OF \$190,986.24 PURSUANT TO TEN YEAR PAYMENT PLAN.
O'HERRON, JOHN	1:00 CV 913	WD MI	10/9/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	PERMANENT INJUNCTION	FREESE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; RESTITUTION OF \$1,420,359.18 PLUS PREJUDGMENT INTEREST OF \$190,986.24 PURSUANT TO TEN YEAR PAYMENT PLAN.
O'MALLEY, JOSEPH P.	93-11	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; NOT TO ACT AS FT OR TRADE FOR HIMSELF FOR 6 MONTHS.
O'MALLEY, STAR LYNN	84-41	CFTC	05/22/85	4b(A) 4b(B) 4b(C)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
O'NEILL, ROBERT	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
O'NEILL, TIMOTHY J.	SD-93-3	CFTC	02/09/93	8a(3)(D)			RESTRICTED REGISTRATION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
O'SHAUGHNESSEY, DANIEL M.	96-10421	I	11/05/97 12/18/97	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(C) 4.41(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; COSTS AWARDED; TRADING PROHIBITION; PAY RESTITUTION; O'SHAUGHNESSEY SHALL PAY RESTITUTION IN THE PRINCIPAL AMOUNT OF \$435,886.53 TOGETHER WITH PRE-JUDGMENT INTEREST OF \$37,617.61.
OAKWOOD ASSET M ANAGMENT, INC.	95-16-SD	CFTC	06/06/95	8a(2)(H) 8a(2)(A) 8a(2)(E)			REG. REVOKED AS CTA & CPO.
OASIS PUBLISHING CORP.	00-09	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
OBANDO, EXCEL	CV04-6463	CD CAL	8/25/2004			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION.
OCALE INTERNATIONAL CORPORATION	03 CV 7112	SD NY	8/24/2004			PERMANENT INJUNCTION	RESTITUTION OF \$1,376,500.
OCONE, PHILIP	SD-94-14	CFTC	09/02/94				CONDITIONALLY REGISTERED AS FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.
OFFSHORE FINANCIAL CONSULTANTS OF FLORIDA INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
OFFSHORE FINANCIAL CONSULTANTS OF GEORGIA INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
OGOREK, PEGGY ANN	89-5	CFTC	10/19/90				APPEALED.
O'HERRON, JOHN F.	SD 03-02	CFTC	1/7/03			COMMISSION ORDER	CEASE & DESIST ORDER; CTA & AP REGISTRATION REVOKED.
O'KEEFE, MICHAEL	03-80526	SD FL	6/11/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
OLAM INTERNATIONAL LIMITED	04-13	CFTC	4/6/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000; SHALL COMPLY WITH UNDERTAKINGS.
OLESKAK, STEPHEN J.	SD-88-5	CFTC	02/21/89				REG. DENIED AS FB.
OLESKAK, STEPHEN J.	SD-95-21	CFTC	07/25/95				FT COND 2 YRS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
OLIFFE, JAMES	78-1069	SD FL	04/27/78	4c(b) 4o(1)	32.9 32.5(a) 32.5(c) 32.8(a)	PERMANENT INJUNCTION	
OLIVERIO, CARMINE	90-1	CFTC	03/11/94	4g	1.31(a)(1) 1.35(a) 1.35(a-1)(2) 1.35(a-1)(4)		CEASE & DESIST ORDER; SUSP. AS FB 1 MO. OR LESS.
OMESTE, GEORGE	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
O'NEILL, DANIELLE	CIV 2-61307	SD FL	6/15/2004			SUPPLEMENTAL ORDER	DEFENDANTS SHALL PAY RESTITUTION OF \$12,146.512; CIVIL MONETARY PENALTY OF \$10,609,133.33 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
O'NEILL, DONALD C.	CIV 2-61307	SD FL	6/15/2004			SUPPLEMENTAL ORDER	DEFENDANTS SHALL PAY RESTITUTION OF \$12,146.512; CIVIL MONETARY PENALTY OF \$10,609,133.33 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
ONEOK ENERGY MARKETING AND TRADING COMPANY, L.P.	04-09	CFTC	1/28/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; JOINTLY OWED CIVIL MONETARY PENALTY OF \$3,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
ONEOK, INC.	04-09	CFTC	1/28/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; JOINTLY OWED CIVIL MONETARY PENALTY OF \$3,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
OPEC AMERICAN PETROLEUM	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
OPTIONS ADVISORS, LLC (THE)	04-28	CFTC	9/30/2004	4o(1)(A) & (B)	4.41(a)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS.
ORCA CAPITAL FUND A, LLC	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
ORCA FUNDS, INC.	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
ORCA HOPI, LLC	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
ORCA MOHAVE A, LLC	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
ORION INTERNATIONAL, INC.	CV 03 603	D OR	5/8/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JULIE R. VACURA IS APPOINTED TEMPORARY RECEIVER.
ORLANDO, JOHN J.	93-2	CFTC	3/24/04			COMMISSION ORDER	COMPLAINT DISMISSED FOR A

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FAILURE OF PROOF.
OSADCHY, ANATOLY	99-2	CFTC	10/29/98		14.8(C)		COMMISSION PERMANENTLY DENIES OSADCHY THE PRIVILEGE OF APPEARING OR PRACTICING BEFORE IT; OSADCHY IS NOT TO APPLY TO THE COMMISSION FOR REINSTATEMENT.
OSLER, DARRYL M.	00-05	CFTC	2/15/01	4c(b)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 PAID PURSUANT TO A PAYMENT PLAN; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE COMMISSION; DISMISSED.
OSTER COMMUNICATIONS INC.	96-6	CFTC	06/20/96	4b(a)(i) 4m(1) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)		OSTER & FSIS WILL NOT USE INTERSTATE COMMERCE WHILE ENGAGING IN THE BUSINESS OF ADVISING OTHERS FOR PROFIT, AS TO THE ADVISABILITY OF TRADING IN COMMODITY FUTURES OR OPTION CONTRACTS, WITHOUT BEING REGISTERED AS A CTA.
OSTER COMUNICATIONS INC.	95-6221	SD FL	06/19/96	4m(1) 4b(a)(i) 4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGE \$670,000.00 TO CUSTOMERS; COOPERATE WITH COMMISSION; ALSO ENJOINED FROM VIOLATING PROVISIONS OF FLORIDA LAW.
OSTROV, MARK	78-0317	SD NY	01/11/78	4c(b)	32.9	PERMANENT INJUNCTION	
OTTO, RICHARD D.	97-4443	CAL	02/10/98	4b(a)(2)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADE FOR LIQUIDATION ONLY; PAY REDRESS AGENT A LUMP SUM OF \$9,244.77 AND AN ADDITIONAL 25% OF HIS TAXABLE INCOME DURING THE YEARS 1997 THROUGH 2001.
OUELLET, JOEL JEFFREY	79-1436	ND IL	12/07/81	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
OUYANG, BEN	CV 03-0833	CD CAL	2/5/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
OVERLAND, WILLIAM	02-13	CFTC	7/9/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv)	1.38 1.35(d)	COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(1) 4g			
OVSEPYAN, ARMAN	CV-01-06907	CD CAL	1/27/2004	4(a); 4b(a)(i)-(iii)			DEFAULT ORDER; RESTITUTION OF \$683,670 TO BE PAID PURSUANT TO PAYMENT PLAN; CIVIL MONETARY PENALTY OF \$1,367,340; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
OWNBEY, CAMERON individually and d/b/a ULTIMUS AND FIRST NATIONAL INVESTMENTS	03 C 6592	ND IL	9/18/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
OWNBEY, CAMERON S.	01-18	CFTC	1/17/03	4b(a)(i) & (iii) 4b 4o(1) 6(c)	4.41(a)	ALJ ORDER	INITIAL DECISION; CEASE & DESIST ORDER; TRADING PRIVILEGES PROHIBITED FOR 3 YEARS; REGISTRATION RESTRICTIONS REVOKED.
OXBORROW, KENNETH D.	84-811	ED WA	12/04/84	4m 4o(1)		PERMANENT INJUNCTION	
OXFORD CAPITAL GROUP, LLC	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
P&M PRICE DATA, INC.	90-00038	ND IN	08/17/90	4b(A) 4b(B) 4k(3) 4d(1) 4d(2)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION AGAIN; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
P.I.E., INC.	86-4792WDK	CD CA	01/08/87	4b(A) 4b(C)		PERMANENT INJUNCTION	APPEALED; AFFIRMED ON APPEAL TO 9 TH CIR. 8/3/88.
PACE, RAY	92-3	CFTC	08/13/93	4b(A) 4b(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 18 MO.; ID SUMMARILY AFFIRMED.
PACE, THOMAS F.	89-27	CFTC	01/16/92	4a(5) 4i 6(b)	18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.; MUST LIQUIDATE ALL POSITIONS PRIOR TO COMMENCEMENT OF TRADING BAN.
PACIFIC BULLION, INC.	92-259	ED NY	03/10/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(A) 4d(1)			BOOKS & RECORDS; RECEIVER APPOINTED; NOTICE OF COMPLAINT TO ALL OFFICERS, EMPLOYEES & AGENTS.
PACIFIC COMMODITIES EXCHANGE, INC.	76-17	CFTC	05/04/77				CONTRACT MARKET DESIGNATION REVOKED.
PACIFIC GOLD COINS, INC.	84-6717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
PACIFIC TRADING COMPANY	75-1	CFTC	02/09/76	4g(1) 4i	17.00		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FCM 1 MO. OR LESS; SUSTAINED ON APPEAL TO 7 TH CIR.
PAINÉ WEBBER INCORPORATED	88-32	CFTC	09/30/88	4b(A) 4b(B) 4c(b) 4g(1)	1.33(a)(2)(i) 1.33(b)(3) 1.35(a-1)(1) 33.10(a) 33.10(b) 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000.
PAINÉ WEBBER, INC.	93-3	CFTC	11/24/92	4g	1.35(a-1)(1) 1.35(a-1)(2) 1.31(a) 1.35(a) 166.3	COMPLAINT FILED	PEN. AMNT.: \$150,000; COOPERATING WITH COMMISSION.
PAINÉ WEBBER, JACKSON & CURTIS	86-10	CFTC	02/24/86	4g	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$22,500; TO UNDERTAKE IMPROVEMENTS IN REPORTING OF EFPs.
PAINÉ, BRUCE MICHAEL	97-4443	CAL	02/10/98	4b(a)(2)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
PAKCO HOLDINGS LIMITED	01-06926	CD CAL	7/1/03	4b(a)(i)-(iii) 4(a)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
PALERMO FINANCIAL SYNDICATE	85-9	CFTC	04/24/85	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; APPEAL WITHDRAWN 8/21/85.
PALEY, THOMAS	96-CV-2640	E.D. PA.	10/20/99			FINAL ORDER OF DISTRIBUTION, SUPPLEMENTING PERMANENT INJUNCTION	JOINTLY & SEVERALLY OWE RESTITUTION & DISGORGEMENT OF \$3,000,000. ALL BUT \$77,618 IS WAIVED BASED ON PALEY & JUECHTER'S SWORN FINANCIAL STATEMENTS. PAYMENT BY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PALEY, JUECHTER & AYM IN ACCORDANCE W/ RESTITUTION ORDER ENTERED IN SEC V. AYM SATISFIES DUTY TO PAY \$77,618 TO CFTC.
PALIN, KENNETH A.	84-0621-R	ND TX	11/12/85	4d(1) 4d(2) 4k 4(a) 4b(A) 4b(D) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.
PALMER, STEPHEN D.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.6 32.7 32.1 32.3(b)	PERMANENT INJUNCTION	
PAN EASTERN PETROLEUM EXCHANGE	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PANAMCO PETROLEUM ENTERPRISES	80-0689	SD NY	12/10/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PAPPAS, ROBERT G.	91-7	CFTC	05/09/95	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 15 MO.; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO APPLY FOR OR ACT IN ANY CAPACITY REQUIRING REGISTRATION – EXCEPT FT, FOR 5 YEARS, NOT TO APPLY FOR FT REGISTRATION FOR 15 MONTHS – ANY SUBSEQUENT FT REGISTRATION TO BE CONDITIONAL; COOPERATE WITH DIVISION; NOT TO APPEAR ON TRADING FLOOR FOR 15 MONTHS.
PARAGON FUTURES ASSOCIATION	88-18	CFTC	06/07/88	4b(A) 4k(1)	1.31(a) 166.2 166.3		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY.
PARDES, ABRAHAM D.	79-2	CFTC	12/27/78				REG. DENIED AS AP.
PARDES, RONNIE	78-1335	SD FL	04/20/79	4c(b)	1.31	PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.6 32.7		
PARDES, RONNIE	79-37	CFTC	02/10/84	4c(b)	1.31 32.6 32.7		CEASE & DESIST ORDER.
PARIS SECURITIES CORPORATION	87-11	CFTC	07/28/87	4b(A) 4d(2) 4f(2) 4g(1) 4k(1)	1.17(a) 1.20(a) 1.20(c) 1.32 1.35(a-1) 17.00(a)(1) 17.01(b) 17.01(c) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$175,000; SUSP. AS FCM 3 MO.
PARISI, CAESAR	81-1189	D NJ	02/18/82	4n(1) 4o(1) 4b(A) 4b(C)	1.14 4.31(a) 1.10(c)	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
PARITY, INC.	84-2055-ER	CD CA	08/28/86	19(b) 19(c) 4(a) 4b(a) 4b(c) 4o(1) 4o(2)	31.1 31.2 31.03	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING THE CALIFORNIA BUSINESS AND PROFESSIONS CODE.
PARK, JOHN KI	00-24	CFTC	6/29/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000; TRADING PRIVILEGES & AP REGISTRATION EACH SUSPENDED FOR 6 MONTHS; RESTITUTION OF \$35,000 PLUS PRE-JUDGEMENT INTEREST OF \$6,200; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL NOT ACT IN A SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED W/ COMMISSION FOR A PERIOD OF 5 YEARS.
PARK, JONG KYU	92-259	ED NY	12/09/92	4a 4b(A) 4d(1)	3.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PARKER, DAVID	SACV 04-575	CD CAL	5/19/2004			COMPLAINT FILED	
PARUCH, JAMES	85-25	CFTC	02/10/92	4a(5) 4g	1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PARZ, DANIEL M.	90-13	CFTC	05/23/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS TO MAKE FULL RESTITUTION AS DETERMINED IN RELATED PROCEEDINGS.
PASHBY, TERRY	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
PASHBY, TERRY	76-2095R	CD CA	07/30/76	4b 4k		PERMANENT INJUNCTION	
PATE, MICHAEL GENE	03-13	CFTC	6/6/03	4(a) 4b(a)	1.1	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000 JOINTLY & SEVERALLY OWED; TRADING PRIVILEGES SUSPENDED FOR 5 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
PATEL, PRITESH	6:03-cv-119	MD FL	12/15/2004	4(a) 4b(a)(2)(i)	1.1(b)(1) & (3)	DEFAULT ORDER	RESTITUTION OF \$434,097.17 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; PROTECT BOOKS & RECORDS; ALL PRIOR FREEZE ORDERS DISSOLVED.
PATTEN, HARRY O.	89-16	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB AT EXPIRATION OF TRADING SUSPENSION; NOT TO TRADE FOR OTHERS AND NOT TO TRADE FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON TRADING FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
PATTERA, SAMUEL	77-278EW	SD NY	05/19/78	4c(b) 4k 4o(1)	30.01 32.3 32.8	PERMANENT INJUNCTION	
PATTERA, SAMUEL	79-1	CFTC	09/27/79				PEN. AMNT.: \$1,500; TO WITHDRAW AP REGISTRATION

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							APPLICATION.
PAUL JUDD INTERNATIONAL CORP.	00-13	CFTC	5/1/00	4c(b) 4o(1)	4.41(a) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENT; SHALL COMPLY W/ UNDERTAKINGS.
PAUL, HOWARD	79-27	CFTC	03/10/81	4b(D) 4g	1.35 1.38 1.39		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; ONE MONTH TRADING SUSPENSION HELD IN ABEYANCE.
PAUL, HOWARD D.	82-7	CFTC	09/29/82	6(b)			CEASE & DESIST ORDER; SUSP. AS FB 3 MO.; SUSP. AS AP 3 MO.
PAULINO, PERSIO	02-13	CFTC	7/9/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.38 1.35(d)	COMPLAINT FILED	
PAXIA, KAREN	80-4801	CD CA	04/28/81	4b 4 4h 4m 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
PDT INTERNATIONAL INC.	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
PEABODY TRADING COMPANY OF BOSTON	81-15	CFTC	04/22/83	4n(1) 4o(1) 4b(A) 4n(3)	1.10(c) 1.14(a) 4.21(a) 4.24 1.31 4.23(a) 1.10(d) 4.21(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
PEARL, MARTIN L.	78-2	CFTC	03/17/80	4c(b)	32.3		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
PEARSON, LAWRENCE F.	83-63	CFTC	12/30/83				REG. REVOKED AS FB.
PEARSON, LAWRENCE F.	84-6	CFTC	04/27/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 3 MO.
PEARSON, LAWRENCE F.	SD-95-11	CFTC	03/08/95	8a(3)(D) 8a(2)(A) 8a(3)(A) 8a(3)(M)			FB CONDITIONS TO REMAIN FOR ONE YEAR.
PEDERSEN, EARL A.	SD-99-5	CFTC	04/16/99				FB REGISTRATION RESTRICTED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PEEBLES, CHARLES CARROLL	85-1229	SD OH	08/02/85	4(a)		PERMANENT INJUNCTION	PROHIBITED FROM SELLING SECURITIES EXCEPT IN FULL COMPLIANCE WITH OHIO SECURITIES ACT.
PEIKES, MEYER J.	85-6451	SD FL	09/20/85	4m 4o(1)		INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PELOSO, PATRICK J.	77-1	CFTC	05/26/78	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000.
PELTON STREET PUBLISHING, INC.	99-CV-1184	D. MINN.	2/8/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4o	33.10 4.33(a)(7) PRELIMINARY	PERMANENT INJUNCTION	NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS JOINTLY & SEVERALLY OWE RESTITUTION OF \$120,000 AND CIVIL MONETARY PENALTY OF \$65,000. SHALL COMPLY W/ UNDERTAKINGS.
PELTON STREET PUBLISHING, INC.	SD-00-06	CFTC	7/24/00			COMMISSION ORDER	CTA REGISTRATION REVOKED.
PENCO PETROLEUM INC.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PENDERGRAFT, MARVIN C.	96-2185	D AZ	01/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 4d(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION IN THE AMOUNT OF \$602,088.05; ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT ("ASA"); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER THE ACT OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT.
PENNY, ERNEST	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B) 4c(b)	1.38 33.10(a) 33.10(b) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000; TRADING PRIVILEGES AND FB REGISTRATION SUSPENDED & CONDITIONED; RESTITUTION OF \$7,060.
PENSION AMERICA, INC.	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii)	4.20(c) 4.22	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.21		STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
PENTECOSTE, JOHN C.	87-4	CFTC	12/09/88	4b			CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION; NEVER TO BE OFFICER, SHAREHOLDER, EMPLOYEE OR AGENT OF A REGISTRANT.
PEPE, MARIA	81-1189	D NJ	07/20/81	4n(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
PEPE, THOMAS	81-1189	D NJ	07/20/81	4n(1)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PEPE, THOMAS SR.	80-0689	SD NY	12/09/80	4 4b		PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED.
PEREGRINE FINANCIAL GROUP, INC.	00-32	CFTC	9/7/00	4f(b)	1.10(b)(1) 1.12(a) 1.12(b) 1.17(a) 1.18(a) 1.18(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$90,000; SHALL COOPERATE FULLY & EXPEDITIOUSLY W/ THE COMMISSION IN THE COMMISSION'S ASSESSMENT OF WHETHER PEREGRINE IS CARRYING OUT ALL ASPECTS OF ITS UNDERTAKINGS; AGREES WITHIN 30 DAYS OF ORDER TO: 1) IMPLEMENT OUTLINED INITIATIVES & CHANGES TO ITS ACCOUNTING PRACTICES & REGULATORY FINANCIAL REPORTING; 2) FOR A PERIOD OF 2 YEARS THEREAFTER, MAINTAIN ITS ADJUSTED NET CAPITAL AT A LEVEL THAT IS AT LEAST \$800,000 ABOVE THEIR "EARLY WARNING LEVEL"; AND 3) SHALL RETAIN A CPA ACCEPTABLE TO T&M.
PERK, GEORGE J.	95-15	CFTC	08/20/97				TRADING PRIVILEGES REVOKED.
PERLMUTTER, ALFRED	79-33	CFTC	12/03/79	4c(a) 9(b)	2		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
PERMANN, CHRISTOPHER L.	85-1052F	ND TX	11/03/86	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(A)			CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
PEROTTI, DAVID BRIAN	89-839	SD FL	04/26/90	4b 4c(b) 9(a) 4d(1)	33.10	PERMANENT INJUNCTION	DISGORGEMENT
PERSTEN, GEOFFREY	80-0421	SD NY	06/21/83	4b(A) 4n(3)(A) 4n(4) 4o(1)	4.20(c) 4.21(a) 4.22(a) 4.23	PERMANENT INJUNCTION	
PESEK, MICHAEL J.	87-13	CFTC	01/26/99	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$400; TRADING PRIVILEGES REVOKED.
PESKIN, MICHAEL R.	89-1	CFTC	02/09/93	4b(A) 4g(1)	1.35(a-1)(2)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRADING PRIVILEGES REVOKED; REG. REVOKED ASCTA & AP; VACATED RESTRICTION ON RIGHT TO APPLY FOR REGISTRATION.
PESOLI, MICHAEL ANTHONY	SD-94-4	CFTC	09/27/95				CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
PETER J. TAGGARES COMPANY, INC.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV. SUSP. 48 MO.
PETERS, HARLEY	79-0752	CD CA	07/29/80	4d 4b	1.7	PERMANENT INJUNCTION	
PETERS, HARLEY	80-27	CFTC	01/18/83	4b 4d 4h 4k			CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION FOR 1 YEAR.
PETERSON, LARRY D.	99-6	CFTC	3/9/00	4(a) 4c(b) 4d(1)	1.33(a) 1.55 32.2 32.3 33.3(b)	COMMISSION ORDER	CEASE & DESIST ORDER; PENALTY OF \$100,000 JOINTLY & SEVERALLY OWED W/ CO-RESPONDENTS; SHALL NOT SEEK REGISTRATION AS AP FOR A PERIOD OF SIX MONTHS FROM DATE OF ORDER UNLESS HE UNDERTAKES TO HAVE REGISTRATION CONDITIONED.
PETKOFF, STEPHEN	84-10	CFTC	07/02/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRAD. PRIV.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 1 MO. OR LESS; REG. REVOKED AS FB; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
PETOK, STACI LEE	02-61160	SD FL	7/2/03	4b(a) 4(a)	1.1(b)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$240,000 CONTINGENT PURSUANT TO PAYMENT PLAN; SHALL MAKE FULL RESTITUTION OF \$103,945 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
PETRON COMPANY	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PETROPLEX COMMODITIES CORP	87-7	CFTC	05/07/87	4b(A) 4b(B) 4b(C) 4k(1)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED.
PETROW, GERALD STEVEN	SD-94-10	CFTC	04/18/94				FB CONDITIONAL REGISTRATION; CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
PHIBRO CORPORATION	89-11	CFTC	07/31/89	4 4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4d(1) 4h 4h(2) 4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.
PHILIPP BROTHERS COMMODITIES CORPORATION	89-11	CFTC	07/31/89	4a 4b(A) 4b(B) 4b(C) 4b(D)	1.20 1.35(a-1) 1.38 3.10(a) 17.00		CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(A) 4d(2) 4f(1) 4g(1) 4h 4i	166.3		
PHILIPP BROTHERS TRADING CORPORATION	89-22	CFTC	09/21/89	4i	17.00(a)		CEASE & DESIST ORDERP; PEN. AMNT.: \$35,000.
PHILIPP BROTHERS, INC.	89-11	CFTC	07/31/89	4(a) 4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4d(1) 4d(2) 4g(1) 4h(2) 4h 4k(1)	1.20 1.35(a-1) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$4,000,000 JOINTLY OWED.
PHILLIPS, ADAM CRAIG	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	DISGORGEMENT.
PHILLIPS, DANIEL J.	01-8350	SD FL	7/15/02	4c(b)	32.9 32.11 33.3 32.5 4.14(a)(9)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$734,545.99.
PHILLIPS, JAMES H.	83-61	CFTC	02/23/84				REG. REVOKED AS FB.
PHILLIPS, JAMES H.	84-13	CFTC	05/14/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 12 MO.
PHILLIPS, JAMES H.	SD-94-13	CFTC	09/02/94	8a(2)(A) 8a(3)(A) 8a(3)(D) 8a(3)(M)			CONDITIONALLY REGISTERD AS A FT; CONDITIONS TO REMAIN IN EFFECT FOR 1 YEAR STARTING 9/2/94.
PHILLIPS, WILLIAM F.	87-7	CFTC	05/07/87	4(b)A 4b(B) 4b(C) 4k(1)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED.
PHOENIX GLOBAL TRADING, INC.	8:03-CV-681-T	MD FL	9/4/03	4c(b)	32.9(a) & (c) 1.1(b)(1) & (3) 32.11 33.3(a)	DEFAULT ORDER	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$220,000 AND RESTITUTION OF \$72,000 TO BE PAID WITHIN 30 DAYS.
PHOENIX TRADING INC.	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)(B) 4b(a)(10)			ENJOINED FROM SEEKING REGISTRATION; ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITY TRADING ADVICE; CONTROLLING ANY COMMODITY TRADING; BEING EMPLOYED BY ANY BUSINESS THAT PROVIDES COMMODITY FUTURES OR OPTIONS PROGRAMS; ALSO ENJOINED FROM VIOLATING FLA. DECEPTIVE & UNFAIR PRACTICES ACT AND FROM OPERATING A BUSINESS IN FLA.
PIASIO, ALFRED R.	97-9	CFTC	9/29/00	4c(a)(A)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$40,000; AP REGISTRATION SUSPENDED FOR 6 MONTHS; ALJ'S INITIAL DECISION VACATED; CASE REMANDED FOR FURTHER DEVELOPMENT OF THE RECORD.
PIAZZA, BRUCE A.	86-6	CFTC	03/02/93	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS AP; APPEAL DISMISSED.
PICCOLO, JOHN VINCENT	SD-89-6	CFTC	10/06/89				REG. DENIED AS FB.
PICCOLO, JOHN VINCENT	SD-93-8	CFTC	07/20/93				CONDITIONAL FB REGISTRATION GRANTED; CONDITIONS TO REMAIN IN EFFECT 18 MONTHS.
PICK, JOSEPH A.	90-28	CFTC				COMPLAINT FILED	
PICK, JOSEPH A.	92-17	CFTC	05/31/95	4f(2) 4c(b) 6(b)	1.17(a)(1) 1.17(a)(4) 1.12(a) 33.10 166.3 1.18(a)		CEASE & DESIST ORDER.
PICKRON, THOMAS A.	78-120A	ND GA	01/26/78	4f 4g	1.17 1.18 1.32	PERMANENT INJUNCTION	
PICKRON, THOMAS A.	78-45	CFTC	08/02/79	4f(1) 4f(2) 4g	1.17 1.18 1.32		CEASE & DESIST ORDER; REG. REVOKED AS AP.
PIERCE, STEPHEN ALAN	02-15	CFTC	7/30/02	4o(1)(A) 4o(1)(B) 4n	4.41(a) 4.41(b) 4.33	COMPLAINT FILED	
PIETSCH, EUGENE HAROLD JR.	82-40	CFTC	09/16/83	4k(4) 6(b)	3.31(b)		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REAPPLY FOR REGISTRATION.
PINCKNEY, LARRY D.	78-0122	WD MO	12/11/78	4o		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
PINCKNEY, LARRY D.	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER; REG. REVOKED AS AP.
PINTACUDA, FRANK	80-0689	SD NY	03/31/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
PITT, PETER	SD-82-4	CFTC	05/20/82				REG. DENIED AS AP.
PLAINS COTTON COOPERATIVE ASSOCIATION	75-11	CFTC	07/15/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
PLATONOFF, VICTOR V.	78-48	CFTC	01/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; REG. REVOKED AS AP.
PLESCHER, PAUL FRANK	94-4	CFTC	11/02/93	4a(e)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
PLOSHNICK, GARY	82-2062	SD FL	01/25/84	4o(1)		PERMANENT INJUNCTION	
PLOSHNICK, GARY	84-23	CFTC	02/24/84	4b 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$3,000; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
POLIVNICK, MARVIN JULIUS	81-25	CFTC	03/30/82				REG. DENIED AS AP.
POLLACK, HENRY	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
POLLAK, HARVEY B.	80-32	CFTC	03/04/86	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000 JOINTLY OWED; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
POLONYI, AL S.	82-38	CFTC	04/26/83	4c(a)(A) 4f 4c(a)(C) 9(b) 6(b) 6(c)	1.14(b) 3.31(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
POLYAXON CAPITAL, INC.	85-31	CFTC	01/22/88	4m 4o(1) 4n(3)(A)	4.41(a) 1.31 4.32 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
POMERANTZ, MICHAEL S.	90-14	CFTC	03/12/91	4b(A) 4b(C) 4b(D)	1.31(a)(1) 1.35(a) 1.35(a-1)(4)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(A) 4c(a)(B) 4g	1.38(a)		FB; NEVER TO APPLY FOR REGISTRATION; NOT TO APPEAR ON ANY TRADING FLOOR DURING HOURS OF OPERATION; MUST LIQUIDATE FUTURES POSITIONS.
POMEROY, JACK MARTIN	02-61160	SD FL	7/2/03	4c(b)	32.9 32.11 33.3	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$240,000 CONTINGENT PURSUANT TO PAYMENT PLAN; SHALL MAKE FULL RESTITUTION OF \$65,495.49 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
POOLER, JAMES A.	84-35	CFTC	10/16/84	4e			C EASE & DESIST ORDER; PEN. AMNT.: \$10,000.
PORTARO, JR. RICHARD D.	92-041-LDG	D NV	08/03/93			PRELIMINARY INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; AT LEAST \$552,631 WITHIN 90 DAYS; ALL CONTRACTS RESCINDED; COURT ORDER.
PORTUESE, PETER A.	78-19	CFTC	08/12/82	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 120 MO.; REG. DENIED AS AP.
PORTUESE, PETER A.	78-4195EW	SD NY	09/26/78	4d(2) 4b 4f(2) 4k(1)	1.17 1.20	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RE3CORDS.
POTOCHNIK, ROY	75-1970A	ND GA	10/15/76	4c(b) 4m	30.01 30.02	PERMANENT INJUNCTION	
POWELL, CHARLES EDWARD	1:99-CV-138	E.D. TN.	2/3/00	4b(a)(i) 4k(2) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; ACCOUNTING MADE; FREEZE OF ASSETS; STOP SOLICITATION; RESTITUTION OF \$334,167 PLUS PRE-JUDGEMENT INTEREST OF \$26,704 PLUS POST-JUDGEMENT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INTEREST; CIVIL MONETARY PENALTY OF NO GREATER THAN TRIPLE HIS MONETARY GAIN OR \$330,000; 4/28/99 EX PARTE ORDER REMAINS IN FULL FORCE & EFFECT UNTIL HE COMPLIES WITH OBLIGATIONS IN THIS ORDER.
POWERS, JIM	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
PRAGMACAPITAL CORP.	CV-97-838MA	D OR	07/22/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS LIABLE FOR RESTITUTION AMOUNT OF \$3,931,524.69; DEFENDANTS ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION OR LICENSING UNDER THE CEA OR OREGON SECURITIES LAW IS REQUIRED; ALSO VIOLATED OREGON STATUTES.
PRAIRIE GARDEN CONDOS, INC.	00 C 7344	ND IL	3/27/02			ORDER	DISMISSED WITH PREJUDICE.
PRANOLO, ESTHER	CV03-8339	CD CAL	5/10/2004			COMPLAINT FILED	
PRATT, RICHARD J.	78-42	CFTC	07/24/79	6(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
PRATT, RICHARD J.	80-15	CFTC	08/07/81	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER.
PRECIOUS MEALS INTERNATIONAL, INC.	85-6705	SD FL	09/30/85	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
PRECIOUS METALS ASSOCIATES, INC.	78-1393	CD MA	09/06/78	4d(2) 4f(2) 4c(b) 4g	1.31 1.32 1.20 32.6 32.7	PERMANENT INJUNCTION	
PRECIOUS METALS ASSOCIATES, INC.	79-13	CFTC	06/26/81	4c(b)	32.9 32.8(a) 32.3(b)(2)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
PRECIOUS METALS RESOURCES, INC.	86-6778	SD FL	10/22/86	4c(c)		PERMANENT INJUNCTION	RECEIVER APPOINTED; ALSO ENJOINED FROM VIOLATING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FLORIDA INVESTOR PROTECTION ACT.
PREFERRED CAPITAL INVESTMENT COMPANY	79-1085	ND TX	03/19/84	4c(b) 4c(c)	32.9 32.11 32.6(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
PREMEX INC.	84-0375	SD CA	02/29/84	4f(2)		PRELIMINARY INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; FIRM IN BANKRUPTCY; PROCEEDINGS DISMISSED.
PREMEX, INC.	78-115	ND IL	01/20/78	4f(2)	1.17	PERMANENT INJUNCTION	
PREMEX, INC.	79-44	CFTC	02/01/84	4f(2) 19 4f(1) 6(b)	1.17(a) 31.03 1.18(a) 1.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; REG. DENIED AS CTA; FIRM IN BANKRUPTCY; APPEAL PROCEEDINGS STAYED BY 9 TH CIR.
PREMEX, INC.	80-35	CFTC	04/15/80				CONSOLIDATED WITH 79-44.
PREMIER PRECIOUS METALS COMPANY	82-16	CFTC	03/25/82	4 4h 4c(b) 4c(c) 4m	32.11 166.3		CEASE & DESIST ORDER.
PREMIER TRADING GROUP, INC.	SD 04-06	CFTC	8/12/2004			COMMISSION ORDER	CPO & CTA REGISTRATION REVOKED.
PRENDERGAST, BRIAN	96-D-389	D COL	01/24/97	4o(1) 4m(1) 4b(a)(i) 4k(2) 4b(a)(ii) 4b(a)(iii) 9(a)(1) 4n 9(a)(3)	4.41 3.31 4.21(a) 4.21(g)(1) 1.31 4.22 4.23	PERMANENT INJUNCTION	PERMANENTLY RESTRAINED FROM APPLYING FOR REGISTRATION OR ENGAGING IN ANY ACTIVITY REQUIRING REGISTRATION; THE FREEZING OF ASSETS OF DEF. SHALL BE LIFTED.
PRESTIGE METALS DEPOSITORY CORPORATION	79-1406	SD FL	05/20/84	4c(b) 4c(c)	32.11 32.9 32.3	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
PRESTON, ANDREW W.	04-03	CFTC	10/27/03	4k(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
PREWITT, JOSEPH	00-15	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED W/

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CO-RESPONDENTS; SHALL COMPLY W/ UNDERTAKINGS.
PRIME FINANCIAL SERVICES, INC.	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
PRIME FINANCIAL SERVICES, INC.	82-3	CFTC	11/20/81	4 4b 4c(b) 4c(c) 4h 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
PRIME PRECIOUS METALS COMPANY	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
PRIME PRECIOUS METALS COMPANY	82-3	CFTC	11/20/81	4 4b 4c(b) 4c(c) 4h 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
PRIME STRATEGIC METALS COMPANY	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
PRIME STRATEGIC METALS COMPANY	82-3	CFTC	11/20/81	4 4b 4c(b) 4c(c) 4h 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
PRIME TRADING COMPANY	4:04CV3184	D NE	5/4/2004	4b(a)(2)(i) & (iii) 4o 4c(b)	33.10 166.2	PRELIMINARY INJUNCTION	TRADING PROHIBITION.
PRINCETON COMMODITY CORPORATION	82-3	CFTC	11/20/81				REG. REVOKED AS CTA & CPO.
PRINCETON ECONOMIC CONSULTANTS, INC.	85-47	CFTC	02/08/93	4m 4b(A) 4o(1)	4.31 4.32 4.41(a) 4.41(b) 4.31(a) 4.31(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; APPEALED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PRINCETON ECONOMIC CONSULTANTS, INC.	87-10	CFTC	07/16/87				APPEALED; CONSOLIDATED WITH 85-47.
PRINCETON ECONOMICS INTERNATIONAL, LTD.	99-CIV-9669	S.D.N.Y.	11/30/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m 4o		INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING MADE.
PRINCETON GLOBAL MANAGEMENT, LTD.	99-CIV-9669	S.D.N.Y.	11/30/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m 4o	PRELIMINARY	INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCESS BOOKS & RECORDS; ACCOUNTING MADE.
PRIOR, KEVIN M.	84-17	CFTC	11/25/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
PRISM FINANCIAL CORP.	96-D-389	CFTC	01/24/97		PRELIMINARY		DEFAULT JUDGMENT; RESTITUTION OF \$946,148.62.
PRIVATE CAPITAL FUTURES MANNAGEMENT	91-7008	SD FL	05/29/92	4o		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; MARSHA LYONS APPOINTED TEMPORARY ESCROW AGENT; DEFENDANTS DEPOSIT OF \$223,348.57 TO BE USED TO RETURN CUSTOMER FUNDS.
PRIVATE RESEARCH, INC.	95-6970	SD FL	11/05/98	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 9a(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
PROBBER INTERNATIONAL EQUITIES CORPORATION	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PROBBER, HAYDON, SCAPIER LTD.	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
PROBBER, LLOYD	79-0560	SD NY	02/27/79	4d(2) 4f(2) 4g(1)	1.17(a) 1.18(a) 1.20(a) 1.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
PRO-BROKER SERVICE, INC.	97-2927	D. NJ	3/1/00	4b(a) 4c(b) 4d(1)	1.33 (a)-(b) 33.3(b) 33.9	DISTRICT COURT OPINION	TRADING PROHIBITION; DEFENDANTS OWE RESTITUTION OF \$265,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(2) 9(a)(1)	33.10		
PRODUCTIONS TORRE FUERTE INT'L S.A.	04 CV 02768	SD NY	4/12/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
PROFESSIONAL MARKET BROKERAGE, INC.	03-14	CFTC	6/23/03	4g	1.31 1.35	COMPLAINT FILED	
PROFIT MARK DATA, INC.	93-0067	CD CA	03/14/94	4(a)		PERMANENT INJUNCTION	
PROFIT PARTNERS, INC.	CV03-9190	CD CAL	2/20/2004	4o(1)	4.16	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
PRUDENTIAL ACCUMULATION FUNDING CORP.	84-6401NCR	SD FL	05/17/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
PRUDENTIAL SECURITIES, INC.	92-29	CFTC	09/29/92	4g 4k(1)	1.35(a-1) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$240,000.
PRUDENTIAL SECURITIES, INC.	95-13	CFTC	06/19/95	4g	1.31(a) 1.35(a) 1.35(a-1) 1.37 1.38 1.55 33.7 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$725,000; COOPERATE WITH COMMISSION; CONDUCT REVIEW AND MAKE CHANGES WHERE NECESSARY.
PRUDENTIAL SECURITIES, INC.	97-8	CFTC	10/9/02	4g	1.31(a) 1.35(a) 1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$65,000 TO BE PAID WITHIN TEN DAYS; DISMISSED.
PRUDENTIAL-BACHE SECURITIES	84-40	CFTC	06/06/84	4g	1.31 1.55		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
PUGLIESE, MICHAEL	86-34	CFTC	01/04/91	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; ALJ INITIAL DECISION REINSTATED; TO BE FINAL 2/4/91.
PULLEN , LARRY WAYN E	89-20	CFTC	03/20/90	4d(2) 4f(2) 6(b)	1.10(d)\ 1.17(a) 1.20(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION FOR 5 YEARS.
PULLMAN, JAMES	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
PULLMAN, JAMES	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
PUNCERELLI, KENNETH J.	84-27	CFTC	01/08/86	4b(A) 4k(2) 6(b)	1.10(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$45,000; REG. REVOKED AS AP.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PUNDI-FORSTEN INTERNATIONAL	93-0067	CD CA	06/18/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; \$1,100,000 TO RECEIVER JOINTLY WITH MOSES L. WONG.
PUNDI-FORSTEN, INC.	93-0067	CD CA	06/18/93	4(a)		PERMANENT INJUNCTION	
PYNE COMMODITIES CORPORATION	82-23	CFTC	05/16/83	4b(2) 4f(1) 4f(2) 4k 4b	1.10(a) 1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
PYRMONT ALLIANCE CORPORATION	03 CV 7112	SD NY	8/24/2004			PERMANENT INJUNCTION	RESTITUTION OF \$289,000.
Qi2 TECHNOLOGIES, INC.	03-18	CFTC	4/6/2004	4o(1)(A) & (B)	4.41(a)(1) & (2) 4.41(b)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
QIX, INC.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
QUALLS, THOMAS	CV 03 3577	ED NY	7/23/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
QUANTUM ADVERTISING & MARKETING, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
QUILLIN, RAYMOND THOMAS	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	
QUINN AND COMPANY, INC.	83-41	CFTC	12/31/84	4o(1)	4.20(c) 4.22(a) 4.22(h) 4.21(a) 4.41(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
QUINN AND COMPANY, INC.	84-1352	CD MA	10/25/84	4o(1) 4n(3)(A)	1.31 4.23	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
QUINN, TERENCE	83-41	CFTC	12/31/84	4o(1)	4.20(c) 4.22(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					4.22(b) 4.21(a) 4.41(a)		PRIVILEGES REVOKED.
QUINN, TERENCE	84-1352	CD MA	10/25/84	4o(1) 4n(3)(A)	1.31 4.23	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
QUITER, RICHARD J.	85-08361	ND IL	08/01/86	4b(A) 4b(B) 4b(C) 4o(1) 4o(2) 4d(1) 4m(1)	4.21 4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS; RECEIVER APPOINTED.
QUITER, RICHARD J. II	92-26	CFTC	01/06/93	4k(1)	166.2		CEASE & DESIST ORDER; REG. REVOKED AS CTA; NOT APPLY FOR REGISTRATION; NOT ACT IN ANY CAPACITY REQUIRING HIM TO ACCEPT CUSTOMER FUNDS.
R & M PREIOUS METALS, INC.	80-2082	WD TN	04/23/82	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
R&W TECHNICAL SERVICES, LTD.	96-3	CFTC	8/6/03			COMMISSION ORDER	COMMISSION VACATES THE ALJ'S DECISION AND REMANDS FOR FURTHER PROCEEDINGS.
R. B. THOMPSON ASSOCIATES, INC.	82-25	CFTC	04/20/83	4b(A) 4d(1) 4g(1) 4o(1)	1.33(a) 1.46(a) 3.10 4.21 4.22		CEASE & DESIST ORDER; REG. REVOKED AS CPO & CTA; TO WITHDRAW REGISTRATION APPLICATIONS AND NOT REAPPLY.
R. B. THOMPSON ASSOCIATES, INC.	82-879	D MA	04/25/83	4b(A) 4d(1) 4g(1) 4o(1)	1.17 1.33(a) 1.46(a) 4.21 4.22	PERMANENT INJUNCTION	RECEIVER APPOINTED.
R. GERVAIS FARMS, INC.	82-42	CFTC	04/12/84	4d(2) 4f(1) 4f(2) 4g(1) 4k(1)	1.10(b) 1.12 1.17(a)(1) 1.20(a) 1.23 1.32 1.33 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
R.J. FITZGERALD & CO., INC.	99-1558-CIV-T-23F	MD FL	07/06/99	4b(a)(i) 4b (a)(iii) 4c(b)	32.9(a) 32.9(c) 33.7(a) 33.7(b) 33.10(a) 33.10(c)	COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
R.J. O'BRIEN AND ASSOCIATES, INC.	82-44	CFTC	01/23/86	4b 4g 4k	1.31 1.35(a) 1.55 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$45,000.
RACHMELOWITZ, DAVID	78-1069	SD FL	06/09/83	4c(b) 4o(1)	32.9	PERMANENT INJUNCTION	
RADCLIFFE, MICHAEL	02-04	CFTC	6/10/02	4o(1)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; SHALL NOT APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
RADER, JAMES	78-0122	WD MO	12/13/78	4o		PERMANENT INJUNCTION	
RADER, JAMES	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
RALLI B ROTHERS (BANKERS) S.A.	82-15	CFTC	10/08/86		21.02		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
RALPH, STANLEY J. JR.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
RAMCHANDRAN, N.S.	95-1598-C	D NJ	03/24/99	4b(a)(i) 4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	PERMANENT INJUNCTION	
RAMCO PETROLEUM INC.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
RAMIREZ, ANTHONY S.	97C6528	ND IL	09/23/97	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1) 9(a)(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION.
RAMSEY, SCOTT T.	84-34	CFTC	11/08/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
RAND-BOND HOLDINGS, INC.	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED RECEIVER.
RAND-BOND OF NORTH AMERICA, INC.	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED RECEIVER.
RANDOLPH, REMINGTON	SD-92-2	CFTC	03/24/92		8a(3)(D)		CEASE & DESIST ORDER; REGISTRATION AS FLOOR BROKER GRANTED; MAY NOT ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH MANAGER OF ANY REGISTRANT; MAY NOT ACT IN SUPERVISORY CAPACITY; MAY NOT EXERCISE DISCRETIONARY TRADING AUTHORITY; EMPLOYER MUST EXECUTE 'EMPLOYING REGISTRANT AGREEMENT': CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
RAPAPORT, DAVID J.	84-31	CFTC	09/07/84	4b(A) 4b(B) 4b(C) 4d	1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
RAPAPORT, DAVID J.	84-6577	SD NY	09/17/84	4b(A) 4b(B) 4b(C) 4d	1.20(a) 1.21	PERMANENT INJUNCTION	
RASKIN, JEFFREY CARL	81-4409	CD CA	11/12/82	4 4b 4h 4o		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
RASKIN, JEFFREY CARL	85-72570	ED MI	09/16/86	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT.
RATTET, LESLIE E.	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	TO PAY \$1,000 TO RECEIVER.
RAUSCHER PIERCE REFSNES, INC.	82-9	CFTC	02/26/82	4d(2)	1.20(a) 1.23 1.26(a) 1.31 1.32		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
RAY E. FREIDMAN AND CO.	76-16	CFTC	11/02/76	4g	1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
RAY, BRIAN W.	03-11	CFTC	4/22/03	4b(a)(1)(i) & (iii) 6(c)		COMPLAINT FILED	
RAY, JAMES	79-828	D AZ	04/17/81	4c(c) 4c(b)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RB&H FINANCIAL SERVICES LP	01-18	CFTC	1/17/03	4b	166.3	ALJ ORDER	INITIAL DECISION; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$220,000 TO BE PAID WITHIN 30 DAYS AFTER DECISION BECOMES FINAL; APPEAL.
READ, ERON DEMIAN d/b/a NEW AGE TRADING TECHNIQUES	00-14	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
REAGAN, GREGORY M.	96-3	CFTC	8/6/03			COMMISSION ORDER	COMMISSION VACATES THE ALJ'S DECISION AND REMANDS FOR FURTHER PROCEEDINGS.
REARDON, FRANCIS R.	75-3	CFTC	12/08/75	4b(A)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
REDDICK, CHARLES	76-20	CFTC	11/17/76	4b			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
REDDICK, CHARLES	76-2095R	CD CA	07/30/76	4b		PERMANENT INJUNCTION	
REDDIN, MICHAEL G.	84-2066-ER	CD CA	08/28/86	19(b) 19(c) 4(a) 4b(a) 4b(c) 4o(1) 4o(2)	31.1 31.2 31.03	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING THE CALIFORNIA BUSINESS AND PROFESSIONS CODE.
REDDY, STEPHEN F.	92-19	CFTC	02/04/98	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMTN.: \$300,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS FB; ON APPEAL.
REDLING, PETER MATTHEW	83-29	CFTC	05/12/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
REEVES, THOMAS G.	95-15	CFTC	08/20/97				TRADING PRIVILEGES REVOKED.
REFCO	95-2	CFTC	12/20/94	4d(2) 4g(a) 6(c)	1.12b 1.12(d) 1.20 1.21.01 1.22 1.23 1.25 1.26 1.32 1.33 1.36 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$1,250,000; TO COMPLY WITH AGREED UNDERTAKINGS.
REFCO INC.	83-20	CFTC	02/17/83	4a(2)(B) 4g(1)	150.2 150.4		CEASE & DESIST ORDER; PEN. AMNT.: \$375,000.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					150.11 150.12 1.31 1.35 1.37(a) 17.00 17.01 17.02 166.3 1.25 1.22 1.20 1.12		
REFCO INC.	88-18	CFTC	04/01/92		166.2		CEASE & DESIST ORDER.
REFCO INC.	88-8	CFTC	02/11/88	4g(1) 6(b)	17.01(b)(6) 17.01(d) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$21,000.
REFCO OVERSEAS LIMITED	04-27	CFTC	9/29/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
REFCO, INC.	90-21	CFTC	08/28/90	4a(5) 4g(1) 6(b)	1.31 1.35 1.55 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$220,000; TO IMPLEMENT CHANGES IN THE SUPERVISION OF ITS APs.
REFCO, INC.	92-15	CFTC	03/12/92	4a(5) 4g(1) 6(b)	1.31 1.35 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$440,000.
REFCO, INC.	96-2	CFTC	01/24/96	4d(2) 6(c)	1.20 1.22 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$925,000; COMPLY WITH VARIOUS UNDERTAKINGS AS SET FORTH IN THE COMMISSION ORDER.
REFCO, INC.	99-12	CFTC	05/24/99	4g	1.35(a-1)(2) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000,000; \$1 MILLION TO FUND INDUSTRY STUDY.
REFLEX ASSET MANAGEMENT CORP.	SD-99-8	CFTC	11/15/99			ALJ ORDER	REGISTRATION AS CPO & CTA REVOKED. BECAME FINAL ORDER OF THE COMMISSION ON 12/15/00.
REFLEX ASSET MANAGEMENT CORPORATION	98CIV5270	SD NY	11/03/98	4b(a)(i) 4b(a)(iii) 4o(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA.
REGAL COMMODITIES, INC.	84-6495-JE	SD FL	07/01/85	4n(3)(A)	1.31	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS &

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
			04/01/86		4.23 4.32		RECORDS; CHARGED WITH CIV. CONTEMPT.
REGO GAINER FINANCIAL, INC.	CV 02-1417	CD CAL	6/18/03	4(a)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$262,698 AND RESTITUTION OF \$497,258 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR.
REGO GAINER, INC.	CV 02-1417	CD CAL	6/18/03	4(a)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$262,698 AND RESTITUTION OF \$497,258 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR.
REHN, MARK E.	95-10	CFTC	05/20/99	4f(b) 6c	1.17(a)(1) 1.17(a)(4) 1.10(d)(1) 1.12(a)(1) 1.12(a)(2) 1.12(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$400,000; REG. REVOKED AS AP.
REID, CAMERON AND COMPANY	87-06470-DT	CD CA	12/14/87	4(a) 4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; ALSO ENJOINED FROM VIOLATING THE CALIF. CORPORATIONS CODE.
REIDY, WILLIAM J.	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.
REIFLER TRADING CORPORATION	98-2	CFTC	01/22/99	4k(1)	166.4 1.35(a-1)		CEASE & DESIST ORDER; PEN. AMNT.: \$59,033 JOINTLY OWED.
REIFLER, BRADLEY C.	98-2	CFTC	01/22/99	4k(1)	166.4		CEASE & DESIST ORDER; PEN. AMNT.: \$59,033 JOINTLY OWED.
REILY, JOHN B.	00-11	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1) 4c(b)	4.41(a) 33.10(a) 33.10(c)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
REINER, JACK	78-55	CFTC	03/11/80	4c(b)	32.9 32.7 32.5(a) 32.5(c)		CEASE & DESIST ORDER; REG. REVOKED AS AP; MAY REAPPLY FOR REGISTRATION IN 2 YEARS.
REINER, JACK	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	RO PAY \$1,000 TO RECEIVER.
REIS, SEYMOUR	90-25	CFTC	12/17/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; MAY NOT APPLY TO REGISTER IN ANY CAPACITY.
RELF, WILLIAM J.	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4m(1) 4o(1)			PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
RELIANT ENERGY SERVICES, INC.	04-06	CFTC	11/25/03	4c(a)(A) & (B) 6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$18,000,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
RELIANT GLOBAL MARKETS, LLC	03-12	CFTC	6/6/03	4(a)		COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED FOR 2 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
RENNECKER, JAMES	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
REPUBLIC ADVISORY CORPORATION	81-1189	D NJ	01/23/82	4n(1) 4o(1) 4b(A) 4b(C)	4.31(a) 1.10(c) 1.14	PERMANENT INJUNCTION	RECEIVER APPOINTED.
REPUBLIC NEW YORK SECURITIES CORP.	02-03	CFTC	12/17/01	4b 4d(a)(2) 4g(a)	1.20 1.22 1.33 1.35 1.37 32.6 33.10 166.2 166.3	COMMISSION ORDER	
REVERIE, LLC	04-2181	WD TN	9/13/2004			COMPLAINT FILED	
REYNOLDS, DANIEL G.	01-01	CFTC	7/25/03	4b(a)(i) & (iii) 4m 4o(1)		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$550,000; TRADING PRIVILEGES PROHIBITED FOR TEN YEARS; REGISTRATION REVOKED.
REYNOLDS, RICKEY W.	87-4	CFTC	12/09/88	4b			CEASE & DESIST ORDER; NEVER TO SEEK REGISTRATION; NEVER TO TRADE FOR OTHERS; NOT TO TRADE FOR OWN ACCOUNT FOR 5 YEARS; NEVER TO BE OFFICER, SHAREHOLDER, AGENT OR ASSOCIATE OF A REGISTRANT.
REYNOLDS, RICKEY WAYNE	87-19	CFTC	12/09/88	4b			CEASE & DESIST ORDER; NEVER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TO SEEK REGISTRATION; NEVER TO TRADE FOR OTHERS; NOT TO TRADE FOR OWN ACCOUNT FOR 5 YEARS; NEVER TO BE OFFICER, SHAREHOLDER, EMPLOYEE, OR AGENT OF A REGISTRANT.
REYNOLDS, WILLIAM W.	78-2240	WD TN	07/05/78	4c(b) 4f 4g	32.7 32.9 1.17 1.18 32.6	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
RHEE, ANDREW DAVID	98CIV5270	SD NY	11/03/98	4b(a)(i) 4b(a)(iii) 4o(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; DISGORGEMENT OF \$2,308,578 JOINTLY & SEVERALLY OWED WITH TODD KELLY; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA.
RHEE, ANDREW DAVID	SD-99-8	CFTC	11/15/99			ALJ ORDER	REGISTRATION AS AP REVOKED. BECAME FINAL ORDER OF THE COMMISSION ON 12/15/00.
RHOADES, DONALD	82-2062	SD FL	04/10/85	4o(1)	4.31(a) 166.3	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
RHOADES, DONALD	85-17	CFTC	03/29/85	4o(1)	4.31(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP, CTA & CPO; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS AND THEN ONLY AS AP OF FCM.
RICHARD FRANK COMPANY	84-24	CFTC	04/30/85	4a(2)(B)	150.12		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 1 MO. OR LESS.
RICHARDS, STEVE	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
RICHARDS, THOMAS H.	95-12	CFTC	06/06/95	4o(1)(B)			CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 10 YEARS; NOT TO SOLICIT FUNDS FOR FUTURES OR OPTIONS FOR 10 YEARS.
RICHARDS, THOMAS H.	96-C-0334	L	07/18/96				CIVIL MONETARY PENALTY OF \$217,442.55 RECEIVED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SATISFIES CIVIL MONETARY PENALTY DUE IN CASE 95-12.
RICHARDSON SECURITIES, INC.	78-10	CFTC	01/27/81	4g	1.35(a)		
RICHARDSON, GEORGE	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
RICHMAN, JEFF SCOTT	91-CIV-6136	SD FL	08/06/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3	PERMANENT INJUNCTION	
RICHMAN, JEFF SCOTT	92-23	CFTC	07/27/92	4b 4c(b)	33.7(f) 33.10 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; REG. REVOKED AS AP; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
RICHMAN, JEROME	78-12	CFTC	04/19/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
RICHTER, ROBERT ALFRED	81-12	CFTC	01/13/82				REG. DENIED AS CTA.
RICHWELL INTERNATIONAL CONSULTANTS	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT OF \$343,008.64 FOR DISTRIBUTION TO INVESTORS.
RICHWELL INTERNATIONAL LTD.	93-3494-C	ND CA	04/18/95	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; \$343,008.64 AS RESTITUTION TO CUSTOMERS; RESPONDENTS SHALL NOT TRANSFER FUNDS OR PROPERTY FOR THE PURPOSE OF CONCEALING.
RIDENHOUR, LESLIE H.	89-5	CFTC	03/24/93	4(g)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ALJ OPINION SUMMARILY AFFIRMED.
RIDGEWAY ASSOCIATES, INC.	92-26	CFTC	08/11/92	4k(1)	166.2		CEASE & DESIST ORDER.
RIETHMAN, ROBERT J.	3:98CV0281AS	N.D. IND.	1/12/00	4b(a)(i) 4k(2) 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$3,000; STOP SOLICITATION FOR 5 YRS.; TRADING PROHIBITION FOR 5 YRS.; RESTITUTION OF \$23,056.51 PLUS PRE-JUDGEMENT INTEREST OF \$10,273.78 PLUS POST JUDGEMENT INTEREST UNTIL PAID IN FULL; CIVIL MONETARY PENALTY OF \$10,000; SHALL NOT SEEK REGISTRATION W/ COMMISSION FOR 5 YEARS.
RIETZ, CHARLES	81-18	CFTC	09/17/82	4b 4o(1)	1.10c 1.10d		CEASE & DESIST ORDER; PEN. AMNT.: \$12,500; TO WITHDRAW

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4k(1) 4m 4n 6(b)	4.21		ALL REGISTRATION APPLICATIONS.
RILEY, DANIEL P.	SD-98-4	CFTC	06/22/99	8a(3)(G) 8a(3)(M)			CEASE & DESIST ORDER; APPLICANT FILES NOTICE OF APPEAL OF 6/8/99 INITIAL DECISION DENYING FB REGISTRATION.
RILEY, MARTIN J.	SD-93-10	CFTC	09/29/94				REG. REVOKED AS FB.
RIPLEY, DAMON	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
RIS COMMODITIES, INC.	91-3	CFTC	10/16/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.31(a)(1) 1.35(a-1)(2) 1.35(a-1)(4) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 24 MO.; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING SUSPENSION.
RISK CAPITAL MANAGEMENT, INC.	85-3	CFTC	07/03/85	4o(1) 4n(3)(A) 4n(4)	4.24 4.23(a) 4.22(b) 4.21(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; SUSP. AS CPO 12 MO.
RISK CAPITAL TRADING GROUP	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)		STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
RISK, THOMAS J.	77-3864	CD CA	06/26/80	4c(b)		PERMANENT INJUNCTION	
RISK, THOMAS J.	79-7	CFTC	06/11/80	4c(b)	32.5 32.9		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
RISSO, ANDREW F.	78-5	CFTC	09/15/78				REG. DENIED AS AP.
RITTER, THOMAS	76-20	CFTC	11/17/76	4b 4c			SUSP. AS FB 1 MO. OR LESS.
RITTER, THOMAS	76-2095R	CD CA	07/30/76	4b 4c		PERMANENT INJUNCTION	
RITTER, THOMAS	77-8	CFTC	05/12/86	4c 4b(B)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB.
RITTER, THOMAS H.	80-11	CFTC	05/12/86				SEE DOCKET 77-8.
RMA PARTNERS	85-50	CFTC	02/27/87	4m			CEASE & DESIST ORDER; PEN. AMNT.: \$20,000 JOINTLY OWED.
ROBBINS FUTURES, INC.	03-05	CFTC	5/30/03		166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							MONETARY PENALTY OF \$120,000 JOINTLY OWED; SHALL NOT TAKE ANY ACTION OR MAKE ANY PUBLIC STATEMENT REGARDING ORDER; DISMISSED.
ROBBINS, JOEL	03-05	CFTC	5/30/03		166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$120,000 JOINTLY OWED; SHALL NOT TAKE ANY ACTION OR MAKE ANY PUBLIC STATEMENT REGARDING ORDER; DISMISSED.
ROBERTS, ADRIAN KENNETH	95-16	CFTC	08/10/95	4m(1)			CEASE & DESIST ORDER; COMPLY WITH UNDERTAKINGS; TO APPLY FOR REGISTRATION AS CTA.
ROBERTS, CLIFFORD SPENCER	82-44	CFTC	01/23/86	4b 4k	1.10(b) 166.2		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
ROBERTS, JEFFREY	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
ROBINSON, ASHLEY L.	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
ROBINSON, JOHN WALKER	02 CIV 5497	SD NY	5/26/2004	4(a) 4b(a)(2)(C)(i)) & (iii)	1.1(b)(1) & (3)	FINAL JUDGMENT	RESTITUTION & DISGORGEMENT OF \$25,428,840 AND CIVIL MONETARY PENALTY OF \$76,286,520 PLUS POST JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
ROCHE, LEONEL R.	90-1	CFTC	04/17/90		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000 JOINTLY OWED.
RODGER & SPARKS, INC.	SD-92-7	CFTC	11/18/92	8a(2)(D) 8a(2)(H)			REG. REVOKED AS IB.
RODGER, REID L.	SD-92-7	CFTC	11/18/92	8a(2)(D) 8a(2)(H)			REG. REVOKED AS AP.
RODGERS, WILLIAM C.	83-53	CFTC	03/28/84	4c(a)(A) 4e 4i	1.38(a) 18.00 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
RODIN, ALAN H.	76-2	CFTC	02/03/76				REG. DENIED AS AP.
RODMAN, WILLIAM	79-1201	SD NY	04/05/79		32.9 32.11 32.5	PERMANENT INJUNCTION	DISGORGEMENT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.3		
RODRIGUEZ, GENE MANUEL	86-72878DT	ED MI	08/18/87	4(a)		PERMANENT INJUNCTION	
RODRIGUEZ, ROBIN	95-8	CFTC	01/08/98	4o(1)(A) 4o(1)(B) 4c(b)	1.46 166.3		CEASE & DESIST ORDER.
RODRIGUEZ, ROBIN	95-9	CFTC	01/08/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii)	1.46 166.3		CEASE & DESIST ORDER; RODRIGUEZ TO WITHDRAW HIS REGISTRATION AS AN AP AN D NOT TO APPLY FOR REGISTRATION AS AN AP EXCEPT AS AN AP OF AN IB; NOT TO ACT IN ANY CAPACITY AS AN PRINCIPLE AP OR AGENT REQUIRED TO BE REGISTERED AS AN FCM.
ROEDER, JOYCE a/k/a JOYCE VALDEZ	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)	4.41(a) 4.41(b) 4.31(a) 4.31(b)	COMPLAINT FILED	
ROESLER, RONALD HERMAN	02-12	CFTC	5/22/02	4c(a)	1.56(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$17,500
ROGERS, DAVID E.	80-3	CFTC	02/26/82	4m 4o			CEASE & DESIST ORDER; REG. REVOKED AS CTA & CPO; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
ROGERS, GERALD LEO	90-0332	CD CA	01/28/93 07/22/93	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; APPEALED; APPEAL DISMISSED 09/21/93.
ROGERS, JAMES	84-243PHX	D AZ	06/27/86	19	31.1 31.2 31.3	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF THE ARIZONA CONSUMER FRAUD ACT; TO PAY TO THE STATE OF ARIZONA \$2,000 FOR COSTS AND PENALTY AND \$1,800 FOR RETURN TO CUSTOMERS.
ROGERS, MARTIN K.	00-33	CFTC	9/25/00	6(c)		COMMISSION ORDER	CEASE & DESIST ORDER; FB REGISTRATION SUSPENDED FOR 30 DAYS; AFTER 30 DAY SUSPENSION, FB REGISTRATION WILL BE CONDITIONED AND RESTRICTED FOR ONE YEAR.
ROGERS, RICHARD S.	89-7	CFTC	06/20/89	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; NOT TO APPLY FOR REGISTRATION OR ACT IN CAPACITY OF A REGISTRANT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ROGERS, WILLIAM	04-20	CFTC	7/13/2004	4b(a)(2)(i) & (iii) 4o(1) 4d 4g	1.20 1.22 1.33 1.35 1.37 32.6 166.2 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$2,000,000 AND RESTITUTION OF \$6,000,000 TO BE PAID PURSUANT TO PAYMENT PLAN; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
ROMANO, LEE N. (II)	04-2181	WD TN	3/17/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
ROMBERG, RONALD BRUCE	95-6970	SD FL	11/05/98	4b(a)(i) 4b (a)(iii) 4o(1) 4m(1)	4.21 4.31	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED; RESTRAINED & ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED.
ROMEO, TED	04-61235	SD FL	12/7/2004	4c(b)	33.10(a)&(c)	PRELIMINARY INJUNCTION	
ROMERO, ANGEL ANTONIO	SD-96-8	CFTC	04/10/97	8a(2)(D) 8a(2)(G) 8a(3)(M)			REG. REVOKED AS AP; STATUTORILY DISQUALIFIED FROM REGISTRATION IN ANY CAPACITY.
ROMERO, FRED A.	84-30	CFTC	10/29/84	4b 4o(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
RONALD STEPHEN HOLT	CV 03 1826 PHX	D AZ	9/18/03	4b(a)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
ROONEY, RAYMOND W.	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
ROSE, CLAYTON	80-1723	D MD	12/31/80	4c(b) 4c(c)	32.9	PERMANENT INJUNCTION	
ROSE, JACK L.	82-6108	SD FL	01/07/83 10/24/84	4 4h 4n(3)(A)	4.32	PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			ORDERED; CONVICTED OF CRIM. CONTEMPT.
ROSE, JACK L.	84-6717	SD FL	12/04/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
ROSE, JAMES H.	79-49	CFTC	12/04/79	6(b) 4c(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
ROSEN, ALAN	80-15	CFTC	08/07/81	4b 4o 4k			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS AP.
ROSENBERG COMMODITIES, INC.	80-28	CFTC	03/27/86	4g	1.37		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
ROSENBERG, ALAN J.	80-29	CFTC	10/21/86	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$90,000 JOINTLY OWED; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 4 MO.
ROSENBERG, ALLAN S.	SD-91-5	CFTC	03/31/94				NOT TO EXERCISE DISCRETIONARY TRADING AUTHORITY OVER AND CUSTOMER ACCOUNTS.
ROSENBERG, MURRAY IRA d/b/a PRO BROKER SERVICES, INC. a/k/a PRO-BROKER SERVICE, INC.	97-2927	D. NJ	3/1/00	4b(a) 4c(b) 4d(1) 4d(2) 9(a)(1)	1.33(a)-(b) 33.3(b) 33.9 33.10	DISTRICT COURT OPINION	TRADING PROHIBITION; DEFENDANTS OWE RESTITUTION OF \$265,000.
ROSENBLOOM, MICHAEL HOWARD	83-54	CFTC	12/01/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
ROSENFELD, NEIL ADAM	SD-95-14	CFTC	04/06/95				FB CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
ROSENTHAL AND COMPANY	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED; TO UNDERTAKE TO IMPLEMENT RECOMMENDATIONS OF INDEPENDENT CONSULTANT.
ROSENTHAL AND COMPANY	80-21	CFTC	06/07/85	4b 4o			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
ROSENTHAL, LESLIE	77-10	CFTC	11/13/86				PEN. AMNT.: \$30,000 JOINTLY OWED.
ROSS, MICHAEL	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
ROSS, SCOTT C.	87-16	CFTC	09/22/87	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT: \$3,000; TRAD. PRIV. SUSP. 24 MO.; SUSP. AS AP 1-2 MO.; NOT TO ACCEPT MANAGEMENT POSITION WITH

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CFTC REGISTRANT FOR 2 YEARS.
ROSSI, ROBERT C.	99-4	CFTC	06/17/02	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 13a 13b 2(a)(i)(A)(iii)		ALJ ORDER	CEASE & DESIST ORDER; PERMANENT TRADING PROHIBITION; \$900,000 CIVIL MONETARY PENALTY DENIED; RESTITUTION OF \$276,557.
ROTH FINANCIAL, INC.	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
ROTH, WILLIAM	79-1663	SD NY	01/26/81	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
ROTH, WILLIAM B.	78-55	CFTC	05/19/81	4c(b)	32.9 32.5		CEASE & DESIST ORDER; REG. REVOKED AS AP.
ROTH, WILLIAM B.	SD-81-1	CFTC	10/26/81				REG. DENIED AS AP.
ROTHLIN AND WINDSOR CAPITAL MANAGEMENT, INC.	AMD 01 CV 2320	D MD	12/17/02			ORDER	ORDERED TO PAY RESTITUTION OF \$5,276,862.57 PLUS PREJUDGMENT INTEREST IN THE AMOUNT OF \$1,515,325.86 PURSUANT TO A PAYMENT PLAN; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$7,131,864.51 COMMENCING PON THEIR FULFILLMENT OR DISCHARGE OF THEIR RESTITUTION OBLIGATION PURSUANT TO A PAYMENT PLAN; NFA DESIGNATED AS MONITOR; 6/6/02 ASSET FREEZE NO LONGER IN EFFECT.
ROTHLIN, ROBERT M.	78-54	CFTC	01/03/83	4b 4c(b) 4d 6(b)	1.10(b) 32.3 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; REG. REVOKED AS AP.
ROTHSCHILD COMMODITIES CORPORATION	78-1822A	ND GA	11/17/78	4c(b)	32.6 32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
ROTHSCHILD INTERNATIONAL, INC.	89-0915K	SD CA	06/17/92	4(a) 4b(A)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED PERMANENT RECEIVER.
ROTI, ANTHONY J.	89-5	CFTC	10/19/90				APPEALED.
ROTMISTRENKO, UDO	SD 04-05	CFTC	8/6/2004			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ROTTMAN, SEYMOUR	78-43	CFTC	08/03/78				REG. REVOKED AS AP.
ROUMIANTSEUA, NATALIA	03 CV 9124	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
ROUSSO, DAVID	91-3	CFTC	07/29/97	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; TRADING PRIVILEGES REVOKED; TRAD. PRIV. SUSP. 120 MO.; APPEALED.
ROWELL, ARTHUR DOUGLAS	04-02	CFTC	10/15/03			COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$15,000; TRADING AND REGISTRATION PRIVILEGES SUSPENDED FOR TWO YEARS; SHALL COMPLY WITH UNDERATKINGS.
ROWELL, MARY A.	89-5	CFTC	03/24/93	4(g)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; ALJ OPINION SUMMARILY AFFIRMED.
ROWLAND, ROSS E. SR.	84-25	CFTC	07/22/85	4f(1)	1.10a 3.11(c) 1.14(b) 3.31(b)		PEN. AMNT.: \$500.
ROYAL PIXLEY INC.	87-1494	ED NY	03/10/88	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
ROZILLO, RON	SACV02-173	CD CAL	3/24/03	4(a)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT OF \$239,000 TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN; SHALL PAY \$25,000 TO THE MONITOR (NFA), WHO WILL DEPOSIT THE FUNDS INTO AN INTEREST BEARING ACCOUNT.
RUBEL, ROBERT J.	98-15	CFTC	08/13/98	4b(a) 4o(1)(A) 4o(1)(B) 4m	4.31(a) 4.31(b) 4.33(a)(7) 4.36(d)(1) 4.41(a) 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP & CTA; RUBEL SHALL LIQUIDATE ALL FUTURES AND OPTION POSITIONS HELD BY HIM.
RUBENSTRUNK, CHRISTOPHER	85-1555	ND CA	06/10/88	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ORDER OF DISGORGEMENT ISSUED ON

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							5/3/89; CR TO DISGORGE \$419,849.
RUDMAN, KEITH M.	82-37	CFTC	09/25/85	4b 4c(a) 4g	1.35 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
RUDMAN, KEITH M.	89-5	CFTC	05/11/90	4c(a)(A) 4c(a)(B) 6(b)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRAD. PRIV. SUSP. 6 MO.; REG. REVOKED AS FB.
RUDMAN, KEITH M.	SD-95-4	CFTC	11/21/94				CONDITIONAL FT REGISTRATION GRANTED – CONDITIONS TO REMAIN IN EFFECT FOR 2 YEARS.
RUDOLF WOLFF FUTURES INC.	87-7	CFTC	02/27/87	4b(A) 4b(B) 4b(C) 4k(1)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
RUDY INC.	88-C-3-071	SD OH	05/02/89	6(d)1 6(d)2	1.20(a) 1.20(c) 1.55 33.7(a) 33.7(b) 1.33(a) 1.33(b)	PERMANENT INJUNCTION	
RUDY, ROBERT W. JR.	88-C-3-071	SD OH	05/02/89	6(d)1 6(d)2	1.20(a) 1.20(c) 1.55 33.7(a) 33.7(b) 1.33(a) 1.33(b)	PERMANENT INJUNCTION	
RUFENACHT, BROMAGEN AND HERTZ INC.	87-16	CFTC	09/22/87	4b(A) 4g(1) 4k(1) 4o(1)	1.35(a-1) 1.35(a-2) 4.13(b)(1) 4.13(b)(2)(i) 17.01(d) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TO IMPROVE SUPERVISION OF BRANCH OFFICES; TO IMPROVE COMPLIANCE PROGRAM.
RUIZ, HEIRBERTO EDDIE	SD-93-5	CFTC	03/15/93	8a(3)(D)			CONDITIONALLY REGISTERED.
RUROEDE, KARL F.	78-66	CFTC	01/04/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
RUSSO, ANTHONY a/k/a TEDDY CONNAL	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$3,000,000 PURSUANT TO PAYMENT PLAN; JOINTLY & SEVERALLY LIABLE WITH FASCIANA FOR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RESTITUTION OF \$1,964,478 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
RUSSO, JAMES JOSEPH	04-80862	SD FL	9/13/2004			COMPLAINT FILED	
RUTENBERG, JOEL	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; JOINTLY & SEVERALLY LIAB LE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
RUTMAN, ROBERT H.	97-3141	ED PA	10/30/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4d(1) 4d(2)	1.33(a) 1.55 1.33(b) 1.56(b)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANT PROHIBITED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH COMMISSION IS REQUIRED OR APPLYING FOR REGISTRATION WITH THE COMMISSION.
RYAN, JOHN H.	91-10	CFTC	3/9/01			ALJ INITIAL DECISION	TRADING BAN IS TERMINATED, EFFECTIVE THE DAY THE INITIAL DECISION BECOMES FINAL.
RYAN, JOHN H.	SD-93-17	CFTC	3/9/01			ALJ INITIAL DECISION	TRADING BAN IS TERMINATED, EFFECTIVE THE DAY THE INITIAL DECISION BECOMES FINAL.
RYAN, ROBERT	02-02	CFTC	10/12/01	4b(a)(i) 4b(a)(iii)		COMMISSION ORDER	
RYMAR, ROBERT	87-3	CFTC	12/08/87	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$7,500; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 1 MO. OR LESS; PROHIBITED FROM HANDLING MANAGED ACCOUNTS FOR 12 MONTHS.
SABERI, ANDY	01-11	CFTC	10/23/02	4a(e)		ALJ ORDER	INITIAL DECISION; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000; TRADING PRIVILEGES SUSPENDED FOR 180 DAYS.
SABHARWAL, HARSIMRAN SINGH	88-29	CFTC	07/26/89	4b(A)	166.2		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; NEVER TO SEEK REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION FOR 10 YEARS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SABIN, RABB	SACV00940	C.D. CAL.	2/28/01	4c(b) 4o(1)	4.41(a) 33.10	PERMANENT INJUNCTION	RESTITUTION OF \$384,771.25 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$50,000.
SAHAROFF, PAUL N.	78-48	CFTC	01/31/84	4b(A) 4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 33 MO.; REG. REVOKED AS AP.
SALER AND COMPANY	85-14	CFTC	11/01/85	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 4 MO.
SALINAS, MATTHEW	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
SALITRA, STANLEY	79-0670	SD NY	03/12/79	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SALMON, HORACE G.	80-19	CFTC	12/02/86	4d(2) 4g 4i 6(b) 6(c) 9(b) 13(a)	1.20(a) 1.23 1.37 17.01 18.00 18.04		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER TO REAPPLY FOR REGISTRATION.
SALTER, CHRISTOPHER F. d/b/a CHRISTOPHER FENWICK	00-18	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
SALVAGE, MINDY S.	82-27	CFTC	09/12/86	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4h(2) 4n(3)(A) 4n(4) 4o(1)	1.7 1.20(a) 4.20 4.21(a) 4.21(b) 4.21(c) 4.22(a) 4.21(g) 4.22(n) 4.23 1.31 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; APPEAL WITHDRAWN 11/24/86.
SAM FISHBERG AND COMPANY, INC.	80-32	CFTC	12/02/85	4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$4,500 JOINTLY OWED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRAD. PRIV. SUSP. 1-2 MO.
SAMARU, LINTON	97-4443	CAL	12/15/98 10/01/99	4b(a)(2)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION WITH THE COMMISSION OR SEEKING APPLICATION FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY AT ANY TIME IN THE FUTURE; JUDGMENT FOR RESTITUTION ENTERED AGAINST SAMARU OF \$882,005.98 PLUS INTEREST.
SAMARU, LINTON a/k/a STEPHEN BRADSHAW	CIV-97-4443 WMB	C.D. CAL.	10/1/99			PAYMENT ORDER	JUDGEMENT FOR RESTITUTION OF \$882,005.98 PLUS INTEREST ENTERED.
SAMEROFF, PHILLIP A.	78-63	CFTC	01/15/79	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
SAMPSON, FRANK L. JR.	85-3	CFTC	07/03/85	4o(1) 4n(3)(A) 4n(4)	4.24 4.23(a) 4.22(b) 4.21(b)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
SAMUELSON, DAVID A.	SD-90-4	CFTC	07/26/90				CONDITIONALLY REGISTERED AS FB; NOT TO ACT AS PRINCIPAL, PARTNER, OFFICER, DIRECTOR, OR MANAGER OF ANY ENTITY REQUIRED TO REGISTER UNDER THE CEA; NOT TO SUPERVISE ANY PERSON REGISTERED OR REQUIRED TO BE REGISTERED UNDER THE CEA; NOT TO EXERCISE DISCRETIONARY TRADING AUTHORITY OVER ANY CUSTOMER ACCOUNT; NOT TO APPLY FOR REGISTRATION IN ANY OTHER CAPACITY WHILE CONDITIONS ARE IN EFFECT.
SAN DIEGO FOREIGN CURRENCY, INC.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
SAN FRANCISCO SUN HING BULLION	92-9	CFTC	12/09/91	4(a) 4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY FOR REGISTRATION.
SAN FRANCISCO SUN HING	90-5214R	CD CA	12/17/91	4(a)		PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BULLION LIMITED				4b(A)			
SANCHEZ, THOMAS	78-55	CFTC	05/25/79	4c(b)	32.3 32.5(a) 32.5(c) 32.7 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$500.
SANCHEZ, WILLIAM	97CIV5255	SD NY	01/27/98	4b(a)(i) 4b(a)(ii) 4o 9(a)(1) 4m(1)		INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
SANDERS, CHARLES A.	83-40	CFTC	11/28/83	4o(1) 4n(4)	4.22(a) 4.22(b) 4.22(c) PRELIMINARY		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
SANDERS, RICHARD	80-0689	SD NY	11/28/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SANDOVAL, TACHO	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B) 4g	1.38 1.31(a) 1.35(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000; TRADING PRIVILEGES BARRED FOR 12 MONTHS THEN RESTRICTED FOR 1 YEAR.
SANDS, TERRY A.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY AND SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,499,950 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
SANTAGATA, JOSEPH	90-1	CFTC	10/10/89	4c(a)(A) 4g	1.31(a)(1) 1.35(a) 1.35(a-1)(2) 1.35(a-1)(4)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; SUSP. AS FB 1 MO. OR LESS.
SANTIMAURO, JOHN	SD-92-6	CFTC	09/29/92	8a(3)(M)			FLOOR BROKER REGISTRATION RESTRICTED FOR 2 YEARS; MAY NOT ACT AS PRINCIPAL, PARTNER, OFFICER OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REQUIRED TO BE REGISTERED; MAY NOT SUPERVISE; MAY NOT EXERCISE DISCRETIONARY AUTHORITY; AY NOT ACT AS FB UNLESS SUBJECT TO SPONSOR CERTIFICATION; MAY NOT SERVE ON ANY SRO DISCIPLINARY COMMITTEE.
SANTORO, JOSEPH A.	90-10	CFTC	04/24/90	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; NOT TO APPLY FOR REGISTRATION AS A FLOOR BOKER FOR 3 MONTHS AND TO WITHDRAW ANY PENDING APPLICATION.
SARABASA, KATHRYN	97-8	CFTC	9/24/03	4g	1.31(a) 1.35(a) 1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000 TO BE PAID WITHIN TEN DAYS; DISMISSED.
SARATOGA FUTURES, INC.	85-45	CFTC	09/27/85	4d(1) 4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
SARMAD, SYED	84-39	CFTC	05/06/85	4k 6(b)	3.12(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 120 MO.; REG. DENIED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
SARMIENTO, HENRY	78-18	CFTC	04/04/83	4c(b)	32.3 32.5 32.9		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.
SARNOFF, PAUL	88-32	CFTC	06/20/89	4b(A) 4b(B) 4c(b) 4g(1)	1.35(a-1) 33.10(a) 33.10(b) 166.2		PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED; NEVER TO APPLY FOR REGISTRATION.
SASIN, ROMAN	84-20	CFTC	07/29/84	4c(a)(A) 4f 4i 6(b)	1.14(b) 1.38 3.31(b) 18.04(e)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
SAUL STONE & COMPANY	86-5	CFTC	02/11/86	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
SAVAGE, JACK W.	76-1	CFTC	03/01/76				REG. DENIED AS CTA.
SAVAGE, JACK W.	76-20	CFTC	11/26/80	4m 4o			TRAD. PRIV. SUSP. 120 MO.
SAVAGE, JACK W.	76-2095R	CD CA	05/06/77	4b 4c		PERMANENT INJUNCTION	
SAVAGE, JACK WESLEY	80-3952	SD NY	10/22/80	4d(2)	1.10(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(1) 4f(2) 4k 4b	1.10(b) 1.10(d)(1) 1.17(a)(1) 1.20(a) 1.32		
SAVICZ, JERRY L.	88-18	CFTC	04/01/92	4b(A) 6(b)	166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. REVOKED AS AP.
SAVILLE, HERSCHELL	78-31	CFTC	05/25/79				CONSOLIDATED WITH 78-55.
SAVILLE, HERSCHELL	78-55	CFTC	05/25/79	4b 4c(b) 4g 4o	32.5(a) 32.5(c) 32.7 32.8 32.9 1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; REG. REVOKED AS AP.
SAVILLE, HERSCHELL	78-8293	SD FL	06/05/79	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
SAVITSKY, MICHAEL	04-60744	SD FL	6/7/2004			EX PARTE STATUTORY RESTRAINING ORDER	PROTECT & ACCESS BOOKS & RECORDS
SAWYER, STEVEN J.	78-1335	SD FL	04/20/79	4c(b)	1.31 32.6 32.7	PERMANENT INJUNCTION	
SAWYER, STEVEN J.	79-1406	SD FL	05/20/84	4c(b) 4c(c)	32.11 32.9 32.3	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
SAWYER, STEVEN J.	79-37	CFTC	05/22/85	4(b)	1.31 32.6 32.7		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; REG. REVOKED AS AP.
SAWYER, STEVEN J.	83-18	CFTC	03/28/89	4b(A) 4o(1)	4.21(a) 4.21(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
SAXENA, SANJAY	SD-96-11	CFTC	02/07/97				REG. REVOKED AS AP.
SAXON AND WINDSOR GROUP, LTD.	79-1580	ED NY	07/13/81	4c(b) 4c(c) 4d(2) 4f(2)	32.11 1.17(a) 1.20(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
SBARBATI, VINCENT J.	77-7	CFTC	06/21/78				REG. DENIED AS AP.
SCHAEFER, EUGENE E. JR.	76-5	CFTC	07/14/76				REG. DENIED AS AP.
SCHAER, J. BRIAN	95-1	CFTC	03/04/98	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRAD. PRIV. SUSP. 6 MO.; THE TRADING PROHIBITION AND CIVIL PENALTIES SHALL BECOME EFFECTIVE 30 DAYS FROM THE DATE OF ORDER; ON APPEAL.
SCHAFFER, CHRISTOPHER C.	1:98-CV-1594	ND GA	06/24/98	4b(a)(ii)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(1) 4d(2)			FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM ACTING AS AN FCM, CPO, CTA, IB, FB, FT OR AP OF ANY REGISTRANT; ENJOINED FROM SEEKING REGISTRATION WITH THE COMMISSION IN ANY CAPACITY AT ANY TIME IN THE FUTURE; SCHAFFER SHALL MAKE RESTITUTION IN THE AMOUNT OF \$249,785; ENJOINED FROM ACTING AS AN FCM, CPO, CTA, IB, FB, FT OR AP OF ANY REGISTRANT.
SCHAFFER, CHRISTOPHER C.	H-96-1213	SD TX	06/08/98	4b(a)(ii) 4o(1) 4n(4) 4d(1) 4d(2)	4.20(b) 4.20(c) 4.13(b)(1) 4.13(b)(2) 4.30	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT OR SEEKING REGISTRATION WITH COMMISSION; SCHAFFER SHALL MAKE RESTITUTION IN THE AMOUNT OF \$109,300.
SCHAPS, OSCAR	05-06	CFTC	12/22/2004	4c(a)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 JOINTLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
SCHECK, DANNY LYLE	92-11	CFTC	2/14/01			ALJ INITIAL DECISION	6/4/97 TRADING BAN SANCTION MODIFIED AS FOLLOWS: 1) ALLOWED TO TRADE OFF THE FLOOR OF AN EXCHANGE THROUGH A RETAIL BROKERAGE ACCOUNT; 2) ACCOUNT MONITORED BY THE CARRYING FCM WHO WILL MAKE QUARTERLY REPORTS TO COMMISSION CONCERNING THE TRADING OF ACCOUNT; 3) COMMISSION'S 6/4/97 ORDER

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SHALL REMAIN IN FULL FORCE & EFFECT IN ALL OTHER RESPECTS; DOE FILES NOTICE OF APPEAL.
SCHECK, DANNY LYLE	SD-93-13	CFTC	2/14/01			ALJ INITIAL DECISION	6/4/97 TRADING BAN SANCTION MODIFIED AS FOLLOWS: 1) ALLOWED TO TRADE OFF THE FLOOR OF AN EXCHANGE THROUGH A RETAIL BROKERAGE ACCOUNT; 2) ACCOUNT MONITORED BY THE CARRYING FCM WHO WILL MAKE QUARTERLY REPORTS TO COMMISSION CONCERNING THE TRADING OF ACCOUNT; 3) COMMISSION'S 6/4/97 ORDER SHALL REMAIN IN FULL FORCE & EFFECT IN ALL OTHER RESPECTS; DOE FILES NOTICE OF APPEAL.
SCHENK, JOHN LARRY d/b/a LINZ GRUPPE, INC. & SYSTRAC, INC.	2:98CV00216J	C.D. UTAH	5/22/00	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$175,687; CIVIL MONETARY PENALTY OF \$175,687; RESTITUTION OF \$360,016.35 PLUS PREJUDGEMENT INTEREST OF \$89,862.50 AND POST JUDGEMENT INTEREST JOINTLY & SEVERALLY OWED WITH GRAY; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS A FCM, CPO, CTA, IB, FB, FT OR AP.
SCHENK, JOHN STEVEN	2:98CV00216J	CD UT	3/29/01	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(a) 4.24(a)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$18,000; DISGORGEMENT OF \$16,000; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM: 1) ACTING AS A FCM, CPO, CTA, IB, FB, FT OR AS AN AP; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; AND 3) FROM TRADING

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMODITY FUTURES CONTRACTS OR OPTIONS ON COMMODITY FUTURES CONTRACTS FOR THEIR OWN PERSONAL ACCOUNT OR HAVING ANY COMMODITY INTEREST TRADED ON THEIR BEHALF FOR A PERIOD OF TEN YEARS FROM ORDER DATE.
SCHENK, MARK	2:98CV00216J	CD UT	3/29/01	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(a) 4.24(a)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$18,000; DISGORGEMENT OF \$16,000; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM: 1) ACTING AS A FCM, CPO, CTA, IB, FB, FT OR AS AN AP; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; AND 3) FROM TRADING COMMODITY FUTURES CONTRACTS OR OPTIONS ON COMMODITY FUTURES CONTRACTS FOR THEIR OWN PERSONAL ACCOUNT OR HAVING ANY COMMODITY INTEREST TRADED ON THEIR BEHALF FOR A PERIOD OF TEN YEARS FROM ORDER DATE.
SCHENKER, CURTIS	93-1	CFTC	09/28/93	4c(a)(A) 4c(a)(B)	1.31(a) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
SCHEUER, DANIEL J.	84-3920KH	CD CA	06/18/84	4d(2) 4f(2) 4g(1)	1.35(a) 1.18(b) 1.23 1.31 1.32 1.20(a) 1.17(a) 1.18(a)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; NOT TO APPLY FOR REGISTRATION OR AFFILIATE WITH A REGISTRANT FOR 10 YEARS.
SCHIAVONE, FRANK	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TEMPORARY RECEIVER.
SCHIERL, R. GARY	87-18	CFTC	07/07/88	4(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$45,000; TRADING PRIVILEGES REVOKED.
SCHILLACI, ROBERT L.	SD-89-1	CFTC	05/04/89				REG. REVOKED AS FB.
SCHILLACI, ROBERT L.	SD-95-3	CFTC	07/11/96				FT DENIED.
SCHILLER, HARVEY	81-2	CFTC	12/17/80	4c(a)(A) 4c(a)(C) 4b(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRADING PRIVILEGES REVOKED; SUSP. AS FB 12 MO.; NOT TO REAPPLY FOR REGISTRATION FOR ONE YEAR.
SCHILLER, RONALD J.	96-4	CFTC	4/29/03	4b(a)(i) & (iv) 4g(a)	1.35(d) 1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$150,000; TRADING PROHIBITION; FB REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
SCHILLER, RONALD M.	96-4	CFTC	04/18/96	4b(a)(i) 4b(a)(iv) 4g(a)	1.38(a) 1.35(d)	COMPLAINT FILED	
SCHLECHT, ARTHUR J.	93-1567	SD FL	07/19/96	4c(b)	33.7(f) 33.10 166.3	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; THE GARDEN CITY GROUP APPOINTED AS DISBURSEMENT AGENT; PAY \$1,500,000 JOINTLY W/ AJS TO GARDEN CITY GROUP FOR PAYMENT TO CUSTOMERS; COOP. W/ COMMISSION & GARDEN CITY GROUP; COMPLY W/ UNDERTAKINGS RE: FUTURE ACTIVITIES.
SCHLEICHER, DON R.	80-2639	D DC	10/16/80	4b(A) 4o(1) 4c(b) 4c(c)	1.19 32.9 31.03	PERMANENT INJUNCTION	
SCHLEICHER, DONALD R.	76-4051-M	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.-01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	
SCHLEICHER, DONALD R.	79-28	CFTC	10/15/80	4c(b) 4c(c) 4b 4o(1)	1.19 32.3(b) 32.5(a) 32.6(a) 32.7(e) 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.11 32.5(c) 32.5(d)		
SCHLEICHER, DONALD R.	86-6	CFTC	07/26/89	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000 JOINTLY OWED; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION, ACT IN THE CAPACITY OF ANY REGISTRANT, OR BE AN OFFICER, DIRECTOR, OR EMPLOYEE OF A REGISTRANT.
SCHLEICHER, RICHARD	80-2639	D DC	10/16/80	4b(A) 4o(1) 4c(b) 4c(c)	1.19 32.9 31.03	PERMANENT INJUNCTION	
SCHLEICHER, RICHARD A.	79-28	CFTC	10/15/80	4c(b) 4c(c) 4b 4o(1)	1.19 32.3(b) 32.5(a) 32.6(a) 32.7(e) 32.9 32.11 32.5(c) 32.5(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
SCHLEICHER, RICHARD A.	86-6	CFTC	07/26/89	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000 JOINTLY OWED; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION, ACT IN THE CAPACITY OF ANY REGISTRANT, OR BE AN OFFICER, DIRECTOR, OR EMPLOYEE OF A REGISTRANT.
SCHLEICHER, RICHARD ALAN	76-4051-M	D MA	11/11/76	4c(b) 4d(2) 4f(2) 4g(1) 4o(1)	30.01 1.17 1.20 1.31 1.32 1.33	PERMANENT INJUNCTION	
SCHLOSSMACHER, SHAUN	98-CIV-1682	SD NY	10/10/98				COMMISSION MOTION FOR SUMMARY JUDGMENT GRANTED; FINAL JUDGMENT AND ORDER; CIVIL MONETARY PENALTY OF \$316,082.58; RESTITUTION OF \$1,094,000.
SCHMIDT, STEPHEN A.	02-10	CFTC	4/4/02	4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)(1)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; JOINT OWED CIVIL MONETARY PENALTY OF \$100,000; SHALL

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMPLY WITH UNDERTAKINGS.
SCHMIDT, STEPHEN A. SCHMUCKLER, JOSEPH R.	CV 04 3081 88-6	ED NY CFTC	7/21/2004 11/28/89	4b(D) 4c(a)(A) 4c(a)(B) 4g	1.35(a-1) 1.38(a)	COMPLAINT FILED	CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS AP 1 MO. OR LESS.
SCHNEIDER, MICHAEL	80-0689	SD NY	07/22/81	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SCHNEIDER, RALPH	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
SCHNEIDER, RICHARD	78-1069	SD FL	04/27/78	4c(b) 4o(1)	32.9 32.5(a) 32.5(c) 32.8(a)	PERMANENT INJUNCTION	
SCHNEIDER, SHELDON H.	91-9	CFTC	02/13/97	4b(A) 4b(B) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
SCHNEIDER, SHELDON H.	SD-93-12	CFTC	12/14/93				FT APPLICATION TO BE WITHDRAWN
SCHOEMMELL, RONALD J.	00-10	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
SCHOLDAN, EDWARD	91-181-HDM	D NV	03/13/93	4b(A) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT OF \$91,474.71; CONTRACTS RESCINDED.
SCHONDORF, JEFFREY	93-6	CFTC	02/15/94	4b(a)(i) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B) 4g(a)	1.31(a) 1.35(a-1) 1.35(d) 1.38(a)		CEASE & DESIST ORDER; PEN. ANT.: \$100,000; TRAD. PRIV. SUSP. 1-2 MO.; REG. REVOKED AS FB; AFTER TERMINATION OF SUSPENSION, FT REGISTRATION SUBJECT TO CERTAIN CONDITIONS FOR 2 YEARS; NEVER SEEK OR ACT IN CAPACITY REQUIRING FB REGISTRATION; COOPERATE WITH THE COMMISSION RE: THIS CASE.
SCHREIBER, CLAUS-PETER F.	78-8	CFTC	03/17/81				REG. DENIED AS AP.
SCHREIBER, CLAUS-PETER FRIEDRICH	SD-95-25	CFTC	09/26/95				FT CONDITIONAL REGISTRATION FOR 2 YEARS.
SCHRIEBER, NORMAN	78-18	CFTC	04/04/83	4c(b)	32.3		CEASE & DESIST ORDER;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					32.5 32.9		TRADING PRIVILEGES REVOKED; REG. DENIED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.
SCHROEDER, BRUCE L.	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
SCHROEDER, EDWARD W.	96-4563	CD CAL	08/19/97 11/10/97	4b(a) 4o 4o(1)(B) 4m 4k(2)	4.20(a) 4.20(b) 4.20(c) 4.21 4.41(a)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; COSTS AWARDED; RECEIVER APPOINTED.
SCHROEDER, JAMES H.	84-4301	SD KS	05/16/86	4m 4o(1) 4b(A) 4b(B) 4n(4) 4n(3)(B) 4n(3)(A) 4n(3)	4.20(c) 4.22 4.21(a) 4.21(b) 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
SCHUBERT, ROBERT H.	87-16	CFTC	09/22/87	4b(A) 4o(1)	4.13(b)(1) 4.13(b)(2)(i)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 60 MO.; SUSP. AS AP 6 MO.
SCHULMAN TRADING	85-34	CFTC	04/29/86		21.02		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500.
SCHULZ, HANS J.	90-0332	CD CA	01/28/93	4c(b)	32.11	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
SCHULZE, RICHARD	85-1	CFTC	04/23/85	4o(1)	4.41(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000 JOINTLY OWED.
SCHULZE, RICHARD	92-041-LDG	D NV	08/03/93	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; DISGORGEMENT OF AT LEAST \$804,214 WITHIN 90 DAYS.
SCHWARTZ, LARRY	85-6704	SD FL	09/17/85	4(a)		PERMANENT INJUNCTION	DISGORGMENT; ACCOUNTING ORDERED.
SCHWARTZ, MARK S.	88-26	CFTC	05/23/90	4b(A) 4k(2) 4n(3) 4n(4) 4o(1)	4.22 4.23		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NEVER TO APPLY FOR REGISTRATION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION.
SCHWARZ, THOMAS M.	89-5	CFTC	10/19/90				APPEALED.
SCIEPKO, RONALD S.	87-3	CFTC	12/17/86		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
SCOFIELD, CHARLES	80-21	CFTC	02/23/82	4b			CEASE & DESIST ORDER.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o			
SCOTT, CHARLES DENNIS	88-13	CFTC	03/22/88	4b(A) 4g(1)	1.31(a)(1) 1.35(a) 1.35(a-1)(1) 1.35(a-1)(2)		PEN. AMNT.: \$40,000; TRADING PRIVILEGES REVOKED; SUSP. AS AP 1 MO. OR LESS; TO PROPERLY PREPARE AND EXECUTE EVERY ORDER; TO MAINTAIN RECORDS FOR 5 YEARS; TO DEAL ONLY WITH PROFESSIONAL TRADERS.
SCOTT, CHERYL	AMD 01 CV 2320	D MD	7/26/02	4b(a) 4c(b) 4m(1) 4k(2) 4o(1)(A) 4o(1)(B)	4.20(a) 4.20(b) 4.22(a)	COMPLAINT FILED	
SCOTT, PETER	AMD 01 CV 2320	D MD	12/17/02			ORDER	ORDERED TO PAY RESTITUTION OF \$5,276,862.57 PLUS PREJUDGMENT INTEREST IN THE AMOUNT OF \$1,515,325.86 PURSUANT TO A PAYMENT PLAN; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$7,131,864.51 COMMENCING PON THEIR FULFILLMENT OR DISCHARGE OF THEIR RESTITUTION OBLIGATION PURSUANT TO A PAYMENT PLAN; NFA DESIGNATED AS MONITOR; 6/6/02 ASSET FREEZE NO LONGER IN EFFECT.
SCOTT, PETER	SD 02-03	CFTC	5/28/02	8a(2)(C) 8a(2)(E)		COMMISSION ORDER	AP REGISTRATION REVOKED.
SCOTT, RONALD G.	01-09	CFTC	5/19/03	4c(b)	33.10 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; RESTITUTION OF \$890,000 PLUS PREJUDGMENT INTEREST OF \$97,611.28 PURSUANT TO PAYMENT PLAN; CONTINGENT CIVIL MONETARY PENALTY OF \$110,000; TRADING PRIVILEGES PROHIBITED; REGISTRATION AS ASSOCIATED PERSON REVOKED; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
SCUDIERO, ANDREW	97-5	CFTC	01/12/99	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)	3.10 3.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; APPEALED; COMMISSION AFFIRMS THE RESULT OF THE INITIAL

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(2) 4o(1) 4k(1) 9(a)(1)			DECISION WITHOUT OPINION, 1/12/99.
SEAY, DAVID L.	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; TO PAY TOTAL OF \$15,000 INTO ACCOUNT FOR BENEFIT OF CUSTOMERS.
SECURITIES AND COMMODITIES CORPORATION	89-26	CFTC	06/25/91	4b(A) 4n(1) 4n(3) 4n(4) 4o(1) 6(b)	4.20(a)(1) 4.20(c) 4.21(a) 4.22(a) 4.22(c) 4.22(d) 4.23(a) 4.23(b) 4.41(b) 3.14(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION OR EXEMPTION FROM REGISTERING WITH COMMISSION IN ANY CAPACITY OR ENGAGE IN ACTIVITIES WHICH REQUIRES REGISTRATION OR EXEMPTION.
SEELLENFREUND, STEPHEN	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; TRADING PRIVILEGES BARRED FOR 12 MONTHS THEN RESTRICTED FOR 1 YEAR.
SEGAL, GEORGE I.	89-27	CFTC	01/16/92	4c(a)(A)	4c(a)(B) 4a(5) 4i 6(b)	1.38 18.04 18.04(d)	CEASE & DESIST ORDER; PEN. AMNT.: \$300,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 4 MO.; MAY HOLD SHORT PORK BELLY FUTURES AS HEDGE; MUST LIQUIDATE ALL OTHER POSITIONS; MUST FILE WEEKLY CASH POSITION REPORTS WITH THE COMMISSION WHILE TRADING BAN IS IN EFFECT.
SEIDENTOP, AL	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SEIFER, GERALD	78-31	CFTC	05/25/79				CONSOLIDATED WITH DOCKET 78-55.
SEIFER, GERALD	78-55	CFTC	05/25/79	4b 4c(b) 4g 4o	32.5(a) 32.5(c) 32.7 32.8 32.9 1.31 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; REG. REVOKED AS AP; MAY REAPPLY FOR REGISTRATION IN 1 YEAR.
SEIFER, GERALD	78-8293	SD FL	06/05/79	4b		PERMANENT	DISGORGEMENT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)		INJUNCTION	
SEIGEL, HAROLD EDWARD	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$37,500P; SUSP. AS AP 1-2 MO.; CIVIL MONETARY PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWED FUNDS EXCEED CUSTOMER CLAIMS.
SELBY, PHILIP	01-07	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; TRADING PRIVILEGES SUSPENDED FOR 6 MONTHS; FB REGISTRATION SUSPENDED FOR 6 MONTHS; JOINT OWED RESTITUTION OF \$14,700 AND \$5,200 RESPECTIVELY WITHIN 10 DAYS.
SELECT SECTOR RESEARCH & MANAGEMENT INC.	SD-96-11	CFTC	02/07/97	8a(2)(H)			REG. REVOKED AS CTA & CPO.
SELECTIVE FUTURES MANAGEMENT, LLC	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1) 4n(4)	4.20(c) 4.22 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING REGISTRATION W/ COMMISSION IN ANY CAPACITY.
SEMEL & CO.	91-7	CFTC	07/21/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
SEMEL, PRESTON	80-32	CFTC	09/06/85	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
SEMEL, PRESTON	91-7	CFTC	07/21/92	4b(A) 4b(B) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B) 4g	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MUST LIQUIDATE ALL POSITIONS BEFORE COMMENCEMENT OF TRADING BAN; AFTER BAN, MAY PLACE TRADES FOR SELF, WIFE AND CHILDREN ONLY; MAY NEVER SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT APPEAR ON

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TRADING FLOOR.
SEMEL, PRESTON H. SERFLING & ASSOCIATES, INC.	SD-90-2 90-24	CFTC CFTC	02/09/90 01/31/91	4b(A) 4b(B) 4k92) 4n(3)(A) 4n(4) 4o(1) 6(b) 9(a)	1.31 4.20(a) 4.20(b) 4.23 4.41(b) 4.20(c) 4.21 4.22 4.31		SUSP. AS FB 90 MO. CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRADING PRIVILEGES REVOKED.
SERFLING, SCOTT R.	90-24	CFTC	01/31/91	4b(A) 4k(2) 4n(3)(A) 4o(1) 9(a) 4b(B) 4k(3) 4n(4) 6(b)	1.31 3.11 3.12 3.13 3.14 3.16 4.20(a) 4.21 4.21(g) 4.22 4.22(c) 4.23 4.31 4.31(f) 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRADING PRIVILEGES REVOKED.
SERHANT, ROBERT B.	82-C-5851	ND IL	01/17/86	4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
SETO, ROBERT G.	91-7	CFTC	08/27/92	4b(A) 4b(C) 4b(D) 4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS FB; MUST LIQUIDATE ALL POSITIONS PRIOR TO COMMENCEMENT OF TRADING BAN; MAY NOT SEEK REGISTRATION WITH THE COMMISSION FOR 5 YEARS; AFTER 5 YEARS, MAY APPLY TO REGISTER AS FLOOR BROKER OR CONDITIONALLY AS AN ASSOCIATED PERSON.
SEVILLA, BERNARD JUSTIN	02-61160	SD FL	7/2/03	4b(a) 4c(b) 4(a)	1.1(b) 32.9 32.11 33.3	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$480,000 CONTINGENT PURSUANT TO PAYMENT PLAN; SHALL MAKE FULL RESTITUTION OF \$350,720.58 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
SEXTON, JAMES a/k/a TOMAS PEPAJ	02-60769	SD FL	11/10/03			DEFAULT ORDER	CIVIL MONETARY PENALTY OF \$360,000 JOINTLY OWED WITH AFFILIATED PAYROLL SERVICES.
SHACKETT, ALLEN J.	78-39	CFTC	08/02/78	6(b)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
SHANER TRADING PARTNERS	SD-97-8	CFTC				COMPLAINT FILED	
SHANER TRADING PARTNERS, INC.	4-96-70005	A	07/31/97	4b(a)(1) 4o(1) 9(a)(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER CEA.
SHANER, JANE F.	4-96-70005	A	07/31/97			PERMANENT INJUNCTION	CONSENTS TO ENTRY OF CONSENT ORDER OF PERMANENT INJUNCTION.
SHANER, MARK STEPHEN	4-96-70005	A	07/31/97	4b(a)(1) 4o(1) 9(a)(1)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER CEA.
SHANER, MARK STEPHEN	SD-97-8	CFTC				COMPLAINT FILED	
SHARAM, HASSAN	03-22624	SD FL	12/5/03	4b(a)(2)(i) & (iii)	1.1(b)(1) & (3)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
SHARAM, HASSAN	03-22624	SD FL	4/16/2004	4b(a)(2)(i) & (iii)	1.1(b)(1) & (3)	DEFAULT ORDER	DEFENDANTS JOINTLY OWE RESTITUTION OF \$351,686, DISGORGEMENT OF \$110,013.50 AND CIVIL MONETARY PENALTY OF \$120,000; STOP SOLICITATION; CASE CLOSED - ALL PENDING MOTIONS ARE DENIED AS MOOT.
SHAREEF, ALI Q.	79-1580	ED NY	07/31/81	4c(b) 4c(c)	32.11 1.17(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4d(2) 4f(2)	1.20(a)		
SHARP III, EDGAR CLIFFORD	SD-96-5	CFTC	03/19/96	8a(3)(M)			CONDITIONALLY REGISTERED AS A FB FOR 2 YEARS.
SHARP, THOMAS ROBERT	88-6958	SD FL	11/30/89	4c(b)	33.7(f) 33.10 166.2 33.7(d) 166.3	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; NOT TO ACT AS OFFICER OR EMPLOYEE OF, BE ASSOCIATED WITH, OR RECEIVE COMPENSATION FROM, ANY REGISTRANT.
SHASTA CAPITAL ASSOCIATES, LLC	04CV1512	D NJ	4/1/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STEPHEN T. BOBO, ESQ. APPOINTED TEMPORARY RECEIVER.
SHATKIN TRADING COMPANY	85-46	CFTC	02/21/86	4c(a)(A) 4g 6(b)	1.33(a)(1) 1.35(a) 1.37(a) 1.46(a) 17.00(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
SHATKIN, HENRY S.	85-46	CFTC	02/21/86	4c(a)(A) 4c(a)(B) 4e 4g 4i 6(b)	1.33(a)(1) 1.3&9a) 1.38(a) 1.46(a) 17.00(a) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 3 MO.
SHATNER, DONALD G.	85-30	CFTC	03/28/86	4b(A) 4b(B) 4b(C) 4b(D) 6(b) 9(a)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
SHAW, KENNETH	83-1591EBD	SD FL	02/07/86	4b 4o(1)		PERMANENT INJUNCTION	DISGORGEMENT.
SHAW, RICHARD M.	82-0305	D MA	05/21/85	4o(1) 4b(A)	4.21(a) 4.21(b) 4.21(g) 4.20(b) 4.20(c) 4.22(a)(3)	PERMANENT INJUNCTION	DISGORGEMENT.
SHB COMMODITIES, INC.	92-21	CFTC	02/25/98	4b(A) 4b(D) 4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(a-1) 166.3 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; REG. REVOKED AS FCM; ON APPEAL.
SHEARSON HAYDEN STONE, INC.	78-11	CFTC	03/19/81	4d(2) 4g(1)	1.20(a) 1.22		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i	1.23 1.32 1.21.01 1.46(a) 1.46(b) 17.00 18.00		
SHEARSON LEHMAN BROTHERS, INC.	85-49	CFTC	09/30/85	4k(1)			CEASE & DESIST ORDER; PEN. AMNT.: \$90,000; TO COMPLY WITH UNDERTAKINGS AS SET FORTH IN ORDER.
SHEARSON LEHMAN BROTHERS, INC.	90-30	CFTC	09/25/90	4g 4c(a) 4a(5)	17.00 17.01 1.35(a-1)(ii) 166.3		PEN. AMNT.: \$220,000; TO UNDERTAKE IMPROVEMENTS IN COMPLIANCE PROGRAM.
SHEEHAN, MICHAEL F.	78-26	CFTC	11/07/78	6(c)			CEASE & DESIST ORDER; REG. DENIED AS AP.
SHEFLER, DONALD N.	92-041-LDG	D NV	02/03/94	4(a) 4b		PERMANENT INJUNCTION	
SHELALEY HOLDINGS, LLC	CIV 02-61307	SD FL	11/14/03	4b(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; JUDGMENT FOR CIVIL MONETARY PENALTY, RESTITUTION & DISGORGEMENT ENTERED IN FAVOR OF COMMISSION & AGAINST DEFENDANTS; COMMISSION SHALL SUBMIT A PROPOSAL WITHIN 30 DAYS.
SHELDON, EDWIN JAY	1:99-CV-138	E.D TN.	9/15/00	4b(a)(i) 4b(a)(ii) 4o(1) 4k(2) 4n 9(a)(3)	4.21 4.22	PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; ENJOINED FROM APPLYING FOR REGISTRATION W/ COMMISSION; JOINT OWED RESTITUTION OF \$334,167 PLUS PRE-JUDGEMENT INTEREST OF \$36,636 W/ CO-DEFENDANT APPLIED CAPITAL MANAGEMENT, LLC; PREVIOUS ORDERS AS TO SHELDON SHALL EXPIRE UPON THE ENTRY OF THIS ORDER.
SHELDON, MARSHALL	02-60769	SD FL	11/10/03			DEFAULT ORDER	CIVIL MONETARY PENALTY OF \$360,000.
SHELLCLASS LIMITED, INC.	85-6936	SD FL	01/24/86	4c(c)	33.9(c) 33.9(e)	PERMANENT INJUNCTION	PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
SHELTON, HOPE S.	88-23	CFTC	07/14/92	4c(b)	33.7(d) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; REG. REVOKED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AS AP.
SHERGIN, WALTER	78-48	CFTC	01/31/84	4g(1) 4d(2)	1.37 1.20(a) 1.21		CEASE & DESIST ORDER; PEN. AMNT.: \$6,000; REG. REVOKED AS AP.
SHETH, HASIT JAMES	78-1604CSH	SD NY	12/07/78	4f 4g 6(b)	1.10 1.17 1.18	PERMANENT INJUNCTION	
SHIMER, ROBERT W.	04CV1512	D NJ	4/1/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STEPHEN T. BOBO, ESQ. APPOINTED TEMPORARY RECEIVER.
SHIVELY, HUNTER	H-03-909	SD TX	7/16/2004			PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$300,000; SHALL COMPLY WITH UNDERTAKINGS.
SHOBER, PEMBERTON H.	89-5	CFTC	10/19/90				APPEALED.
SHORE, LON W.	78-38	CFTC	10/23/78				REG. DENIED AS AP.
SHRI KRISHNA INVESTMENT RESEARCH CORP.	CV 04 3081	ED NY	12/20/2004			PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$20,000 JOINTLY OWED IN TWO INSTALLMENTS; SHALL COOPERATE WITH COMMISSION'S PROSECUTION OF THE CASE AGAINST DEFENDANTS TRADEWINS & SCHMIDT.
SHUMSKI, THOMAS REILEY	79-3558	SD FL	02/12/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	DISGORGEMENT.
SHUN PUN LIMITED	93-5598	SD NY	09/05/95	4b(a)(i) 4o(1)(A) 4o(1)(B) 9(a) 4d(1) 4c(b)	33.7 33.10 3.4	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS.
SHUNG, LEUNG KA	98-1	CFTC	05/24/99	4(a) 4b(a)(iv) 4b(a)(i)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRADING PRIVILEGES REVOKED.
SHUSTER, BORIS a/k/a ROBERT SHUSTER	03 4999	ED NY	11/24/03	4b(a)(2) 4(a)	1.1(b)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
SHUSTER, BORIS a/k/a ROBERT SHUSTER	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
SHUSTER, MICHAEL D.	82-36	CFTC	06/10/83				REG. DENIED AS AP.
SHUSTER, SHUSTER & SHUSTER, LTD.	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ROSNER APPOINTED TEMPORARY RECEIVER.
SHUSTER, SHUSTER, AND SHUSTER, LTD.	03 4999	ED NY	11/24/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; APPOINTMENT OF JAMES ZANE AS RECEIVER IS CONFIRMED.
SHYNOVICK, JOHNNY E.	92-422-ECR	D NV	03/12/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; BERT GOLDWATER IS RECEIVER; ALL CONTRACTS RESCINDED.
SIBBITT, MARY JO	04-2181	WD TN	3/17/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SICINSKI, HENRY S.	82-60115	ED MI	04/19/82 06/06/82	4b 4o 4n(3) 4n(4)		RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED; DECEASED; VIOLATIONS SUBSEQUENTLY FOUND AND ESTATE ORDERED TO MAKE DISGORGEMENT.
SIDEL, MICHAEL	93-13	CFTC	12/14/93	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO ACT AS FB FOR 6 MONTHS.
SIDEREAL CORPORATION	83-CV-1885	ED MI	07/06/85	4o(1) 4d 4n(3) 4b	4.21(a) 4.41(b) 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SIDEWITZ, ROY M.	03-18	CFTC	4/6/2004	4o(1)(A) & (B)	4.41(a)(1) & (2) 4.41(b)(1) & (2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
SIDOTI, A FRANCIS	92-6832	SD FL	09/29/97	4f 6(c) 8a(1)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; RECEIVER APPOINTED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SIEBENMANN, WERNER E.R.	90-23	CFTC	09/11/90	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$160,000 JOINTLY OWED; NOT TO SEEK REGISTRATION IN ANY CAPACITY FOR 20 DAYS.
SIEGEL TRADING CO.	89-5364JMI	CD CA	05/08/91	4c(b) 4g	33.7(f) 33.10 33.7(d) 1.35(a-1)(1) 1.31 1.35(a) 166.3	PERMANENT INJUNCTION	EAJA DISMISSED WITH PREJUDICE; MUST INSTALL SYSTEM TO TAPE TELEPHONE SOLICITATIONS WITHIN 90 DAYS; MUST TAPE RECORD ALL TELEPHONE SOLICITATIONS AND PRESERVE TAPES FOR 30 MONTHS; MUST PROVIDE ALL EMPLOYEES WITH COPY OF ORDER AND REQUIRE EXECUTION OF AFFIDAVIT ACKNOWLEDGING RECEIPT.
SIEGEL TRADING COMPANY	91-6	CFTC	05/10/91	4c(b) 4g	1.31 1.35(a) 1.35(a-1)(1) 33.7(d) 33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$350,000; MUST INSTALL SYSEM TO TAPE ALL TELEPHONE SOLICITATIONS; MUST TAPE RECORD ALL TELEPHONE SOLICITATIONS AND PRESERVE TAPES FOR 30 MONTHS; MUST PROVIDE ALL EMPLOYEES WITH COPY OF THE ORDER IN CFTC VS SIEGEL TRADING CO. (89-5364JMI) AND REQUIRE EXECUTION OF AFFIDAVIT ACKNOWLEDGING RECEIPT.
SIEGEL TRADING COMPANY, INC.	77-1	CFTC	10/29/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$62,500.
SIEGEL, DAVID H.	78-6508	SD FL	06/28/79			ORDER	
SIEGEL, JOSEPH E.	77-1	CFTC	09/11/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 3 MO.; REG. REVOKED AS FB; SUSP. AS FB 120 MO.
SIEGEL, RICK	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)	33.10(a) & (c)	COMPLAINT FILED	
SIGLER, DAVID	80-20	CFTC	10/28/85	4k			CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; REG. DENIED AS AP.
SIGLER, MITCHELL JAY	86-33	CFTC	01/08/91	4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$84,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; ALJ ORDER AFFIRMED BY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							COMMISSION ON 1/8/91.
SIGMA, INC.	95-1598	D. NJ	2/29/00	4b(a)(ii) 4c(b) 4o(1)(A) 4o(1)(B) 4m 4k(2)	32.9 33.7(f) 33.10	FINAL JUDGEMENT	RESTITUTION OF \$30,000,000 PLUS PRE & POST JUDGEMENT INTEREST. CIVIL MONETARY PENALTY OF \$90,000,000.
SILBERSTEIN, ANDREW M.	1:04-CV-666	D MD	4/8/2004	4b(a)(i)-(iii) 4m(1) 4o(1)(A) & (B) 4n(4)	4.20(a) & (b) 4.22(a)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
SILBERT, STEVEN	78-1822A	ND GA	11/17/78	4c(b)	32.6 32.9	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SILBERT, STEVEN	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
SILVERMAN, JEFFREY L.	75-6	CFTC	05/05/76	4b			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; AFFIRMED ON APPEAL BY 7 TH CIR.
SILVERMAN, JEFFREY L.	76-18	CFTC	03/14/77				REG. REVOKED AS AP; AFFIRMED ON APPEAL BY 7 TH CIR.
SILVERS, MEL	92-6427	SD FL	11/17/93	4b(a) 4c(b) 4o	33.7(f) 33.10 4.31(g) 4.41(a)	PERMANENT INJUNCTION	
SILVERS, MEL	94-9	CFTC	12/09/93	4b(a) 4c(b) 4o 4b(a) 4c(b)	4.31(g) 4.41(a) 33.7(f) 33.10		CEASE & DESIST ORDER; REG. REVOKED AS AP; NEVER SEEK OR ACT IN A CAPACITY REQUIRING REGISTRATION.
SILVERSTEIN, WILLIAM D.	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
SIMPLOT INDUSTRIES INC.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 72 MO.
SIMPLOT, JOHN R.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; TRAD. PRIV. SUSP. 72 MO.
SIMPLOT, JOHN R.	78-25	CFTC	03/07/78				CONSOLIDATED WITH 77-13.
SIMTAG FARMS	77-13	CFTC	03/07/78	9(b) 6(b)	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				6(c) 4a			TRAD. PRIV. SUSP. 48 MO.
SINCLAIR, GARY M.	86-5	CFTC	02/11/86	4b	166.3		CEASE & DESIST ORDER.
SINGER, MARK LEE	97-4	CFTC	2/17/00	4c(b)	166.3 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS AP REVOKED; JOINTLY & SEVERALLY OWE RESTITUTION OF \$8,613,570.44 WITH LUGER; SHALL NOT APPLY FOR REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
SINGER, MICHAEL	98-CIV-1365	SD NY	03/03/98	4(a) 4b		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; APPEALED.
SINGER, MICHAEL E.	83-15	CFTC	02/15/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
SINGER, MICHAEL E.	93-2	CFTC	08/23/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4b(a)(iv) 4c(a)(A) 4c(a)(B)	1.38(a) PRELIMINARY		CEASE & DESIST ORDER; PEN. AMNT.: \$75,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; SINGER SHALL LIQUIDATE ALL FUTURES & OPTIONS BEFORE THE COMMENCEMENT & DENIED OF TRADING PRIVILEGES; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH COMMISSION OR ACT IN ANY CAPACITY REQUIRING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH THE COMMISSION.
SION, JONATHAN A.	95-1	CFTC	3/22/01				MOTION TO REDUCE SANCTIONS IS DENIED BY COMMISSION.
SITZMANN COMMODITIES, INC.	96-5	CFTC	02/26/97		1.37		CEASE & DESIST ORDER; REG. REVOKED AS IB.
SITZMANN, DAVID E.	96-5	CFTC	02/26/97	4b(a)(i) 4b (a)(iii) 6(c)	18.04(a) 1.37		CEASE & DESIST ORDER; REG. REVOKED AS AP; PERMANENTLY PROHIBITED FROM TRADING.
SITZMANN, MARK J.	96-5	CFTC	02/26/97	4b(a)(i) 4b(a)(iii) 4i	18.04		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 120 MO.; COMPLY WITH UNDERTAKINGS; NOT APPLY FOR REG. WITH THE COMMISSION IN ANY CAPACITY;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PAY RESTITUTION TO MONFORT OF \$50,000.
SKOR, ROBERT B.	84-47	CFTC	07/01/85	4f 6(b)	1.14(b) 3.31(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
SKORUPSKAS, BARBARA A.	83-CV-1885	ED MI	10/14/84 03/20/85 07/06/85	4o(1) 4d 4n(3) 4b	4.21(a) 4.41(b) 1.31 4.23	PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SKRABLE, MICHAEL	01-01	CFTC	7/26/02	4b(a)(i) 4b(a)(iii) 4m 4o(1)(A) 4o(1)(B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$12,500; TRADING PRIVILEGES SUSPENDED FOR 2 ½ YEARS; SHALL NOT APPLY FOR REGISTRATION FOR A PERIOD OF FIVE YEARS FROM ORDER DATE.
SKRODZKI, DAVID JOHN	89-17	CFTC	08/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; AT EXPIRATION OF TRADING SUSPENSION, NOT TO TRADE FOR OTHERS AND NOT TO EXECUTE TRADES FOR SELF; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON THE FLOOR DURING TRADING HOURS; NEVER TO APPLY FOR REGISTRATION; TO MAKE FULL RESTITUTION TO CUSTOMERS.
SKRYPKUN, TERENCE E.	77-21	CFTC	03/23/80	4b 13(a)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 15 MO.
SLAVICEK, WILLIAM A.	83-C-4994	ND IL	12/09/83	4b(B) 4b(D) 4d(10) 4d(2)	166.2 1.20(a)	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.
SLEDD, DANIEL	79-2778	WD TN	11/18/81	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	
SLEDD, J. DANIEL	79-1233	MD FL	10/11/85	4c(b) 4c(c)	32.9 32.11	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BOOKS & RECORDS.
SLEDZ, BRIAN E.	89-18	CFTC	08/02/89	4b(A) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; AT EXPIRATION OF TRADING SUSPENSION, NOT TO TRADE FOR OTHERS AND NOT TO EXECUTE ORDERS FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NOT TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION TO CUSTOMERS.
SLEDZ, JAMES G.	89-19	CFTC	09/02/89	4b(A) 4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; AT EXPIRATION OF TRADING SUSPENSION, NOT TO TRADE FOR OTHERS AND NOT TO EXECUTE TRADES FOR HIMSELF; NEVER TO APPLY FOR REGISTRATION; NEVER TO HOLD CONTRACT MARKET MEMBERSHIP OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION.
SLONE, HAROLD G.	81-2250-W	WD TN	09/11/85	4b(A) 4b(C) 4o(1) 4		PERMANENT INJUNCTION	
SLUSSER, JERRY S.	94-14	CFTC	8/27/03			ALJ INITIAL DECISION	SUPPLEMENTAL INITIAL DECISION; CIVIL MONETARY PENALTY OF \$600,000.
SLUSSER, JERRY W.	94-14	CFTC	08/19/99				PETITION TO STAY THE EXECUTION OF CIVIL MONETARY PENALTY SANCTIONS IMPOSED IN 7/19/99 ORDER, AFFIRMING ALJ'S INITIAL DECISION IS DENIED.
SMALL, LEANDER M.	78-43	CFTC	08/03/78				REG. REVOKED AS AP.
SMITH, ART	SACV00940	CD CAL.	2/28/01	4c(b) 4o(1)	4.41(a) 33.10	PERMANENT INJUNCTION	RESTITUTION OF \$384,771.25 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$50,000.
SMITH, DAVID LEE	80-315	SD FL	10/07/81	4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SMITH, DONALD STEVEN	CV 02-4898	CD CAL	7/22/2004	4o(1)(B) 4n(4) 4m(1) 4n(3)(A)	4.20(a)(1) 4.20(b) 4.20(c) 4.13(c)(3) 1.31 4.13(c)(1) 4.30 4.31 4.34 4.35	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$15,000 TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION.
SMITH, GARY A. (REV.)	94-661-CIV	MD FL	07/08/96	4b(a)(i) 4o(1) 4k(2)			DISGORGEMENT; AMENDED COMPLAINT 7/3/95; DISGORGEMENT OF \$368,339.00 PLUS INTEREST OF \$73,148.28 BY ORDER DATED 8/23/96.
SMITH, GEORGE COLE	92-00216	D HA	07/12/93	4b(a)(i) 4b(a)(ii) 4o(1)(B) 4m(1) 4n(3)(A) 4n(4)	1.31 4.23 4.20 ORDER 4.22	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; GCS TO PAY \$1,180,000 TO RECEIVER; ENJOINED FROM ACTING AS FCM, IB, FB, CTA, CPO OR AP; SOLICITING OR ACCEPTING CUSTOMER FUNDS.
SMITH, JEFFREY A.	C2-94-981	SD OH	01/27/98	4b(a)(i) 4b(a)(ii) 4o(1) 4n(3)(A)	4.20(c) 4.23	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; APPEALED; TO PAY \$35,195.91 TO COURT APPOINTED ADMINISTRATOR; NOT TO SEEK OR BECOME REG. WITH THE CFTC; NOT TO ACT AS A CPO, CTA, AND OR SECURITIES DEALER.
SMITH, MICHAEL D.	93-9	CFTC	04/10/97				TRADING PRIVILEGES REVOKED.
SMITH, MONA L.	3:98CV0281AS	ND IN	12/08/99	4b(a)(i) 4o(1) 4b(a)(ii) 4m(1)	4.20	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY UNDER THE CEA; FIELD & SMITH DISGORGEMENT OF \$880,811.00; SMITH DISGORGEMENT OF \$146,154.00; DEFENDANTS MAKE RESTITUTION OF \$1,026,965.15.
SMITH, PHILIP M.	80-3103	SD NY	07/29/81	4d(2) 4f(2) 4g	1.20(a) 1.17(a) 1.31	PERMANENT INJUNCTION	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4i	1.35		
SMITH, PHILIP M.	80-4399	SD NY	07/29/81				CONSOLIDATED WITH 80-3103 (S.D.N.Y. 1980)
SMITH, PHILIP M.	81-18	CFTC	11/14/85	4b 4o	4.21		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; APPEAL WITHDRAWN 4/4/86.
SMITH, PHILIP M.	82-20	CFTC	12/30/91	4(k)(1) 4f(1) 4d(2) 4g(1) 4f(2) 4i 6(b)	1.10 1.12 1.17 1.20 1.21.01 1.22 1.23 1.25 1.27 1.28 1.31 1.35 1.37 15.01(b) 17.00(a) 17.01		CEASE & DESIST ORDER; PEN. AMNT.: \$105,000; TRAD. PRIV. SUSP. 24 MO.
SMITH, VICTOR	03-2659 TJH	CD CAL	12/13/2004	4b(a)(2)(i)&(i ii) 4c(b) 4o(1)(A)&(B)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$1,950,000 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; ASSET FREEZE LIFTED.
SMITH, VIRGIL E.	02-1783	D MN	3/26/2004	4b(a)(i) - (iii) 4o(1)(A) & (B) 4m(1) 4k(2)	4.24 4.25	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$3,127,752 PLUS PRE-JUDGMENT INTEREST JOINTLY OWED WITHIN 30 DAYS; CIVIL MONETARY PENALTY OF \$440,000 TO BE PAID WITHIN 30 DAYS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
SMITHERS, CHRISTOPHER	00-08880 CIV-ZLOCH	S.D. FL.	12/4/00			TERMPORARY RESTRAINING ORDER	10/30/00 STATUTORY RESTRAINING ORDER IS VACATED.
SMYTHE-WHEATLEY, LTD.	84-243PHX	D AZ	12/15/87	19	31.1 31.2 31.3	PERMANENT INJUNCTION	COSTS AWARDED; ALSO ENJOINED FROM VIOLATING ARIZONA CONSUMER FRAUD ACT; TO PAY TO ARIZONA ATTY. GENERAL \$3,750,000 PENALTY AND \$60,000 COSTS.
SNIVELY, TODD JAMES	02-40041	ED MI	3/10/03	4b(a)(i)-(iii)	1.31	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g(a)	1.35 4.14(a)(9)		BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CONTINGENT CIVIL MONETARY PENALTY OF \$360,000; JOINTLY AND SEVERALLY LIABLE FOR RESTITUTION OF \$6,274,986.84 PLUS PRE-JUDGMENT INTEREST IN THE AMOUNT OF \$302,760 TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN.
SNIVELY, TODD JAMES	SD 03-05	CFTC	1/13/2004			ALJ INITIAL DECISION	ASSOCIATED PERSON REGISTRATION REVOKED.
SO, IVAN	94-0220-C	ND CA	01/21/94	4(a)		COMPLAINT FILED	
SOBOL, LAWRENCE D.	85-21	CFTC	11/27/85	4k	3.12		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 2 YEARS.
SOCHA, RICHARD S.	83-40	CFTC	09/21/83	4o(1)(B) 4n(4)	4.22(a) 4.22(b) 4.22(c)		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO, CTA & AP.
SOCIEDE COMERCIAL SIU LAP LIMITIDA	02 CIV 5497	SD NY	5/26/2004	4(a); 4b(a)(2)(C)(i)) & (iii)	1.1(b)(1) & (3)	FINAL JUDGMENT	RESTITUTION & DISGORGEMENT OF \$25,428,840 AND CIVIL MONETARY PENALTY OF \$76,286,520 PLUS POST JUDGMENT INTEREST JOINTLY OWED; PROTECT BOOKS & RECORDS; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
SOCRATOUS, ATHOS	3:04CV169-S	WD KY	12/1/2004	4(a) 4b(a)(2)(iv)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN FIVE BUSINESS DAYS; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS.
SOFIA, JOEL	03-74206	ED MI	11/12/03	4b(a)(2)(i)-(iii); 4c(b); 4o(1); 4m(1); 4k(2); 4n(4)	33.10; 4.22; 4.24; 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
SOGEMIN METALS, INC.	00-04	CFTC	2/7/00	4b(a)(i) 4b(a)(ii)	166.3 30.9	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY AMOUNT \$500,000; SHALL COMPLY W/ UNDERTAKINGS INCLUDING REVISING INTERNAL

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							PROCEDURES MANUAL & CREATING A COMPLIANCE MANUAL.
SOHN, CHARLES C.	94-0670	CD CAL	08/23/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT & RESTITUTION AMOUNT TO BE AGREED TO BY THE PARTIES.
SOKOLOFF, MARC	80-28	CFTC	03/27/86	4c(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS FB 6 MO.
SOLER, OSCAR C.	83-31	CFTC	08/06/84	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$17,500.
SOLIMAN, NAGY	85-31	CFTC	01/22/88	4m 4o(1) 4b(A) 4n(3)(A)	4.41(a) 1.31 4.32 4.41(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
SOLOMON, MAYER	92-21	CFTC	02/25/98	4b(A) 4b(D) 4c(a)(A) 4c(a)(B) 4a(1)	1.31(a) 1.35(d) 1.35(a-1) 1.38(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$500,000; REG. REVOKED AS FB; ON APPEAL.
SOLTES, JOHN ZOLTAN	82-60115	ED MI	02/22/84	4b 4o(1) 4n(3)(A)	4.21(g)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TO JOINTLY PAY TO RECEIVER \$184,508.
SONNENBERG, JAMES J.	SD-88-2	CFTC	05/17/88				REG. REVOKED AS FB.
SORKIN, HAROLD	82-8279	SD NY	08/31/83 04/19/85	4b(A) 4b(B) 4b(C) 4m 4n(3)(A) 4n(4) 4o(1)	1.31 4.22	PERMANENT INJUNCTION	DISGORGEMENT.
SORKIN, HAROLD	84-29	CFTC	08/21/84	4n(3)(A) 4n(4) 4b(C) 4m 4o(1) 4b(A) 4b(B)	1.31 4.22		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO REAPPLY FOR REGISTRATION.
SORKVIST, JOHN W.	92-19	CFTC	02/04/98	4b(A) 4b(B) 4b(C) 4b(D)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$150,000; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB; ON APPEAL.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(A) 4c(a)(B)			
SOROS, GEORGE	86-13	CFTC	03/03/86	4a(5)			CEASE & DESIST ORDER; PEN. AMNT.: \$75,000.
SOULE, CHARLES B.	97-10	CFTC	06/24/97	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; SUSP. AS AP 3 MO.; FOR 2 YEARS, AP & FB REGISTRATION'S ARE STRICTLY CONDITIONED; MAY NOT ACT AS AP UNLESS SUBJECT TO SUPPLEMENTAL SPONSOR CERTIFICATION; MUST BE "STRICTLY SUPERVISED" BY DESIGNATED SUPERVISOR; SEE ORDER FOR ADDITIONAL CONDITIONS ON REGISTRATION AS FB.
SOULE, STEVEN G.	99-4	CFTC	2/11/2004	4b(a)(i)-(iii)		COMMISSION ORDER	CEASE & DESIST; CONTINGENT CIVIL MONETARY PENALTY OF \$276,000; RESTITUTION OF \$276,557 PLUS POST JUDGMENT INTEREST TO BE PAID PURSUANT TO PAYMENT PLAN; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
SOUTH AFRICAN CONTROLLED INVESTMENTS	89-1923PN	D MD	11/01/91	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; ALL CONTRACTS ARE RESCINDED AND RESTITUTION MUST BE MADE TO CUSTOMERS.
SOUTHEASTERN VENTURE PARTNERS GROUP INC.	7-96-CV-61	MD GA	07/01/96 05/13/99	R		RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; DEFAULT JUDGMENT; RESTITUTION OF \$2,948,831.40; CIVIL MONETARY PENALTY OF \$8,846,494.20 PLUS INTEREST JOINTLY & SEVERALLY OWED; PERMANENTLY ENJOINED FROM ACTING IN ANY CAPACITY UNDER THE ACT AND SEEKING REGISTRATION WITH COMMISSION; STOP CUSTOMER SOLICITATION.
SOUTHERN ADVERTISING &	97-7422	S.D. FL.	10/20/99	4b(a)(i)		PERMANENT	ACCESS BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARKETING, INC.				4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION; FINAL ORDER	ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
SOUTHERN STATES TRADING COMPANY, INC.	82-8212	SD NY	12/09/82	4d(2) 4f(2)	1.20(a) 1.17(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
SOUTHERN THUMB CO-OP	97-3	CFTC	10/7/99	4c(b)	32.2 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
SOUTHWEST RESEARCH ASSOCIATION, INC.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)	PERMANENT	INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; JOINTLY & SEVERALLY OWED RESTITUTION & DISGORGEMENT OF \$9,545,137 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
SOVEREIGN RESOURCE MANAGEMENT, INC.	02-1783	D MN	3/26/2004	4b(a)(i) - (iii) 4o(1)(A) & (B) 4m(1) 4k(2)	4.24 4.25	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$3,127,752 PLUS PRE-JUDGMENT INTEREST JOINTLY OWED WITHIN 30 DAYS; CIVIL MONETARY PENALTY OF \$550,000 TO BE PAID WITHIN 30 DAYS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
SPEAR, LEEDS & KELLOGG	93-25	CFTC	09/07/93	4b(a)(ii)	166.3		PEN. AMNT.: \$325,000.
SPECIALIZED COMMODITY TIMING, LLC	00-2071 RHK/SRN	D. MINN.	9/15/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; ACCOUNTING MADE; RESTRAINED, ENJOINED & PROHIBITED FROM SEEKING

PRELIMINARY

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION W/ COMMISSION IN ANY CAPACITY.
SPECK, PETER ALEXANDER	91-23591J	D SC	08/12/92	4m 9(a) 4o 4b 4c(b) 4n(3)(A)	4.13 4.41 33.10 4.20 4.21	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; MUST DISGORGE ALL BENEFITS, INCLUDING \$154,000 IN CUSTOMER FUNDS.
SPECTRA, LTD.	84-29	CFTC	10/05/84	4b(A) 4o(1) 4o(2)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
SPEIER, GARY	81-24	CFTC	08/07/81	4a(2)(B)	150.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.
SPEIRS, JAMES T.	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; NORBERT NOWICKI APPOINTED RECEIVER; ORDERED TO DISGORGE \$2,100,000; NOT TO ACT AS FCM, IB, FB, CTA, CPO, OR AP; NEVER APPLY FOR REGISTRATION IN ANY CAPACITY.
SPENTZOS, JAMES	94-13	CFTC	05/19/94	4c(a)(A)	1.38(a) 166.3	COMPLAINT FILED	
SPIEGEL, ROY D.	85-19	CFTC	01/12/88	4d(2) 4g(1) 4f(2)	1.20(a) 1.21 1.22 1.37 1.32 1.17(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$70,000; REG. REVOKED AS CTA, CPO & AP; COMMISSION AGREED TO ACCEPT \$20,000 IN SATISFACTION OF PENALTY ON 11/9/88 WHILE ON APPEAL TO 9 TH CIR.
SPINALE, ANTHONY	81-24	CFTC	08/07/81	4a(2)(B) 4i 6(b)	150.10 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 24 MO.
SPINNER, DAVID H.	91-18	CFTC	07/09/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED AS AP; NEVER APPLY TO REGISTER OR ACT IN CAPACITY REQUIRING REGISTRATION.
SPINNER, STEVEN A.	91-18	CFTC	07/09/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; REG. REVOKED AS AP; NEVER APPLY TO REGISTER OR ACT IN CAPACITY REQUIRING REGISTRATION.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SPITZER, RALPH	79-42	CFTC	09/20/82	4c(b) 4f(1) 4f(2) 4g(1)	1.17 1.18 32.6 1.31(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
SPITZER, RALPH	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SPIVAK, GENNADY a/k/a GEORGE SPIVAK	03-80032	SD FL	1/13/03	4(a) 4b(a)(2)	1.1	COMPLAINT FILED	
SPIVAK, GENNADY a/k/a GEORGE SPIVAK	03-80032	SD FL	8/5/2004	4c(b)	32.9 32.11 33.3(a)	PERMANENT INJUNCTION	DEFAULT ORDER; JOINT OWED RESTITUTION OF \$1,092,880.60; CIVIL MONETARY PENALTY TO BE DETERMINED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
SS ASSOCIATES, A PARTNERSHIP	82-60115	ED MI	02/22/84	4b 4o(1) 4n(3)(A)	4.21(g)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; TO JOINTLY PAY TO RECEIVER \$184,508.
STABILE, JOSEPH M.	77-0929-CB	ED MO	09/12/77	4d 4f 4g	1.31 1.34 1.35 1.18 1.20 1.26	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
STABILE, JOSEPH M.	77-8	CFTC	08/31/81	4b 4c 4d 4f 4g			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; APPEAL DISMISSED 5/12/86.
STABILE, JOSEPH M.	81-1	CFTC	02/18/83	6(b)			REG. DENIED AS AP.
STAIN, ROBERT	86-36	CFTC	09/30/86	4g(1)	1.46(a) 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
STANDARD CONTINENTAL, INC.	93-0067	CD CA	03/14/94	4(a)		PERMANENT INJUNCTION	
STANDARD FOREX, INC.	93-0088	ED NY	08/09/93	4(a) 4b(A) 4d(1)	3.10	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
STANDARD FORSTEN CORP.	93-0067	CD CA	03/14/94	4(a)		PERMANENT INJUNCTION	
STANFORD MANAGEMENT CORPORATION	83-18	CFTC				COMPLAINT FILED	
STANLEY B. BELL & CO., INC.	90-29	CFTC	05/30/91	4b(A) 4b(B) 4b(C) 4(b)(D)	1.31(a)(1) 1.35(a) 1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$35,000; TRAD. PRIV. SUSP. 24 MO.; NEVER TO APPLY FOR REGISTRATION.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(A) 4c(a)(B) 4g			
STARKE, BOB	80-21	CFTC	02/23/82	4b 4o			CEASE & DESIST ORDER.
STARR, JOE FRED	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
STARR, JOSEPH	84-1463	SD CA	09/03/85	19	31.1 31.24	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
STARYK, MICHAEL F.	95-5	CFTC	7/23/2004	4c(b)	33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$450,000; TRADING PROHIBITION; AP REGISTRATION REVOKED.
STEIGERWALD, TONY W.	90-25	CFTC	12/17/91	4c(b)	33.7(f) 33.10 166.3		CEASE & DESIST ORDER; MAY NOT APPLY TO REGISTER IN ANY CAPACITY.
STEIN, ALAN	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
STEIN, MURRAY L.	89-23	CFTC	12/10/96		PRELIMINARY		PEN. AMNT.: \$500,000; APPEALED; MLS APPEALED TO 11 TH CIR. 12/96.
STEINBERG, ROBERT	80-835	D GA	09/14/81	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
STEINER, JOEL	77-2678EW	SD NY	06/22/77	4c(b) 4o(1)	30.01 32.8(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
STEINER, JOEL	79-1	CFTC	09/27/79				PEN. AMNT.: \$15,000; TO JOINTLY PAY \$100,000 INTO ESCROW FOR CUSTOMERS; NOT TO APPLY FOR REGISTRATION FOR 8 YEARS.
STEINER, JOEL	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 166.2 33.7(d) 3.15 3.31 3.12(a) 166.3 33.10	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION NOT TO ACT AS OFFICER OR EMPLOYEE OF, BE ASSOCIATED WITH, OR RECEIVE COMPENSATION FROM, ANY REGISTRANT.
STEINER, JOEL	89-21	CFTC	09/13/89	4c(b) 4k	3.12(a) 33.7(d) 33.7(f)		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					33.10		NEVER TO SEEK REGISTRATION OR TO IN ANY WAY BE ASSOCIATED WITH OR COMPENSATED BY ANY REGISTRANT.
STEINER, LESLIE	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 33.10 166.2 33.7(d) 3.15 3.31 3.12(a) 166.3	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; NOT TO ACT AS OFFICER OR EMPLOYEE OF, BE ASSOCIATED WITH, OR RECEIVE COMPENSATION FROM ANY REGISTRANT.
STEINER, LESLIE	89-21	CFTC	09/13/89	4c(b) 4k	3.12(a) 33.7(d) 33.7(f) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; NEVER TO SEEK REGISTRATION OR TO IN ANY WAY BE ASSOCIATED WITH OR COMPENSATED BY ANY REGISTRANT.
STEINERT, STEVEN I	84-30	CFTC	12/26/84	4b 4o(1)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
STENBERG, JOHN R.	03-01	CFTC	11/7/02	4o(1)(A) 4o(1)(B)	4.41(a)(1) 4.41(a)(2)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; SHALL COMPLY WITH UNDERTAKINGS.
STEPHEN ALAN PIERCE, individually and d/b/a RAPID FIRE SWING TRADING and THE CHART TRADERS	02-15	CFTC	1/21/03	4n(3)(A) 4o(1)(A) & (B)	4.33 4.41(a) 4.41(b)(1)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 WITHIN TEN DAYS.
STEPHENS, DWIGHT H.	85-1555	ND CA	11/06/87	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TO PAY \$436,000 TO RECEIVER.
STEPHENS, JAMES E., III	1:00-CV-0184-4	MD GA.	11/20/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4o(1)(A) 4o(1)(B)	33.10 4.30	PRELIMINARY INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
STEPHENS, WILLIAM M.	SD-00-04	CFTC	9/6/00	8a(11)		COMMISSION ORDER	AP REGISTRATION SUSPENDED UNTIL DISPOSITION OF CHARGES AGAINST HIM IN INDICTMENT OR UNTIL THE SUSPENSION IS TERMINATED

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BEFORE DISPOSITION BY COMMISSION.
STERLING CAPITAL COMPANY	80-835	D GA	09/14/81	4c(c) 4c(b)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS.
STERLING FOREX, LLC a Washington Limited Liability Corporation	CV02-2076	WD WA	10/3/02	4b(a)(i) 4b(a)(iii)		PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; DEFENDANTS SHALL POST NOTICE ON WEBSITE REGARDING SUIT FILED BY CFTC.
STERLING FX INTERNATIONAL LLC	02-6619	CD CAL	5/11/2004	4(a)		DEFAULT ORDER	RESTITUTION OF \$870,352.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR; EACH DEFENDANT OWES \$120,000 IN CIVIL MONETARY PENALTIES.
STERLING INVESTMENT OF AMERICA (OREGON)	98-9	CFTC	06/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
STERLING INVESTMENTS	98-9	CFTC	06/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
STERLING INVESTMENTS OF AMERICA, INC. (FLA)	98-9	CFTC	06/19/98	4c(b) 4b(a) 4k	33.10 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS IB.
STERLING TRADING GROUP, INC.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
STERN, ANDREW N.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
STERN, DAVID I.	80-29	CFTC	01/21/87	4b 4c(a)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 1-2 MO.; SUSP. AS FB 1-2 MO.
STEVENS, DOUGLAS	C 03-1379VRW	ND CAL	5/15/03	4b(a)(2)(i)- (iii) 4(a)	1.1(b)(1)- 1.1(b)(3)	PRELIMINARY INJUNCTION	ACCOUNT ORDER; STOP SOLICITATION; MAY SPEND NOT MORE THAN \$2,500 ON ORDINARY AND REASONABLE LIVING EXPENSES AND NOT MORE THAN \$2,500 TO PAY FOR LEGAL REPRESENTATION.
STEVENS, DOUGLAS BRIAN	SD 04-07	CFTC	8/12/2004			COMMISSION ORDER	AP REGISTRATION REVOKED.
STEVENS, MARK G.	97 C 7061	N.D. IL.	3/24/00	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; NOT SEEK REGISTRATION W/ COMMISSION; STOP SOLICITATION; TRADING PROHIBITION; FTI, FOREMAN,

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1)			STEVENS, & MUNN JOINTLY & SEVERALLY OWE RESTITUTION OF \$860,444.79 WHICH INCLUDES \$211,709.46 IN DISGORGEMENT AND \$136,498.41 IN PRE-JUDGEMENT INTEREST.
STEVENS, RAUL P.	SD-85-1	CFTC	11/22/85				REG. DENIED AS AP.
STEWART KERI L.	98-6564	S.D. FL.	11/24/99	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	FINAL JUDGEMENT	CIVIL MONETARY PENALTY OF \$330,000; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
STEWART, MICHAEL	00-06	CFTC	2/28/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMPLAINT FILED	
STG GLOBAL TRADING, INC. f/d/b/a GLOBAL FOREX TRADING, INC.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
STOCHEL J. R. AND ASSOCIATES	81-631	ND IN	11/22/83	4m 4n(3)(A) 4n(1)	4.21(b) 4.22(c) 4.23 1.31(a)	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
STOCHEL, JAMES R.	81-631	ND IN	04/20/82 11/22/83	4m 4n(3)(A) 4n(1)	4.21(b) 4.22(c) 4.23 1.31(a)	PERMANENT INJUNCTION	CITED FOR CIVIL CONTEMPT; DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
STOCKTON, JEROME	79-3558	SD FL	02/06/85	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	TO PAY \$1,000 TO RECEIVER.
STONE, DAVID	79-28	CFTC	10/15/80	4c(b)	32.3(b)(1)		CEASE & DESIST ORDER; PEN. AMNT.: \$1,500.
STONE, THOMAS H.	86-5	CFTC	02/11/86	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000.
STONEY, LAURENCE O. JR.	84-16	CFTC	11/16/83	4e 4g(1)	1.31 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
STOTLER AND COMPANY	80-7	CFTC	09/30/86	4b 4o 4k 4n 8a(3)	1.10(c) 1.10(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; COMMISSION ORDER AFFIRMED BY 7 TH CIRCUIT 8/25/88 (CCH 24,311).
STOTLER AND COMPANY	90-18	CFTC	08/21/90	4f(2)	1.10(d) 1.17(a) 1.17(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
STOTLER FUNDS, INC.	90-C4387	ND IL	10/15/91	4o(1)(B)	4.21(g)(2) 4.21(h)	PERMANENT INJUNCTION	PERMANENTLY PROHIBITED FROM SEEKING REGISTRATION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							IN ANY CAPACITY WITH THE CFTC.
STOUT, LAWRENCE WAYNE	81-4	CFTC	07/20/82	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
STOVALL AND STOVALL, INC.	75-7	CFTC	12/06/79				REG. REVOKED AS FCM.
STOVALL, RAWLIN L.	75-7	CFTC	12/06/79	4			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS FB.
STRATEGIC METALS INTERNATIONAL, INC.	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
STRATEGIC METALS INTERNATIONALE, INC.	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
STRATEGIC TRADING GROUP, INC.	01-8350	SD FL	7/15/02	4c(b)	32.9 32.11 33.3 32.5 4.14(a)(9)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$226,893.
STRAUSS, JOHN P.	86-6	CFTC	12/02/86	166.3			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; NOT TO APPLY FOR REGISTRATION OR ACT AS A PRINCIPAL FOR ONE YEAR; NOT TO ACT IN A SUPERVISORY CAPACITY FOR 2 ½ YEARS; PROHIBITED FROM TRADING FOR OWN ACCOUNT FOR 1 YEAR.
STRIAR, BERNARD "BEN"	84-0636	SD CA	01/27/86	4m 4o(1) 4n(4)	4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT.
STRID, GREGORY A.	83-49	CFTC	08/04/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
STRULLE, RONALD H.	80-13	CFTC	07/03/80	6(b)			CEASE & DESIST ORDER; REG. REVOKED AS AP.
STRUM, WALTER	78-65	CFTC	01/24/83	4b 4o			CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; SUSP. AS CTA 12 MO.; SUSP. AS AP 12 MO.
SUBA, THOMAS	83-4	CFTC	06/27/86	4b 9 4d 4g	1.20 166.3 1.32 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRADING PRIVILEGES REVOKED.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(A)	1.31		
SUEN, ALAN	93-3494-C	ND CA	05/26/94	4(a)		PERMANENT INJUNCTION	
SULEIMAN, NASSAIM R.	77-9	CFTC	01/05/79	4a(2) 4g(4) 4i	1.35(d) 18.00 150.4		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS.
SULLIVAN, BRIEN	97-01478ACK	D HA	09/28/98	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(a) 4.20(b)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; TRADING PROHIBITION; SULLIVAN ORDERED TO PAY RESTITUTION OF \$317,193.84 AND A CMP OF \$100,000; SULLIVAN IS ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION OR LICENSING UNDER THE CEA.
SULLIVAN, DENNIS M.	89-5	CFTC	10/19/90				APPEALED.
SUMITOMO CORPORATION	98-14	CFTC	05/11/98	6(c) 6(d) 9(a)(2)			CEASE & DESIST ORDER; \$125,000,000 CMP IMPOSED; RESTITUTION OF \$25,000,000; SUMITOMO SHALL COOPERATE WITH THE COMMISSION.
SUMMERS, H. DEAN	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$2,000 JOINTLY OWED; TRAD. PRIV. SUSP. 24 MO.
SUMMIT TRADING SYSTEMS	80-0689	SD NY	12/12/80	4 4b 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
SUN HING BULLION INVESTMENT	92-9	CFTC	12/09/91	4(a) 4b(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$140,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; MAY NEVER APPLY FOR REGISTRATION.
SUN HING BULLION INVESTMENT LIMITED	90-5214R	CD CA	12/17/91	4(a) 4b(A)		PERMANENT INJUNCTION	
SUN PLATINUM GROUP LLC	03 CV 7112	SD NY	8/24/2004	4(a) 4b(a)(2)(i) & (iii)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
SUN, HARRY	93-0088	ED NY	12/06/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
SUNDHEIMER, STEPHEN M.	79-22	CFTC	09/16/81	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD PRIV.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							SUSP. 24 MO.; REG. REVOKED AS FB; AFFIRMED ON APPEAL BY 9 TH CIR.
SUPPA, MARK J.	SD-95-9	CFTC	01/30/95				FB CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR 2 YEARS.
SUTER, RICHARD W.	80-24	CFTC	09/19/80	4o			CEASE & DESIST ORDER; REG. REVOKED AS CTA.
SUTTON ROSS ASSOCIATES, INC.	82-22	CFTC	03/21/85	4b(A) 4o(1) 4m 4n(3)(A) 4n(4)	4.21 4.22(c) 4.21(g)(1) 4.22(a) 4.22(h) 4.23(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$40,500; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS CTA & CPO.
SUTTON, RALPH ARTHUR	86-23	CFTC	04/15/86	4n(4) 4o(1) 4o(2)	4.21(a) 4.22(a) 4.20(C)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 72 MO.; NOT TO REAPPLY FOR REGISTRATION OR BECOME A COMMODITY PROFESSIONAL FOR SIX YEARS.
SVAGDIS, EDWARD J.	80-315	SD FL	05/29/81	4o(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; PROTECT BOOKS & RECORDS.
SVAGDIS, EDWARD J.	81-1749MA	D MA	07/10/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	4.22(a) 4.23(a) 1.7 4.21(a) 4.21(b)	PERMANENT INJUNCTION	DISGORGEMENT; FREEZ OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION.
SVAGDIS, EDWARD J.	82-1	CFTC	11/04/81	4b(A) 4d(1) 4n(3)(A) 4n(4) 4o(1)	1.7 4.21(a) 4.21(b) 4.22(a) 4.23(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION.
SWANNELL, RICHARD	00-28	CFTC	9/6/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED; SHALL COMPLY W/ UNDERTAKINGS.
SWANNELL, RICHARD	03-2979	CD CAL	4/29/03	6(c)	4.41(b)	COMPLAINT FILED	
SWARTZ, RONALD J.	98CIV7505	ND IL	05/27/99	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.30 4.31(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; SWARTZ MAY NOT SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY UNDER THE CEA & ACT IN ANY CAPACITY REQUIRING REGISTRATION;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RESTITUTION JOINTLY & SEVERALLY OWED PLUS INTEREST; CMP; PAY COSTS & FEES.
SWARTZLANDER, PHILIP J.	83-57	CFTC	05/25/84	4b(A) 4b(B)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 240 MO.
SWAYNE, LEA ANNE	92-443E(M)	SD CA	11/29/93	4(a) 4b(A)		PERMANENT INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; DISGORGEMENT \$47,563.
SWEEM, GREGORY H.	88-152-B	SD IA	06/22/89	4b(A) 4b(C) 9(a) 4d(1) 4d(2)	1.20(a)	PERMANENT INJUNCTION	
SWEENEY AND ASSOCIATES	81-5651	ND IL	01/14/82	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SWEENEY AND ASSOCIATES	82-19	CFTC	10/17/83	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO & CTA.
SWEENEY, CHARLES N.	93-25	CFTC	09/07/93	4b(a)(ii)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; SUSP. AS AP 1-2 MO.
SWEENEY, JAMES J.	81-5651	ND IL	12/29/81 01/14/82	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)	PERMANENT INJUNCTION	CITED FOR CIVIL CONTEMPT; DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
SWEENEY, JAMES J.	82-19	CFTC	10/17/83	4b 4n(3)(A) 4n(4) 4o(1)	1.31(a) 4.21(a) 4.21(b) 4.22(c) 4.23 4.24(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$700,000 JOINTLY OWED; TRADING PRIVILEGES REVOKED.
SWEENEY, PATRICK	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SYSTEMS OF SUCCESS – WINDOW TO PROFIT d/b/a SYSTEMS OF SUCCESS	00-27	CFTC	9/6/00	4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 JOINTLY OWED WITH FLAVELL PAID PURSUANT TO TEN-YEAR PAYMENT PLAN; TRADING PRIVILEGES REVOKED; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION.
SZACH, SCOTT N.	01-05	CFTC	1/8/01	4d(2) 4g(a) 6(c)	1.10(d) 1.12(h) 1.18(a) 1.20 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CONTINGENT CIVIL MONETARY PENALTY OF \$220,000; TRADING PRIVILEGES SUSPENDED FOR 10 YEARS; SHALL LIQUIDATE ALL FUTURES & OPTIONS HELD BY HIM OR ON HIS BEHALF BEFORE THE COMMENCEMENT OF THE DENIAL OF HIS TRADING PRIVILEGES; PERMANENTLY PROHIBITED FROM PRACTICING BEFORE THE COMMISSION.
SZE, CHUNG FUNG	92-259	ED NY	08/24/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	DISGORGEMENT OF \$50,000; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
SZUCHMAN, LOUIS J.	79-1406	SD FL	05/20/84 02/19/85			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; CITED FOR CIVIL CONTEMPT.
T & D MANAGEMENT COMPANY	81-0633	D UT	08/26/81	4o(1)		PERMANENT INJUNCTION	
T & D MANAGEMENT COMPANY	82-12	CFTC	03/03/82	4m 4n(3) 4o(1) 6(b)	4.21(a) 4.21(b) 4.23 4.31(a) 4.31(b)		CEASE & DESIST ORDER; REG. REVOKED AS CTA & CPO; NOT TO APPLY FOR REGISTRATION.
T. YOUNG & COMPANY, INC.	85-32	CFTC	09/20/85	4d 4n(4)	1.7 1.20(a) 1.33(a) 4.22(h) 4.24(a)		CEASE & DESIST ORDER.
T.S.F. TRADING CO., INC.	79-0670	SD NY	03/12/79	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
TABB, EDWARD N.	97-7422	S.D. FL.	10/20/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION; FINAL ORDER	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; DISGORGEMENT OF \$806,022.78 PLUS PRE-JUDGEMENT

PERMANENT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							INTEREST; RESTITUTION OF \$2,947,360.41 PLUS PRE-JUDGEMENT INTEREST; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT; SEEKING REGISTRATION WITH THE COMMISSION.
TAFT, FREDERICK W.	95-6221	SD FL	11/27/96	4m(1) 4o(1)(A) 4o(1)(B) 4b(a)(i)	4.41(a)(1) 4.41(a)(2)	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; ENJOINED FROM SEEKING REGISTRATION; ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITY TRADING ADVICE; CONTROLLING ANY COMMODITY TRADING; BEING EMPLOYED BY ANY BUSINESS THAT PROVIDES COMMODITY FUTURES AND OPTIONS PROGRAMS; ALSO ENJOINED FROM VIOLATING FLA. DECEPTIVE & UNFAIR PRACTICES ACT AND FROM OPERATING A BUSINESS IN FLA.
TAGGARES, PETER J.	77-13	CFTC	03/07/78	9(b) 6(b) 6(c) 4a	150.10		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000 JOINTLY OWED; TRAD. PRIV. SUSP. 48 MO.
TAMB INTERNATIONAL, INC.	CV 03 0177	ED NY	1/7/03	4(a) 4b(a)		COMPLAINT FILED	
TAMBIEV, RUSSELL a/k/a ROUSLAN OR RUSLAN TAMBIEV AND RUSSELL TAMB	CV 03 0177	ED NY	1/7/03	4(a) 4b(a)		COMPLAINT FILED	
TAN, DENNIS K.	88-1571	D AZ	09/28/88 04/15/91	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 4.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; DISGORGEMENT.
TAN, DENNIS K.	88-31	CFTC	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 4.22 4.23 4.20(b) 4.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION OR BECOME PRINCIPAL OF ANY ENTITY REQUIRED TO BE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTERED.
TAN, THOMAS	93-0067	CD CA	12/19/94	4(a)		PERMANENT INJUNCTION	DISGORGEMENT.
TARA SECURITIES CORPORATION	88-6958	SD FL	10/11/89	4c(b) 6(b) 4f 4k	33.7(f) 33.10 166.2 33.7(d) 3.15 3.31 3.12(a) 166.3	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.
TARA SECURITIES CORPORATION	89-21	CFTC				COMPLAINT FILED	
TAUBMAN, GLENN R.	98-6564	S.D. FL.	1/21/00	4f(a) 4k(1) 4k(5)	3.10(a)(2)(i)	PERMANENT INJUNCTION	SHALL NOT SEEK REGISTRATION W/ COMMISSION OR ACT IN A REGISTERED CAPACITY FOR 2 YEARS; ENJOINED FROM VIOLATING COMMISSION'S 11/22/96 ORDER, OR ANY OTHER COMMISSION ORDER.
TAYBI, MOHAMED NAJIB	00-12	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY W/ UNDERTAKINGS.
TAYLOR COMMODITY CORPORATION	79-0609-H	ND TX	03/30/80	4c(b)	32.6 32.7	PERMANENT INJUNCTION	
TAYLOR COMMODITY CORPORATION	79-19	CFTC	05/23/80	4f(2) 4c(b) 4f(1) 5(b)	1.17(b)(1) 32.6(a) 1.18(a) 1.35(a) 1.10(d) 32.6(f)		CEASE & DESIST ORDER; REG. REVOKED AS FCM, CTA & CPO; NOT TO REAPPLY FOR REGISTRATION.
TAYLOR, RICHARD J.	78-49	CFTC	11/20/81				ALLOWED TO WITHDRAW CTA AND CPO REGISTRATION APPLICATIONS.
TAYLOR, RICHARD J.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.3(b) 32.6 32.7	PERMANENT INJUNCTION	
TAYLOR, RICHARD J.	79-19	CFTC	05/23/80	13(a) 4f(2) 4c(b) 4f(1) 5(b)	1.17(b)(1) 32.6(a) 1.18(a) 1.35(a) 1.10d 32.6(f)		CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
TAYLOR, VELDON DEE	81-0633	D UT	08/26/81	4o(1)		PERMANENT INJUNCTION	
TAYLOR, VELDON DEE	82-12	CFTC	03/03/82	4m 4n(3) 4o(1)	4.21(a) 4.21(b) 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION FOR 10 YEARS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				6(b)	4.31(a) 4.31(b)		
TAYLOR, WILLIAM H.	01-23	CFTC	9/30/03	6(c) 6(d) 9(a)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$155,000 TO BE PAID WITHIN TEN DAYS; TRADING PRIVILEGES SUSPENDED FOR 30 MONTHS; SHALL COMPLY WITH UNDERTAKINGS.
TDD ENTERPRISES	02-60769	SD FL	8/14/03	4c(b)	1.1 32.5 32.9 32.11 33.3	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
TEC INDUSTRIES, INC.	81-2250-W	WD TN	01/30/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
TECH TRADERS, INC.	04CV1512	D NJ	4/1/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STEPHEN T. BOBO, ESQ. APPOINTED TEMPORARY RECEIVER.
TECH TRADERS, LTD	04CV1512	D NJ	6/24/2004			COMPLAINT FILED	
TECH-COMM LIMITED PARTNERSHIPS	97-5691	INN.	02/23/99	4b(a)(i) 4b(a)(ii)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RESTRAINED FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY.
TECHNO TRADING, INC.	95-8	CFTC	01/08/98	4c(b)	33.10 166.3		CEASE & DESIST ORDER; REG. REVOKED AS IB.
TEMPELAR, SIMON	98-CIV-1365	SD NY	03/03/98			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
TEMPLE, LONNIE L.	79-0609-H	ND TX	03/03/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
TEMPLE, MICHAEL	3:00CV103-V	W.D. NC.	6/21/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4(a)		INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; WILLIAM WALT PETTIT IS APPOINTED PERMANENT RECEIVER.
TEMPLE, SHAWN PATRICK	90-24	CFTC	04/30/91	4b(A) 4o(1) 4k(2)	PRELIMINARY		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRADING PRIVILEGES REVOKED.
TEMPLER INTERNATIONAL,	97CIV5255	SD NY				COMPLAINT FILED	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LTD.							
TENNESSEE RIVER COAL COMPANY, INC.	81-2250-W	WD TN	01/22/87	4b(A) 4(C) 4o(1)		PERMANENT INJUNCTION	
TENNEY, ARNOLD	77-2678EW	SD NY	05/19/78	4c(b) 4k 4o(1)	30.01 32.3 32.8	PERMANENT INJUNCTION	
TENNEY, ARNOLD	79-1	CFTC	09/27/79	4c(b) 4o(1)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TO JOINTLY PAY \$300,000 INTO ESCROW FOR CUSTOMERS; BARRED FROM ACTING AS COMMODITY TRADING PROFESSIONAL FOR 5 YEARS.
TEPLITZ, STEPHEN M.	79-60	CFTC	05/06/81		1.14(b)		PEN. AMNT.: \$2,000.
TERRAZAS, FREDERICK	87-06486R	CD CA	11/09/88	4c(b) 4b(A)	32.11 32.9 30.2	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CERTAIN PROVISIONS OF CALIFORNIA AND TEXAS LAWS; ALSO ENJOINED FROM ANY BUSINESS REQUIRING REGISTRATION.
TESTACCIO, RICHARD THOMAS	83-32	CFTC	09/28/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
THALER, ELLIOTT	89-6	CFTC	05/23/90	4b			CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
THALER, MICHAEL	SD-98-3	CFTC	12/18/98	8a(3)(M) 8a(4)			THALER'S REGISTRATION IS RESTRICTED AS FOLLOWS: SHALL NOT ACT AS AN FB OR FT PURSUANT TO SECTIONS 4(e) AND 4(f), UNLESS HIS ACTIVITIES AS AN FB OR FT ARE SUBJECT TO A SUPPLEMENTAL SPONSOR CERTIFICATION STATEMENT; RESTRICTIONS IN EFFECT FOR 2 YEARS.
THD, INCORPORATED	88-C-3188	ND OK	05/22/89		1.57(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
THE ANDERSONS, INC.	99-5	CFTC	01/12/99	4(a) 4c(b)	32.2		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000; CMP TO BE PAID WITHIN TEN DAYS OF THE ORDER DATE.
THE BERKSHIRE	CV-97-838MA	D OR	07/22/98	4b(a)(i)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INTERNATIONAL HEDGE FUND L.P				4b(a)(ii) 4m(1) 4o(1)			STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DEFENDANTS LIABLE FOR RESTITUTION AMOUNT OF \$3,931,524.69; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION OR LICENSING UNDER THE CEA OR THE OREGON SECURITIES LAW IS REQUIRED; ALSO VIOLATED OREGON STATUTES.
THE DONALD M. FISHBACK COMPANY, INC.	01-03	CFTC	11/16/00	4c(b) 4o(1)	33.10 4.41(a) 4.41(b)(1)(i) 8a(3) 8a(4)	COMPLAINT FILED	
THE EDWARD W. SCHROEDER LIVING TRUST	96-4563	CD CAL	07/11/96	4b(a)(i) 4o(1) 9(a) 4k(2) 4m(1)	4.20(a) 4.20(b) 4.20(c) 4.41(a) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; ENJOINED FROM ACTING IN ANY CAPACITY REQUIRING REGISTRATION; PROVIDING COMMODITIES ADVICE; COOPERATE WITH COMMISSION.
THE GREAT MINISTER GROUP, INC.	02-61160	SD FL	7/2/03	4c(b)	32.9 32.11 33.3	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$240,000 CONTINGENT PURSUANT TO PAYMENT PLAN; SHALL MAKE FULL RESTITUTION OF \$51,778.29 PLUS PRE & POST JUDGMENT INTEREST PURSUANT TO PAYMENT PLAN; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
THE KENNETH ROBERTS COMPANY	95-16	CFTC	08/10/95	4m(1)			CEASE & DESIST ORDER; COMPLY WITH UNDERTAKINGS; TO APPLY FOR REGISTRATION AS CTA.
THE MARQUIS GROUP, INC.	03-74206	ED MI	11/12/03	4b(a)(2)(i)-(iii); 4c(b);	33.10; 4.22; 4.24; 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4o(1); 4m(1); 4k(2); 4n(4)			ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
THE MOCATTA CORPORATION	89-3	CFTC	11/10/88	4c(a)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$145,000.
THE WHITEHALL TRUST	98CIV2908	SD NY	05/07/98	4b(a)(i) 4o(1) 9(a)(1) 4m(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; REPATRIATED FUNDS SHALL BE DEPOSITED IN AN ACCOUNT DESIGNATED BY THE CLERK OF COURT, S.D.N.Y.
THEIS, STEPHEN O.	85-6	CFTC	01/09/86	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
THEMY, TIM	75-3355	CD CA	10/22/75	4c(b) 4m	30.01	PERMANENT INJUNCTION	
THOMAS DOOLEY, INC. a/k/a THOMAS DOOLEY INVESTMENTS	03-80526	SD FL	6/11/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
THOMAS, ALBERT W.	90-32	CFTC	09/22/92	4b(A)	166.3		CEASE & DESIST ORDER; REG. REVOKED AS AP; MUST WITHDRAW AS PRINCIPAL OF ANY REGISTERED ENTITY.
THOMAS, BERNADETTE	00 C 7344	ND IL	3/27/02	4b(a)(i) 4b(a)(iii)	166.2	COMPLAINT FILED	
THOMAS, JOHN	2:04CV00804 BSJ	D UT	9/1/2004			COMPLAINT FILED	
THOMAS, KATHLEEN	89-20	CFTC	03/20/90	6(b)	1.10(d)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; SUSP. AS AP 6 MO.
THOMAS, MICHAEL	95-8	CFTC	01/08/98	4c(b) 4o(1)(A) 4o(1)(B)	33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED AS AP.
THOMAS, MICHAEL	99-7	CFTC	07/29/99	4k(1)	3.12(a) 166.3		CEASE & DESIST ORDER; CIVIL MONETARY PENALTY NOT IMPOSED BASED UPON SWORN FINANCIAL STATEMENT; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
THOMAS, RIAN A.	85-10	CFTC	01/18/85	4a			CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR 10 MONTHS.
THOMAS, RIAN A.	85-6066	SD FL	01/30/85	4(a)		PERMANENT INJUNCTION	
THOMAS, TODD ALAN	98-13	CFTC	11/03/99	4c(b)	33.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; APPEAL VACATED; RESTITUTION OF \$1.9 MILLION; CIVIL MONETARY PENALTY WAIVED BASED ON SWORN FINANCIAL STATEMENT; SHALL COMPLY WITH UNDERTAKINGS.
THOMPSON, DOUGLAS E.	80-15	CFTC	08/07/81	4b 4o			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
THOMPSON, GARY WAYNE	84-0621-R	MD TX	11/12/85	4d(1) 4d(2) 4k 4(a) 4b(A) 4b(D) 4o(1) 4n(3)	1.20 1.31 4.32 4.31	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION.
THOMPSON, GEOFFREY S.	00 C 7344	ND IL	3/27/02	4b(a)(i) 4b(a)(iii)	166.2	PERMANENT INJUNCTION	JOINT OWED RESTITUTION OF \$200,000 PLUS PRE JUDGMENT INTEREST; DISGORGEMENT OF \$297,937; CIVIL MONETARY PENALTY OF \$297,937 PURSUANT TO A PAYMENT PLAN.
THOMPSON, HOWARD E.	00-19	CFTC	5/31/00	4a(e) 4i 6(c)	18.04(a)(5) 18.04(d)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY AMOUNT OF \$50,000; TRADING SUSPENDED FOR 60 DAYS.
THOMPSON, RICHARD B.	82-25	CFTC	04/20/83	4b(A) 4d(1) 4g(1) 4o	1.33(a) 1.46(a) 3.10 4.21 4.22		CEASE & DESIST ORDER; REG. REVOKED AS AP; TO WITHDRAW REGISTRATION APPLICATION AND NOT REAPPLY.
THOMPSON, RICHARD B.	82-879	D MA	04/25/83	4b(A) 4d(1) 4g(1) 4o(1)	1.17 1.33(a) 1.46(a) 4.21 4.22	PERMANENT INJUNCTION	
THOMPSON, WILLIAM F. JR.	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
THOMPSON, WILLIAM H.	79-0609-H	ND TX	03/30/80	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
THOMSON MCKINNON	85-24	CFTC	06/25/87	4m			PEN.. AMNT.: \$500.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FUTURES INC.							
THOMSON MCKINNON SECURITIES, INC.	83-6	CFTC	11/17/82	4g(1) 6(b)	17.00 17.01 17.02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TO UNDERTAKE IMPROVEMENTS IN REPORTING PROCEDURES.
THORKELSSON, VALDIMAR d/b/a R.S. OF HOUSTON WORKSHOP	00-10	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)(A) 4o(1)(B)	4.41(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000; SHALL COMPLY W/ UNDERTAKINGS.
THORNTON, BRIAN	02-09	CFTC	5/22/03	4b(a)(i) 4b(a)(iii) 4b(a)(iv) 4c(a)(1) 4g	1.38 1.35(d)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID PURSUANT TO ANNUAL PAYMENT PLAN; FLOOR BROKER REGISTRATION SUSPENDED FOR THREE MONTHS; TRADING PRIVILEGES SUSPENDED FOR THREE YRS AND RESTRICTED; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
THREE EIGHT CORPORATION	88-33	CFTC	05/24/89	4c(a)(A)			CEASE & DESIST ORDER; PEN. AMNT.: \$250,000; TRADING PRIVILEGES REVOKED.
THREE G TRADING CORPORATION	80-28	CFTC	01/25/91	4d 4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV. SUSP. 18 MO.; ALJ DECISION OF 3/27/86 AFFIRMED IN PART AND VACATED IN PART; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
THREE G TRADING CORPORATION	80-29	CFTC	09/30/87	4c(a) 4b	1.38		CEASE & DESIST ORDER; APPEALED.
THREE G TRADING CORPORATION	80-31	CFTC	01/25/91	4c(a)(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1-2 MO.; ALJ DECISION AFFIRMED WITH MODIFICATIONS; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
THREE G TRADING CORPORATION	80-32	CFTC	08/22/86	4c(a) 4b(D)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
THREE MCSTOCK FARMS, LTD.	84-18	CFTC	07/09/84	4i	18.04 15.01(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 3 MO.
TICHY, RICHARD	99-6560-CIV	SD FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1)	3.12(a) 4.21 4.22 4.24	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4) 4o(1)	4.25 4.26		TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
TIERNEY, DONALD D.	81-6	CFTC	09/22/81				REG. DENIED AS FB.
TILLMAN, RICHARD	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)	33.10(a) & (c)	COMPLAINT FILED	
TIMBER HILL, INC.	88-11	CFTC	02/11/88	4i	17.00		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
TIMBER HILL, INC.	90-22	CFTC	06/30/92	4i 6(b)	17.00 17.02		CEASE & DESIST ORDER; PEN. AMNT.: \$42,500.
TIME TRADERS, INC.	01-163-P-H	D MA	7/23/02			SUPPLEMENTAL ORDER	RESTITUTION OF \$3,444,829.64 TO BE PAID JOINTLY WITH KNIPPING; AFTER RESTITUTION HAS BEEN PAID, DEFENDANTS SHALL EACH PAY \$250,000 PLUS PREJUDGMENT INTEREST TO THE COMMISSION.
TIMPSON, JAMES	86-1342TCM	SD CA	05/27/88			PERMANENT INJUNCTION	
TIPTON, CARL M.	81-2250-W	WD TN	01/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
TIPTON, CARL M. JR.	77-17	CFTC	09/22/78				REG. DENIED AS AP.
TITLIS INTERNATIONAL INC.	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CMP OF \$3,296,424.09; TII AND ANY SUCCESSORS SHALL DISGORGE TO THE RECEIVER THE AMOUNT OF \$1,098,803.03; ALL DEFENDANTS ARE JOINTLY AND SEVERALLY LIABLE TO TII CUSTOMERS OF \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
TMI COMMODITIES, INC.	80-22	CFTC	10/21/83	4b 4b(A) 4d(2) 4f(2) 4g(1)	1.17(a) 1.37 1.20(a) 1.21 1.22		CEASE & DESIST ORDER; REG. REVOKED AS FCM.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
TOBIN, JOHN M.	89C8576	ND IL	08/28/95	4m 4o(1) 4d(2) 4d(1) 4b(a)(i) 4b(a)(ii) 4n(3)(A)	1.20(a) 4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; MAKE RESTITUTION OF \$245,801.88; PERMANENTLY PROHIBITED FROM ACTING IN ANY CAPACITY AS A FCM, CPO, CTA, IB, FB, FT, OR AP; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION.
TOBLER, BRIAN	2:98CV00216J	C.D. UT	4/7/00	4b(a)(i) 4b(a)(ii) 4o(1) 4m(1)	4.20(b) 4.20(c) 4.24(a) 4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT OF \$5,850; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT ACT AS FCM, CPO, CTA, IB, FB, FT OR AP; SHALL NOT SEEK REGISTRATION W/ COMMISSION; PROHIBITED FROM TRADING FOR OWN ACCOUNT FOR 10 YRS.
TOCZYLOWSKI, MARIA	04-20	CFTC	7/13/2004	4b(a)(2)(i) & (iii) 4o(1) 4d 4g	1.20 1.22 1.33 1.35 1.37 32.6 166.2	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$240,000 AND RESTITUTION OF \$400,000 TO BE PAID PURSUANT TO PAYMENT PLAN; TRADING PROHIBITION; AP REGISTRATION REVOKED; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
TODD, WILLIAM ANTHONY	81-2250-W	WD TN	02/13/84	4o(1) 4 4b(A) 4b(C)		PERMANENT INJUNCTION	
TODHUNTER, JONATHAN	88-05540JGD	CD CA	05/01/89	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
TOLAR, MICHAEL J.	88-7	CFTC	04/10/92	4g	1.35(d)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
TOMLINSON, GEORGE M.	89-5	CFTC	10/19/90				APPEALED.
TOMPIS, DEAN T.	85-46	CFTC	02/21/86	4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
TOOMEY, PAUL	89-916-JLI	CD CA	02/07/92	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED;

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ORDERED TO DISGORGE \$2.1 MILLION; NORBERT NOWICKI APPOINTED RECEIVER.
TOPWORTH INTERNATIONAL	94-1256	CD CA	11/02/95	4(a)		PERMANENT INJUNCTION	DISGORGE \$5,947,401.32; ENJOINED FROM SELLING, PURCHASING OR OFFERING TO SELL OR PURCHASE ANY COMMODITY CONTRACT OR OPTION.
TORRE, JOSEPH	03 CV 9125	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
TORRES, RAFAEL D.	78-13	CFTC	04/25/78	6(c)			CEASE & DESIST ORDER; REG. DENIED AS AP.
TORRI, JOHN	84-243PHX	D AZ	06/27/86	19	31.1 31.2 31.3	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATINS OF THE ARIZONA CONSUMER FRAUD ACT; TO PAY TO THE STATE OF ARIZONA \$6,000 FOR COSTS AND PENALTY.
TORTOLA CORPORATION CO., LTD.	99-6560-CIV	S.D. FL.	10/29/99	4b(a)(i) 4b(a)(ii) 4k(2) 4m(1) 4n(4) 4o(1)	3.12(a) 4.21 4.22 4.24 4.25 4.26	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNTING MADE; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; CO-DEFENDANTS TICHY, EUROPACIFIC, TORTOLA & IIG JOINTLY & SEVERALLY OWE RESTITUTION OF \$2,595,280 PLUS PRE AND POST JUDGEMENT INTEREST PLUS A CIVIL MONETARY PENALTY OF \$7,785,841; SHALL NOT SEEK REGISTRATION W/ COMMISSION.
TOTAL TRADING SERVICES LIMITED	03 CV 7112	SD NY	8/24/2004			PERMANENT INJUNCTION	RESTITUTION OF \$265,000.
TOUPS, FRANCES LITTLE	78-0161	WD LA	02/13/78	4c(b) 4f(1) 4f(2) 4g	1.18 1.31 32.7 32.9 1.17(b)	PERMANENT INJUNCTION	
TOUPS, ROLAND P.	78-0161	WD LA	02/13/78	4c(b) 4f(1) 4f(2)	1.18 1.31 32.7	PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4g	32.9 1.17(b)		
TRADERS INTERNATIONAL INC.	82-6850NCR	SD FL	08/06/84	4d(2) 4f(2) 4g(1)	1.17(a) 1.20(a) 1.25 1.26 1.28 1.31 1.32	PERMANENT INJUNCTION	
TRADEWINDS INTERNATIONAL, LLC	04C 5723	ND IL	9/1/2004			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
TRADEWINS PUBLISHING CORP.	02-10	CFTC	4/4/02	4o(1)(A) 4o(1)(B)	4.41(a) 4.41(b)(1)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; JOINT OWED CIVIL MONETARY PENALTY OF \$100,000; SHALL COMPLY WITH UNDERTAKINGS.
TRADEWINS PUBLISHING, CORP.	CV 04 3081	ED NY	7/21/2004			COMPLAINT FILED	
TRADING RESOURCES, INC.	92-24	CFTC	02/17/93	4b(D) 4b(A) 4c(a)(A) 4c(a)(B) 4c(b) 4g(1) 4i 6(b)	1.35(a-1) 166.2 33.10 155.3(b)(2) 1.38(a) 1.31 1.35(a) 18.01(a) 18.04 17.01(b)(8) 18.00 17.00		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM & CPO; NEVER APPLY FOR REGISTRATION; NEVER ENGAGE IN ACTIVITY REQUIRING REGISTRATION.
TRANS WORLD METALS CORPORATION	87-2591HAA	D NJ	11/14/91	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; DEFENDANTS JOINTLY & SEVERALLY MUST PAY \$15.6 MILLION FOR DISTRIBUTION TO INDIVIDUAL INVESTORS.
TRANSCONTINENTAL PETROLEUM CORP.	80-0689	SD NY	07/19/80	4b		PERMANENT INJUNCTION	
TRAYLOR, GIL	85-7871-KN	CD CA	12/05/88 12/14/88 12/05/89	4(a) 4b(A) 4b(C)		PERMANENT INJUNCTION	CHARGED WITH CIV. CONTEMPT; CITED FOR CIVIL CONTEMPT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATING CALIFORNIA BUSINESS AND PROFESSIONAL CODE; TO PAY CIVIL PENALTY OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							\$500,000 TO THE STATE OF CALIFORNIA.
TREAT, EDWIN FRANCIS	78-17	CFTC	12/07/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
TRENCH, CHARLES W.	99-S-1874	D COL	5/1/03			ORDER	CONSENT ORDER FOR CIVIL MONETARY PENALTIES; \$50,000 JOINTLY AND SEVERALLY OWED WITH GEOFFREY L. MANN; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION, ENTER INTO ANY OFF-EXCHANGE COMMODITY FUTURES OR OPTIONS TRANSACTION FOR THEIR OWN PERSONAL ACCOUNT OR FOR ANY ACCOUNT IN WHICH THEY HAVE A DIRECT OR INDIRECT INTEREST.
TRENDING CYCLES FOR COMMODITIES, INC.	80-315	SD FL	03/17/80 10/07/81			PRELIMINARY INJUNCTION	DISSOLVED BY STATE OF FLORIDA.
TRENDSYSTEMS, INC.	1:00-CV-0184-4	MD GA.	11/20/00	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4o(1)(A) 4o(1)(B)	33.10 4.30	PRELIMINARY INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
TRENDY SYSTEMS, LLC	00-15	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 JOINTLY & SEVERALLY OWED/ CO-RESPONDENTS; SHALL COMPLY W/ UNDERTAKINGS.
TRILLION JAPAN CO., LTD.	90-1	CFTC	05/23/94				COUNT ONE & TWO OF THE COMPLAINT IS DISMISSED.
TRI-METRO MANAGEMENT, INC.	79-0609-H	ND TX	03/03/80	4c(b) 4c(c)	32.11 32.3(b)(1)	PERMANENT INJUNCTION	
TRINITY FINANCIAL GROUP, INC.	92-6832	SD FL	06/23/93	4b(a) 4c(b) 4f 6(c) 8a(1)	33.7(f) 33.10 166.3 3.31 3.10	PERMANENT INJUNCTION	
TRINITY METALS EXCHANGE OF KANSAS CITY INC.	85-1482-W3	WD MO	5/16/86	4(a)		PERMANENT INJUNCTION	
TRITSCH, GARY A.	79-58	CFTC	04/04/80				REG. REVOKED AS AP.
TRIVETTE, DONALD	5:99-CV-54-V	WD NC	06/14/99	4b(a)(i) 4b(a)(ii) 4b(A)(iii)	33.10 4.20	PRELIMINARY INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ACCOUNTING ORDERED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(b) 4o(1)(A) 4o(1)(B)			
TROPIANO, MICHAEL	96-CV-228	01/09/97		4b(a) 4m 4o 9(a)		PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION; WILL WITHDRAW AS CTA; NEVER ENGAGE IN ACTIVITIES THAT REQUIRE REGISTRATION UNDER THE ACT; WILL NOT ADVISE OTHERS REGARDING COMMODITIES.
TROUBADOUR, INC.	CV99-00653	D. HAW	2/21/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4m(1) 4o(1)	4.20(c) 4.41(a) 4.41(b)(i) 4.41(b)(ii) 33.10(a) 33.10(c)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION IN ANY CAPACITY; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,246,043.24 PLUS POST JUDGEMENT INTEREST; NFA DESIGNATED AS MONITOR; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$700,000 JOINTLY & SEVERALLY OWED COMMENCING UPON THEIR FULFILLMENT OF RESTITUTION OBLIGATION.
TROYER, THOMAS L.	82-1931	ND OH	07/22/83	4b 4m 4n(1) 4n(3)(B) 4o(1)	4.20 4.21 4.22	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
TRUEBA, CARLOS T.	78-15	CFTC	05/04/79	4k(2)			CEASE & DESIST ORDER; REG. DENIED AS AP.
TSANTES, HAROLD A.	88-1	CFTC	04/26/88	4c(b) 4g	1.35(a-1) 1.35(b)(3) 33.7(d) 33.7(e) 33.10 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; REG. REVOKED AS AP; SUSP. AS FB 1-2 MO.; CIVIL PENALTY SUBJECT TO INCREASE IF \$50,000 ESCROWED FUNDS EXCEED CUSTOMER CLAIM; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY OTHER THAN FLOOR BROKER.
TSAO, DAVID	92-1676	CD CA	12/19/94	4m	4.21(a)	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
TSO, KUN-CHEONG	92-259	ED NY	12/09/92	4a 4b(A) 4d(1)	3.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
TSUI, ALLEN	98-10	CFTC	03/10/99	4b(a)(i)	1.55(a)(1)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 48 MO.; REG. REVOKED AS AP; ENJOINED FROM SEEKING REGISTRATION IN ANY CAPACITY.
TUCK, RICHARD G.	83-14	CFTC	11/25/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
TUKEY, THOMAS B.	80-15	CFTC	10/15/80	4b 4o 4k 4f(1)	1.10(d) 1.14(a) 1.14(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
TULIG, DANIEL F.	89-11	CFTC	05/30/91	4(a) 4(b)(A) 4(b)(B) 4(b)(C) 4(b)(D) 4c(a)(A) 4g(1) 4h(2) 4(h)	1.35(a-1) 1.38 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NEVER TO SEEK REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; COOPERATE WITH DIVISION.
TUNG, HUAYA LU	01-01	CFTC	11/22/02		1.12(b) 1.12(g) 166.3	ALJ ORDER	DEFAULT ORDER; CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$220,000 TO BE PAID WITHIN 30 DAYS FROM FINAL ORDER DATE.
TUNG, HUAYA LU	03-14	CFTC	6/23/03	4g	1.31 1.35	COMPLAINT FILED	
TURKISH, NORMAN	80-31	CFTC	01/25/91	4g 4c(a)(B) 4b(D) 4c(a)(A)	1.37 1.38(a) 1.35		CEASE & DESIST ORDER; PEN. AMNT.: \$40,000; ALJ DECISION OF 2/5/85 AFFIRMED WITH MODIFICATIONS; SANCTIONS EFFECTIVE 30 DAYS AFTER OPINION DATE.
TURKISH, NORMAN	80-5	CFTC	08/19/82	4c(a) 9(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$50,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
TURMAN, DANIEL CLAY	84-15	CFTC	07/31/84	4c(a)(A) 4c(a)(B)	1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000.
TURNER, RICHARD	79-3371	SD NY	10/22/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
TURNER, RICHARD M.	77-5	CFTC	02/10/78	4c(b) 4o(1) 4o(2)	32.9		CEASE & DESIST ORDER; TO WITHDRAW FROM REGISTRATION AS AP AND NOT

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REAPPLY FOR 3 MONTHS.
TYLER, DEAN H.	90-31	CFTC	01/16/92	4b(A) 4b(D) 4c(a)(A) 4c(a)(B) 4g(1)	1.31(a) 1.35(a-1) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$65,000; TRAD. PRIV. SUSP. 24 MO.; AFTER EXPIRATION OF TRADING BAN, MAY PLACE ORDER TO BE EXECUTED BY DULY AUTHORIZED PERSONS; MAY NEVER APPLY FOR REGISTRATION OR ACT IN CAPACITY REQUIRING REGISTRATION; NEVER TO APPEAR ON TRADING FLOOR DURING TRADING HOURS.
TYSON FOODS, INC.	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 12 MO.
TYSON, DONALD	75-13	CFTC	08/16/77	6(b) 6(c) 9(b)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 12 MO.
U. S. A. COMMODITY FUTURES, INC.	85-8365IH	CD CA	01/13/86	4d(2) 4f(2) 4g(1)	1.20(a) 1.17(a) 1.18(a) 1.23 1.31 1.32 1.35(a)	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
U.S. GRAIN CORPORATION	78-2102A	ND GA	12/18/78	4d(2) 4f(2) 4g(2)	1.17(a) 1.18(b) 1.18(c) 1.20(a) 1.23 1.32	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
U.S. INVESTMENT CO., LTD.	81-1070-MC	D MA	06/05/81	4d(1) 4b(A) 4b(B) 4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
U.S. SECURITIES & FUTURES CORP.	03 CV 2258	SD NY	4/2/03			TEMPORARY STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
U.S. SECURITIES & FUTURES CORP.	01-01	CFTC	7/25/03	4b(a)(i) & (iii)	1.12(b) & (g) 166.3	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$2,052,680; TRADING PRIVILEGES PROHIBITED FOR TEN YEARS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION REVOKED.
UNI-FINEX, INC.	95-2668	D NJ	06/02/95	4(a) 4b(a)(i) 4d(1)		COMPLAINT FILED	
UNITED AMERICAN COAL COMPANY	81-2250-W	WD TN	01/22/87	4 4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
UNITED CURRENCIES CORP.	76-7814	SD NY	12/23/98	4(a) 4b(a)(i) 4d(1) 9(a)(1)		PERMANENT INJUNCTION	CMP OF \$7,142,393.55 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS; RESTITUTION TO CUSTOMERS OF \$2,380,797.85 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS.
UNITED ENERGY, INC.	04-18	CFTC	7/6/2004	4g	1.35(a-1)(2)(i) 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS.
UNITED EQUITIES (COMMODITIES) CO.	86-12	CFTC	02/24/86				PEN. AMNT.: \$2,500; TO UNDERTAKE IMPROVEMENTS IN RECORDKEEPING AND COMPLIANCE PROGRAM.
UNITED FACTORING, LLC	04 CV 02768	SD NY	7/21/2004			ORDER	CONSENT ORDER TO DISMISS WITHOUT PREJUDICE AND VACATE ASSET FREEZE ENTERED.
UNITED KINGDOM COMMODITY OPTIONS, LTD.	78-1604CSH	SD NY	12/07/78	6(b) 4f 4g	1.10	PERMANENT INJUNCTION	
UNITED METALS TRADING CORP.	96-2185	D AZ	01/22/98	4b(a)(i) 4d(1) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(2)	4.20(a) 4.20(b) 4.20(C) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY LIABLE FOR \$602,088.05; ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT (ASA); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER ACT OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT.
UNITED PETROLEUM EXCHANGE CORP.	80-0689	SD NY	06/24/82	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
UNITED STATES METAL	79-1201	SD NY	04/05/79		32.9	PERMANENT INJUNCTION	DISGORGEMENT.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DEPOSITORY CORP.					32.11 32.5 32.3		
UNIVERSAL FINANCIAL HOLDING CORPORATION	CV04-6463	CD CAL	8/25/2004			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION.
UNIVERSAL FINANCIAL HOLDING CORPORATION	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	
UNIVERSAL FX, INC.	04-21346	SD FL	6/7/2004			COMPLAINT FILED	
UNIVERSAL PRECIOUS METALS, INC.	82-6108	SD FL	01/07/83	4 4h 4n(3)(A)	4.32	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED.
URBAN, GABOR	97-6800	CD CAL	05/04/98	4b(a)(i) 4b(a)(ii) 4m 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; ACCOUNTING ORDERED; TRADING PROHIBITION; ENJOINED FROM ACTING IN ANY CAPACITY FOR WHICH REGISTRATION WITH THE COMMISSION IS REQUIRED UNDER THE ACT; RESTITUTION OF \$1,104,793.50 TOGETHER WITH PREJUDGMENT AND POST JUDGMENT INTEREST; NFA DESIGNATED AS THE MONITOR FOR 5 YEARS.
URBANI, PETER J.	H-96-1213	SD TX	05/28/99				JUDGMENT; DEFENDANTS URBANI AND ALCHEMY JOINTLY & SEVERALLY OWE RESTITUTION OF \$70,832.45 PLUS POST-JUDGMENT INTEREST.
URBANO, ALFRED R.	78-907	D NJ	07/20/80	4c(b)	32.5 32.9	PERMANENT INJUNCTION	
UR-LINK	04-07	CFTC	5/13/2004			ALJ ORDER	DIVISION'S MOTION FOR A DEFAULT JUDGMENT DENIED.
VALENTIN, JUAN	1 03 CV-2633	ND GA	9/3/03	4c(b) 4b(a)(2)(i) & (iii)	33.10(a) & (c)	COMPLAINT FILED	
VALENTINE, DAVID	82-2062	SD FL	01/16/84	4o(1)		PERMANENT INJUNCTION	
VALENTINE, DAVID	84-23	CFTC	02/24/84	4b 4o(1)			CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
VALK, VINCENT	85-23	CFTC	09/12/88	4b(A)	4.31(a)		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(b) 4o	4.31(b) 4.31(f) 4.41(a) 4.41(b) 33.3(a) 33.10(a) 33.10(c)		AMNT.: \$100,000; TRAD. PRIV. SUSP. 120 MO.; REG. REVOKED AS CTA.
VALKO, ERIN	01-7402	SD FL	1/20/2004	4c(b)	32.9 32.11 33.3(a)	PERMANENT INJUNCTION	CONSENT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
VALLETTA, GARY V.	98-6564	SD FL	11/3/00	4k(1) 4k(5) 4f(a)	3.10(A)(2)(i)	PERMANENT INJUNCTION	ENJOINED FROM DIRECTLY OR INDIRECTLY SEEKING REGISTRATION OR CLAIMING EXEMPTION FROM REGISTRATION WITH THE COMMISSION IN ANY CAPACITY.
VAN DEN BROEKE, EDDY	79-36	CFTC	04/04/83	4a(2)(B) 6(b)	18.01 19.00 19.04 19.10		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.
VAN OVERMEER, ROBERT J.	80-12	CFTC	10/22/80	6(b) 4k			CEASE & DESIST ORDER; REG. REVOKED AS AP.
VAN OVERMEER, ROBERT J.	84-1463	SD CA	09/03/85	4m 19	31.1 31.24	PERMANENT INJUNCTION	DISGORGEMENT; STOP CUSTOMER SOLICITATION.
VAN PATTEN, DONALD R.	SD 04-02	CFTC	3/25/2004	8a(3)(J) & (M)		COMMISSION ORDER	CEASE & DESIST ORDER; FLOOR BROKER REGISTRATION REVOKED.
VANDERLINDE, FRED R.	88-18	CFTC	06/07/88	4k(1)	166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 24 MO.; NOT TO APPLY FOR REGISTRATION OR TO SUPERVISE PERSONS SOLICITING CUSTOMER ORDERS FOR 5 YEARS.
VANDEVELD, GORDON J.	04-2181	WD TN	9/13/2004			COMPLAINT FILED	
VANGUARD FINANCIAL MANAGEMENT ASSOCIATION a/k/a VANGUARD FINANCIAL MANAGEMENT FOUNDATION	SACV 04-575	CD CAL	5/19/2004			COMPLAINT FILED	
VARNER, MICHAEL	SD 02-02	CFTC	5/9/02			NOTICE OF EFFECTIVE DATE	FB REGISTRATION REVOKED.
VARNER, MICHAEL H.	SD-99-1	CFTC	06/04/99	8a(3)(M)			FB REGISTRATION RESTRICTED FOR 2 YEARS.
VARNER, MICHAEL H.	01-08	CFTC	6/30/03	6(c)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN TEN DAYS; PROHIBITED FROM TRADING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							FOR A PERIOD OF FIVE YEARS; SHALL NOT APPLY FOR REGISTRATION IN ANY CAPACITY WITH THE COMMISSION FOR A PERIOD OF FIVE YEARS.
VARNER, STANLEY E.	2:02 CV 1373	D UT	7/5/2004	4b(a)(2)(i)-(iii); 4o(1)	4.30	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$575,000 AND RESTITUTION OF \$1,017,741.17 PLUS POST JUDGMENT INTEREST TO BE PAID PURSUANT TO PAYMENT PLAN; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
VARTULI, ANTHONY	97-CIV-3119	SD NY	10/13/98	1a(5) 4k(3) 4o(1)(A) 4o(1)(B) 4b(A)(i)	1.33(a)(4) 4.41		DISGORGEMENT; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; DISGORGEMENT JOINTLY & SEVERALLY OWED WITH AVCO \$701,534; CMP \$5,000; JUDGMENT BY COURT AFTER ITS ISSUANCE ON 8/20/98 OF PERMANENT INJUNCTION.
VAUGHN, MARK	02-06	CFTC	2/25/02		166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY OF \$25,000; FB REGISTRATION SHALL BE RESTRICTED FOR ONE YEAR AFTER ENTRY OF ORDER.
VAZQUEZ, MITCHELL	02-07	CFTC	2/27/02	4(a) 4c(b)	32.11 33.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED WITH GLOBAL CAPITAL INVESTMENT LLC; SHALL NOT APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION FOR A PERIOD OF 5 YEARS.
VELAZQUEZ, EDWARD R.	04C 5853	ND IL	9/10/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
VELISSARIS, GEORGE W.	00-02	CFTC	12/16/99	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1)	4.20(c)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; RESTITUTION OF \$103,662.93 PLUS PRE-JUDGEMENT INTEREST OF \$10,541; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL NOT ACT AS AN AGENT OR OFFICER OF

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ANY PERSON REGISTERED.
VENDITTELLI, CHARLES	80-29	CFTC	09/30/87	4c(a) 4b	1.38		CEASE & DESIST; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
VENDITTELLI, CHARLES	80-32	CFTC	08/22/86	4c(a) 4b(D)	1.38		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
VENIT, MARTIN L.	SD-95-12	CFTC	03/08/95				FT CONDITIONAL REGISTRATION TO REMAIN IN EFFECT FOR ONE YEAR.
VERCILLO, JOHN A.	91-8	CFTC	06/08/98				APPEALED; 7 TH U.S. CIRCUIT COURT OF APPEAL AFFIRMS THE COMMISSION'S 5/30/97 DECISION.
VERCILLO, JOHN A.	SD-93-11	CFTC	06/25/97				APPEALED; 7 TH U.S. CIRCUIT COURT OF APPEAL AFFIRMS THE COMMISSION'S 5/30/97 DECISION.
VERILLI ALTSCHULER SCHWARTZ, INC.	85-20	CFTC	05/30/86	4b(A) 4f(2) 4g 4n(3)(A) 4o(1)	1.17 1.18 4.22(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM, CTA & CPO.
VERNIER, DARCY	86-36	CFTC	01/19/89	4b(A)	30.02 1.56(c)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.
VERO BEACH FUNDING CORPORATION	84-6401NCR	SD FL	05/21/84	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
VERTRIX, INC.	98CIV7505	ND IL	05/27/99	4b(a)(i) 4b(a)(ii) 4o(1)	4.20(a) 4.20(b) 4.20(c) 4.30 4.31(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; VERTRIX IS ENJOINED FROM SEEKING REGISTRATION WITH COMMISSION IN ANY CAPACITY UNDER THE ACT & ACTING IN ANY CAPACITY REQUIRING REGISTRATION; RESTITUTION JOINTLY & SEVERALLY OWED PLUS INTEREST; CMP; PAY COSTS & FEES.
VESELY, ERIC G.	76-21	CFTC	01/11/79	4b 4m 4o			CEASE & DESIST ORDER; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 10 YEARS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
VICTCO FINANCIAL SERVICES, INC.	CV 03-0833	CD CAL	2/5/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
VIELE, RICHARD	00-27	CFTC	9/23/02			COMMISSION ORDER	COMPLAINT DISMISSED. DECEASED APRIL 2002.
VIGNOLA, ANGELO PAUL	SD-98-2	CFTC				COMPLAINT FILED	
VINCI, JOHN	80-0689	SD NY	07/15/81	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
VINOTRON SYSTEMS, INC.	82-449E	ND OK	11/04/83	4m 4o(1)	4.13(b) 4.41 (a) 4.41(b)	PERMANENT INJUNCTION	DISGORGEMENT; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RECEIVER APPOINTED.
VIOLA, VINCENT	81-20	CFTC	01/20/82				REG. DENIED AS FB.
VIRGIL, JERRY N.	83-38	CFTC	3/4/84				REG. REVOKED AS AP.
VIRGINIA TRADING CORPORATION	83-56	CFTC	08/14/84	4g(1) 4i 6(b)	17.00(a) 17/02 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TO UNDERTAKE IMPROVEMENTS IN RECORDKEEPING AND REPORTING PROCEDURES.
VISION CAPITAL CORPORATION	2:04CV00804 BSJ	D UT	9/1/2004			COMPLAINT FILED	
VISIONEERING RESEARCH & DEVELOPMENT CO.	97-11	CFTC	07/30/97		4.34(n)(1) 4.34(n)(3)iii 4.35(a)(1)ii 4.35(a)(1)iii 4.35(a)(3)l 4.35(a)(6) 4.35(a)(7)(i) 4.36(c)(1) 4.36(d)(2) 4.35(a)(1)ivA 4.35(a)(1)ivB		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 CONTINGENT; COMPANY SHALL RETAIN AN INDEPENDENT CONSULTANT FOR 2 YEARS TO ENSURE THAT INFORMATION IN THE DISCLOSURE DOCUMENT IS ACCURATE; APPOINT A COMPLIANCE OFFICER.
VITEBSKY, MICHAEL	03 4999	ED NY	11/24/03	4b(a)(2) 4(a)	1.1(b)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION.
VOIGT, DONALD J.	87-4	CFTC	12/07/87		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000.
VOLF, LAWRENCE JOSEPH	4:04CV3184	D NE	5/4/2004	4b(a)(2)(i) & (iii) 4o 4c(b)	33.10 166.2	PRELIMINARY INJUNCTION	TRADING PROHIBITION.
VOLUME INVESTORS CORP.	85-2213KTD	SD NY	02/01/91			PERMANENT INJUNCTION	ENJOINED FROM VIOLATING ANY AND ALL SECTIONS OF THE ACT.
VOLUME INVESTORS CORPORATION	85-25	CFTC	06/11/86	4b 4d(2) 4f(2)	1.17(a) 1.20(a) 1.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.22 166.3		
VON BRAUN, HERMAN A.	78-30	CFTC	06/22/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
VON HOFMANN, KURT	77-3928	CD CA	10/31/77	4d(2) 4f(2)	1.17 1.20(a)	PERMANENT INJUNCTION	
VON HOFMANN, KURT	80-2	CFTC	03/03/83	4f(2) 4g(1) 4d(2)	1.17(b)(1) 1.10(f) 1.20(a)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
VORACHITH, BANGONE	CV 03 603	D OR	8/25/2004	4b(a) 4(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$128,400 PLUS PRE & POST JUDGMENT INTEREST; CONTINGENT CIVIL MONETARY PENALTY OF \$240,000 TO BE PAID PURSUANT TO PAYMENT PLAN; PROTECT BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
V-TEK CAPITAL, INC.	04C 5853	ND IL	9/10/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
V-TEK FX FUND	04C 5853	ND IL	9/10/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
V-TEK TRADING GROUP, INC.	04C 5853	ND IL	9/10/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
WADE, JOHN	94-13	CFTC	7/15/2004	4c(a)(1)	1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED.
WAGGONER, RICHARD T.	79-03851	CD CA	09/16/82	4c(c) 4c(b)		PERMANENT INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS.
WAGNER, MARTHA A.	90-28	CFTC	04/30/91	4f(2) 6(b)	1.10(d) 1.17(a)(1) 1.17(a)(4) 1.18(a)		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO BE EMPLOYED BY A REGISTRANT AS COMPTROLLER OR SIMILAR POSITION.
WAI, ANDREW TAI a/k/a ANDREW HONGCHOW WAI	01-06926	CD CAL	7/1/03	4b(a)(i)-(iii) 4(a)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$110,000 TO BE PAID ANNUALLY OVER TEN YEAR PERIOD; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION IN ANY CAPACITY.
WAKEFIELD, STANLEY CRAIG	6:03-CV-119	MD FL	1/29/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
WALKER, HAMPTON J.	84-46	CFTC	01/21/86	4i	15.01(c) 18.04		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000.
WALL STREET PRECIOUS METALS INC.	799-3382	SD NY	12/05/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	
WALL STREET UNDERGROUND, INC.	03-2193	D KS	4/22/03	4o(1)(A) & (B)	4.41(a)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
WALSH, WILLIAM AUSTIN	90-5	CFTC	01/20/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB; NEVER TO APPLY FOR REGISTRATION, HAVE CONTRACT MARKET MEMBERSHIP, OR APPEAR ON FLOOR DURING TRADING HOURS; TO MAKE FULL RESTITUTION IN ACCORDANCE WITH RELATED PROCEEDINGS.
WALSHAK, PETER MATTHEW	83-33	CFTC	07/01/83	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$10,000.
WALTER, EUGENE MORRIS	3-96-CV2734		06/26/97	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4c(b) 4d(1) 4d(2) 4m(1)	33.10 4.30 1.33 1.55 33(b)(1) 33.7	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION OR ACTING IN ANY CAPACITY REQUIRING REGISTRATION.
WALTER, SCOTT, LEV & ASSOCIATES, LLC	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
WALTERS, MAX E.	99-15	CFTC	2/9/01			ALJ ORDER	CIVIL MONETARY PENALTY OF \$2,400,000; RESTITUTION OF \$1,641,005.86; RESPONDENT FILES NOTICE OF APPEAL.
WALTUCH, NORTON	85-12	CFTC	07/10/90	6(b) 6(c) 9(b) 13(a)			CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; SUSP. AS FB 6 MO.; NOT TO ACT AS A FLOOR TRADER FOR 6 MOS.
WANG, SHERRY	93-0088	ED NY	12/06/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WASSERMAN, MOGENS M.	89-24	CFTC	03/25/94	4b(A) 4c(b) 4o(1)	32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 12 MO.; SUSP. AS AP 6 MO.; APPEAL DISMISSED 3/25/94.
WATERS TAN AND COMPANY, INC.	88-1571	D AZ	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 3.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
WATERS TAN AND COMPANY, INC.	88-31	CFTC	09/28/88	4b(A) 4b(B) 4b(C) 4m(1) 4o(1) 9(a)	4.20(b) 4.20(c) 4.21 4.22 4.23		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & IB; NOT TO REAPPLY FOR REGISTRATION.
WATERS, JOHN P.	88-1571	D AZ	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 3.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED; DISGORGEMENT.
WATERS, JOHN P.	88-31	CFTC	09/28/88	4b(A) 4b(B) 4b(C) 4m(1) 4o(1) 9(a)	4.20(b) 4.20(c) 4.21 4.22 4.23		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO APPLY FOR REGISTRATION OR BECOME PRINCIPAL OF ANY ENTITY REQUIRED TO BE REGISTERED.
WATSON, CAROLYN JONES	85-6936	SD FL	01/24/86	4c(c)	33.9(c) 33.9(e)	PERMANENT INJUNCTION	DISGORGEMENT; PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
WAYNE COUNTY PRODUCE, INC.	77-15	CFTC	01/10/84	4a 6(b) 6(c) 9(b)	150.10		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
WD ENERGY SERVICES INC. f/n/a ENCANA ENERGY SERVICES, INC.	03-20	CFTC	7/28/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000,000 OWED WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH CONDITIONS AND UNDERTAKINGS.

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WEATHERFORD, JAMES d/b/a MANAGED-MINI.COM	CV04-4079	CD CAL	6/8/2004			COMPLAINT FILED	
WEAVER, JEFFREY W.	82-C-5955	ND IL	02/10/83	4m		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WEAVER, WARD A.	82-C-5955	ND IL	02/10/83	4m		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WEB FULFILLMENT CENTRE, INC.	03-2193	D KS	4/22/03	4o(1)(A) & (B)	4.41(a)	STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
WEBER, CHRISTIAN	SACV02-173	CD CAL	6/3/03	4b(a)(i) & (iii) 4(a)	1.1(b)(1) & (3)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RESTITUTION OF \$2,259,403 PLUS POST-JUDGMENT INTEREST AND CONTINGENT CIVIL MONETARY PENALTY OF \$504,281 TO BE PAID PURSUANT TO PAYMENT PLAN; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL NOT SEEK REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
WEBMAN, LARRY M.	78-1692	SD FL	01/21/82	4c(b)	32.9	PERMANENT INJUNCTION	
WEBMAN, LARRY M.	79-3558	SD FL	03/01/82	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
WEBMAN, LARRY M.	82-17	CFTC	03/25/82	4c(b) 4c(c)	32.9 32.11		CEASE & DESIST ORDER; NOT TO BE EMPLOYED BY OR CONSULT FOR A REGISTRANT.
WEBMAN, MELVIN	79-1436	ND IL	12/07/81	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WEBMAN, MELVIN H.	79-3558	SD FL	03/01/82	4c(b) 4c(c)	32.11 32.9	PERMANENT INJUNCTION	
WEBMAN, MELVIN H.	82-17	CFTC	03/25/82	4c(b) 4c(c)	32.9 32.11		CEASE & DESSIT ORDER; NOT TO BE EMPLOYED BY OR CONSULT FOR A REGISTRANT.
WEBSTER, JOHN J.	78-19	CFTC	08/12/82	4b 4c(b) 4d 4m	1.7 32.3 32.5 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRAD. PRIV. SUSP. 120 MO.; REG. DENIED AS AP.
WEBSTER, JOHN J.	78-4195EW	SD NY	10/05/78	4d(2) 4b 4f(2) 4k(1)	1.17 1.20	PRELIMINARY INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WEDEEN, DAVID	00-08880 CIV-ZLOCH	S.D. FL.	12/4/00			TERMPORARY RESTRAINING ORDER	10/30/00 STATUTORY RESTRAINING ORDER IS VACATED.
WEINBERG, MARK	02-02084	CD CAL	6/17/03	4b(a)(i) & (iii) 4o(1)(A) & (B) 6(c)		PERMANENT INJUNCTION	ACCOUNT ORDER; CIVIL MONETARY PENALTY OF \$1,264,500 AND RESTITUTION OF \$570,198.79 ORDERED AND POST JUDGMENT INTEREST FOR EACH AT AN INTEREST RATE OF 1.46%; NFA DESIGNATED AS MONITOR.
WEINBERG, MARK ROSS	89-24	CFTC	01/05/94	4b(A) 4c(b) 4o(1) 9(a) 4(d)(1)	32.9 4.30		CEASE & DESIT ORDER; PEN. AMNT.: \$320,000; REG. REVOKED AS CTA & CPO.
WEINBERG, MICHAEL	88-4	CFTC	07/26/88	4f(2) 6(b)	1.10(b)(2) 1.10(d) 1.17		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRAD. PRIV. SUSP. 4 MO.; SUSP. AS FB 1 MO. OR LESS; NOT TO SEEK REGISTRATION OTHER THAN AS A FLOOR BROKER FOR 2 YEARS.
WEINER, LESLIE	04-61235	SD FL	12/7/2004	4c(b)	33.10(a)&(c)	PRELIMINARY INJUNCTION	
WEINGARTEN, LUDWIG	93-5	CFTC	08/18/93	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 1 MO. OR LESS; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 3 YEARS.
WEINSTEIN, JACK	80-0689	SD NY	10/02/81	4 4h		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
WEISBENBORN, WALLACE G.	85-46	CFTC	02/21/86	4g 4i	1.37(a) 17.00 18..04 18.04(a) 18.04(b)		CEASE & DESIST ORDER; PEN. AMNT.: \$25,000; TRAD. PRIV. SUSP. 1 MO. OR LESS.
WEISENBERGER, ARTHUR J.	85-1555	ND CA	11/25/87			PERMANENT INJUNCTION	ESTATE TO PAY \$200,000 TO RECEIVER.
WEISER, MICHAEL	90-4	CFTC	02/13/90	4b(A) 4b(B) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 6 MO.; NOT TO APPLY FOR REGISTRATION IN ANY CAPACITY FOR 6 MONTHS.
WEISS, DANIEL	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; JOINTLY & SEVERALLY LIABLE FOR THE

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES; 6/18/93 CIVIL CONTEMPT LIFTED UPON DW AGREEMENT; TO REVEAL LOCATION OF FUNDS & MAKE MONTHLY PAYMENTS OF \$1,000.
WEISS, JAMES I.	04 CV 45 (FSH)	D NJ	3/1/2004	4b(a)(i) & (iii)	1.1(b)(1) & (3)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
WEITMAN, EDWARD P.	77-3864	CD CA	06/12/79	4c(b) 4i 4g 4o	1.35(a) 32.7 32.9 32.5 1.31	PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP CUSTOMER SOLICITATION.
WEITMAN, EDWARD P.	79-7	CFTC	04/22/83	4c(b) 6(b) 4g 4g(1) 4f(1) 4f(2) 4d	32.9 32.5 1.31(a) 1.35 32.7 1.17(b) 1.20 32.6 1.23 1.18 1.10(f) 1.32		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
WEITMAN, EDWARD P.	84-8601	ND IL	10/19/84	4b(A) 4b(C)		INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WEITMAN, MARY FITZPATRICK	79-7	CFTC	04/22/83	4c(b) 6(b) 4g 4g(1) 4f(1) 4f(2) 4d	32.9 32.5 1.31(a) 1.35 PRELIMINARY 1.17(b) 1.20 32.6 1.23 1.18 1.10(f) 1.32		CEASE & DESIST ORDER; REG. REVOKED AS AP.
WELDON, ANTHONY H.D.	89-11	CFTC	09/23/91	4d(1) 4k(1)	3.10(a) 1.38		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000; TRAD. PRIV.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4f(1) 4(a) 4h(2) 4c(a)(A) 4g(1) 4d(2)	1.35(a-1) 1.20 17.00 166.3 1.31		SUSP. 120 MO.; BECAME FINAL ORDER OF THE COMMISSION ON 10/25/91.
WELLINGTON FINANCIAL GROUP, INC.	99-10	CFTC	11/3/99	4c(b)	33.10	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REGISTRATION AS IB REVOKED; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
WELLINGTON INERNATIONAL, INC.	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
WELLINGTON PRECIOUS METALS, INC.	85-3565	SD FL	10/21/88	4(a) 4b(A)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; JOINTLY & SEVERALLY LIABLE FOR THE RETURN OF CUSTOMER FUNDS OF NOT LESS THAN \$15,018,000; ALSO ENJOINED FROM VIOLATING CERTAIN FLORIDA STATUTES.
WELLS FARGO BANK, N.A.	87-07792WDK	CD CA	11/19/87	4c(b)	32.11	PERMANENT INJUNCTION	ALL WELLS FARGO GOLD MARKET CERTIFICATES ARE RESCINDED AND CANCELLED; MUST RETURN TO EACH PURCHASER PURCHASE PRICE AND FEE PLUS INTEREST.
WELSH, NOEL L.	88-C-3188	ND OK	06/14/89	4o(1) 4k(2)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
WENBROOK CORPORATION	79-0609-H	ND TX	03/23/81	4c(b) 4c(c)	32.3 32.9 32.11	PERMANENT INJUNCTION	
WEST COAST POWER, LLC	03-03	CFTC	12/18/02	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000,000 JOINTLY & SEVERALLY OWED WITHIN FIVE

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS.
WEST SIDE FEDERAL SAVINGS AND LOAN ASSOC.	78-1604CSH	SD NY	11/02/81	4c(b)	32.6(a) 32.6(b) 32.9	PERMANENT INJUNCTION	TO PAY \$48,000 TO RECEIVER.
WESTAMERICA CURRENCY, INC.	79-03851	CD CA	05/09/84	4c(c) 4c(b)	32.9	PERMANENT INJUNCTION	
WESTBROOK, LEONA	2:02-CV-94	MD FL	12/16/03			SUPPLEMENTAL CONSENT ORDER	RESTITUTION OF \$2,107,092.37 JOINTLY OWED WITH CHILCOTT & WHIDDEN; CIVIL MONETARY PENALTY OF \$110,000; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; NFA DESIGNATED AS MONITOR.
WESTBROOKE FUNDING, INC.	85-3169	SD FL	10/25/85	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
WESTERN AMERICA FINANCE	8-05540JGD	CD CA	05/01/89	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
WESTERN AMERICAN OIL CO.	80-0689	SD NY	10/20/80	4 4b		PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
WESTERN FINANCIAL MANAGEMENT	81-18	CFTC	09/17/82	4b 4o(1) 4k(1) 4m 4n 6(b)	1.10c 1.10d 4.21		CEASE & DESSIT ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 12 MO.; REG. REVOKED AS CTA; TO WITHDRAW ALL REGISTRATION APPLICATIONS.
WESTERN GAS RESOURCES, INC.	04-17	CFTC	7/1/2004	9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$7,000,000 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS.
WESTERN MANAGEMENT CORPORATION	84-48	CFTC	1/2/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION; UNDERTAKE NOT TO TRADE EXCEPT TO HEDGE.
WESTERN NATIONAL TRADING	96-2185	D AZ	01/22/98	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1) 4d(1) 4d(2)	4.20(a) 4.20(b) 4.20(c) 4.21	PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; DEFENDANTS JOINTLY & SEVERALLY LIABLE FOR RESTITUTION IN THE AMOUNT OF \$602,088.05; ENJOINED FROM VIOLATING ARIZONA SECURITIES ACT (ASA); ENGAGING IN CONDUCT WHICH REQUIRES REGISTRATION UNDER THE ACT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							OR ASA; ADVISING OTHERS FOR COMPENSATION OR PROFIT.
WESTFIELD CLEARING, LTD.	78-55	CFTC	05/25/79				TO CEASE DOING BUSINESS OR TRANSFER OWNERSHIP.
WESTFIELD CLEARING, LTD.	79-295	D CT	06/15/81	4c(b) 4c(c) 4f	32.11 32.9 32.6 32.3 1.17	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
WESTFIELD CLEARING, LTD.	81-16	CFTC	05/05/81	4c(b) 4c(c) 4f	32.11 1.17		CEASE & DESIST ORDER; REG. REVOKED AS FCM.
WESTHEIMER, GERALD	85-25	CFTC	02/10/92	4a(5) 4g	1.35		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.; REG. REVOKED AS FB.
WESTHEIMER, VALERIE	85-25	CFTC	02/10/92	4a(5)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 36 MO.
WEXLER, FREDERICK N.	SD-89-5	CFTC	06/08/99				REG. REVOKED AS AP; APPEAL DISMISSED AS UNTIMELY ON 11/14/91.
WHALEY, STEVEN MICHAEL	90-00038	ND IN	08/17/90	4b(A) 4b(B) 4k(3) 4d(2) 4d(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION AGAIN; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
WHALEY, TEDDI JEAN	90-00038	ND IN	08/17/90	4o(1) 4k(3)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; NEVER TO APPLY FOR REGISTRATION IN ANY CAPACITY; NOT TO ACT IN ANY CAPACITY REQUIRING REGISTRATION UNDER THE ACT.
WHARTON, MICHAEL JOSEPH	94-4	CFTC	11/02/93	4a(E) 4g(a) 6(c)	18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$250,000.
WHEALAN, EMMETT J.	96-4	CFTC	11/18/99	4b(a)(i) 4b(a)(iv) 4c(a)(A) 4g(a)	1.35(d) 1.38(a)	COMMISSION ORDER	CEASE & DESIST ORDER; TRADING PRIVILEGES SUSPENDED 5 YRS; REGISTRATION AS FB REVOKED; PENALTY AMOUNT \$125,000; SHALL NOT SEEK REGISTRATION W/ COMMISSION; SHALL COMPLY W/ UNDERTAKINGS.
WHEELER, JOHN A.	6:03CV42	ED TX	6/9/03	4b(a)(2)(i)-(iii)	1.1(b)(1) 1.1(b)(3)	PERMANENT INJUNCTION	RESTITUTION OF \$23,157,504.82 AND CIVIL MONETARY PENALTY OF \$8,400,000 JOINTLY OWED WITH LONG POINT INVESTMENTS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							AND CDM TECHNOLOGIES; TRADING PROHIBITION; SHALL NOT APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION IN ANY CAPACITY.
WHEELER, RICHARD F.	SD-97-7	CFTC				COMPLAINT FILED	
WHICHMAN, JEFFREY JAMES	98-4	CFTC	12/18/98	4(a) 4b(a) 4o(1)(A) 4o(1)(B)	166.4		CEASE & DESIST ORDER; WICHMAN SHALL NOT APPLY FOR REGISTRATION WITH THE COMMISSION IN ANY CAPACITY AND SHALL NOT ENGAGE IN ANY ACTIVITY REQUIRING SUCH REGISTRATION FOR A PERIOD OF 10 YEARS FROM THE DATE OF THE ORDER.
WHIDDEN, KYLE	87-0341R	SD CA	02/05/90	4(a) 4b(A)		PERMANENT INJUNCTION	DISGORGEMENT; GREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ALSO ENJOINED FROM VIOLATIONS OF CALIFORNIA BUSINESS AND PROFESSIONS CODE; PROHIBITED FROM PARTICIPATING IN BROKERAGE BUSINESS SUBJECT TO SEC, CFTC, FEDERAL, OR STATE LAW FOR TELEPHONE SOLICITATION.
WHIDDEN, TED E.	2:02-CV-94-FTM	MD FL	12/16/03			SUPPLEMENTAL CONSENT ORDER	RESTITUTION OF \$2,107,092.37 JOINTLY OWED WITH CHILCOTT & WESTBROOK; CIVIL MONETARY PENALTY OF \$990,000; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; NFA DESIGNATED AS MONITOR.
WHITBY, W. MICHAEL	80-2082	WD TN	04/23/82	4c(c) 4c(b)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
WHITE CREEK TRADING COMPANY	87-3-498	ED TN	01/17/90	4m 4o(1) 4n(4)	4.21 4.22 1.31 4.23	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS.
WHITE, GORDON J.	00-09	CFTC	5/1/00	4b(a)(i) 4b(a)(iii) 4o(1)	4.41(a) 4.41(b)	COMMISSION ORDER	CEASE & DESIST ORDER; SHALL COMPLY WITH UNDERTAKINGS.
WHITE, THOMAS V.	01-01	CFTC	11/14/02			COMMISSION ORDER	ORDER OF DISMISSAL DUE TO DEATH OF RESPONDENT AUGUST 2002.
WHITE, THOMAS V.	87-1	CFTC	11/07/86	4c(a)(A)	1.38		CEASE & DESIST ORDER; PEN.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(a)(B) 6(b) 6(c) 9(b)			AMNT.: \$10,000; TRAD. PRIV. SUSP. 1-2 MO.
WHITEHALL INVESTORS INTERNATIONAL INC.	84-8601	ND IL	05/09/86	4b(A) 4b(C)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WHITEHALL INVESTORS INTERNATIONAL, INC.	86-24	CFTC	04/29/86	4b(A) 4b(C)			CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM.
WHITEHOUSE, SUSAN	84-32	CFTC	12/26/84	4b 4o(1)			CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS.
WHITLEY, WILL J.	81-2250-W	WD TN	12/31/86	4b(A) 4b(C) 4o(1)		PERMANENT INJUNCTION	
WHYTE, WILLIAM	SACV 03-1454	CD CAL	12/1/2004	4b(a)	1.17(a)(1)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
WICKNERTZ, PETER MAGNUS	92-8529	SD FL	08/23/93	4b(a) 4c(b)	33.7(f) 33.10	PERMANENT INJUNCTION	
WICKNERTZ, PETER MAGNUS	93-23	CFTC	08/10/93	4b(a) 4c(b)	33.7(f) 33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS AP; COOPERATE WITH THIS AND RELATED CASES; NOT TO BE OFFICER, DIRECTOR, EMPLOYEE OR AGENT OF OR RECEIVE COMPENSATION FROM ANY COMMISSION REGISTRANT FOR 2 YEARS.
WIENS, JOEL	84-48	CFTC	1/2/85	4m 4o	4.21 4.22 4.23		CEASE & DESIST ORDER; NOT TO APPLY FOR REGISTRATION.
WIGTON, TERRY G.	97 C 7061	N.D IL.	9/12/00	4b(a)(i) 4b(a)(ii) 4k(2) 4k(3) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; RESTITUTION OF \$703,755.45 WHICH INCLUDES DISGORGEMENT OF \$2,507.00 AND PRE-JUDGEMENT INTEREST OF \$168,503.84; PERMANENTLY ENJOINED FROM SEEKING REGISTRATION OR CLAIMING EXEMPTION FROM REGISTRATION W/ COMMISSION IN ANY CAPACITY; DAN

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							DRISCOLL OF NFA DESIGNATED AS MONITOR.
WIKLUND, MARK B.	83-53	CFTC	03/28/84	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$60,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS; NOT TO APPLY FOR REGISTRATION FOR 3 MONTHS.
WILES, DEWEY V.	3-02 CV-0951G	ND TX	4/11/03	4b(a)(i)-(iii) 4o(1) 4m(1) 4k(3)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$646,278.96 CONTINGENT PURSUANT TO PAYMENT PLAN; RESTITUTION OF \$385,628 TO BE PAID PURSUANT TO PAYMENT PLAN; SHALL COMPLY WITH UNDERTAKINGS.
WILKENS, RODNEY P.	87-13	CFTC	01/26/89	4b(D) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$500; TRADING PRIVILEGES REVOKED.
WILLARD, ROONEY & WILLIAMS	80-0689	SD NY	09/19/80	4 4h 4b		PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; ACCOUNTING ORDERED.
WILLETTE, ALFRED	SD-85-6	CFTC	06/07/85				SUSP. AS FB 6 MO.
WILLEY, KEN	96-0200	A	11/05/97	4o(1)(A) 4o(1)(B)		PERMANENT INJUNCTION	DEFAULT JUDGMENT.
WILLIAM, HOLBROOK & ASSOCIATES, LLC	03 CV 9128	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
WILLIAMS COMPANIES (THE)	03-21	CFTC	7/29/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000,000 JOINTLY & SEVERALLY OWED WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH CONDITIONS AND UNDERTAKINGS.
WILLIAMS ENERGY MARKETING & TRADING	03-21	CFTC	7/29/03	6(c) 6(d) 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$20,000,000 JOINTLY & SEVERALLY OWED WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH CONDITIONS AND

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							UNDERTAKINGS.
WILLIAMS, DAVID EARL	94-4	CFTC	11/02/93	4a(e) 4g(a) 6(c)	18.04(a) 166.2		CEASE & DESIST ORDER; PEN. AMNT.: \$100,000.
WILLIAMS, FRED RONALD	97-4443	CAL	12/08/97	4b(a)(2)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; RESTITUTION OF \$2,459,117; ENJOINED FROM SEEKING APPLICATION WITH THE COMMISSION IN ANY CAPACITY.
WILLIAMS, JOHN JERRY	78-21	CFTC	06/16/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
WILLIAMS, RANDALL	97 C 7061	N.D IL.	9/12/00	4b(a)(i) 4b(a)(ii) 4m(1) 4k(3) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATION W/ COMMISSION; RESTITUTION OF \$860,444.77 WHICH INCLUDES DISGORGEMENT OF \$6,390.00 AND PRE-JUDGEMENT INTEREST OF \$136,498.41; NFA DESIGNATED AS MONITOR.
WILLIS, BRIAN	97CIV5255	SD NY	01/27/98	4b(a)(i) 4b(a)(ii) 4o 9(a)(1) 4m(1)		INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION.
WILSHIRE INVESTMENT MANAGEMENT CORPORATION	04-80862	SD FL	9/13/2004			COMPLAINT FILED	
WILSHIRE, ANDREW ALAN	04-80862	SD FL	9/13/2004			COMPLAINT FILED	
WILSON, DONALD W.	97-9	CFTC	3/14/01	4c(a)(A)	PRELIMINARY	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; FB & AP REGISTRATION SUSPENDED FOR 6 MONTHS.
WILSON, JAMES N.	1:00 CV 0300	ND IN	8/24/03	4k(2) 4o(1)(B)		PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; JOINTLY OWE CIVIL MONETARY PENALTY OF \$110,000 AND DISGORGEMENT OF \$100,182.90 TO BE PAID WITHIN TEN DAYS.
WILSON, WILBERT A.	80-3707	SD NY	03/10/81	4o(1) 4n(4) 4n(3)	4.22 4.23 4.24 4.21(b) 4.21(a)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WILSON, WILBERT A.	81-10	CFTC	03/27/81	4o(1) 4n(3)(A)	4.21 4.22		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4n(4)	4.23 4.24		
WILT, EARL R.	79-4313	SD NY	09/26/79	4c(b) 4c(c)	32.11	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WINCHESTER-HARDIN- OPPENHEIMER TRADING CO.	77-21	CFTC	09/08/80	4b 4c 4d 4f 4g 4k	1.17 1.20 1.31 1.32 1.33 1.33(a) 1.35 1.37		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS FCM; NOT TO REAPPLY FOR REGISTRATION.
WINN INDUSTRIES DIVISION OF ONTARIO LIMITED	03 4999	ED NY	11/24/03			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; APPOINTMENT OF JAMES ZANE AS RECEIVER IS CONFIRMED.
WINN INDUSTRIES DIVISION OF ONTARIO LIMITED OR 1430214 ONTARIO, LIMITED	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
WINNER, MICHAEL F.	83-52	CFTC	04/12/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
WINOGRAD, ALVIN C.	77-1	CFTC	10/29/85	4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; TRADING PRIVILEGES REVOKED; SUSP. AS FB 6 MO.
WNUKOWSKI, LESLIE	99 C 2357	N.D. IL.	7/17/00			ORDER OF EQUITABLE RELIEF	FREEZE OF ASSETS; DISGORGEMENT OF \$168,920.48 PLUS POST JUDGEMENT INTEREST DEFERRED FOR 3 YEARS AFTER ENTRY OF JUDGEMENT BASED ON SWORN FINANCIAL STATEMENT; ANY RESTITUTION PAYMENTS MADE BY J. MCGIVNEY IN EXCESS OF \$100,000 SHALL SATISFY DOLLAR-FOR-DOLLAR THE DISGORGEMENT OBLIGATION BEFORE EXPIRATION OF 3 YEAR PERIOD.
WNUKOWSKI, LESLIE JEAN	SD 05-01	CFTC	12/30/2004			COMPLAINT FILED	
WOFSY, BARRY DAVID	76-10	CFTC	05/05/76				CONDITIONALLY REGISTERED AS AP.
WOGEN RESOURCES LTD.	88-01583-R	CD CA	01/09/89	4(a) 4c(b)	32.11	PERMANENT INJUNCTION	TO PAY \$800,000 FOR THE BENEFIT OF CUSTOMERS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
WOHL, MILTON S.	80-0689	SD NY	10/02/81	4 4h		PERMANEN TINJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
WOLCOTT & LINCOLN FUTURES, L.L.C.	99-14	CFTC	08/09/99	4d(2) 4g 6(c)	1.10 1.18 1.20(a) 1.20(c) 1.31 1.32 1.33 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$50,000 JOINTLY OWED; REG. REVOKED AS FCM.
WOLERT, JEFFREY D.	77-5	CFTC	02/10/78	4c(b) 4o(1) 4o(2)	32.9		CEASE & DESIST ORDER; TO WITHDRAW FROM REGISTRATION AS AP AND NOT REAPPLY FOR 3 MONTHS.
WOLFE, WILLIAM	84-6717	SD FL	09/12/84			RESTRAINING ORDER	FREEZE OF ASSETS.
WONG, FRANK C. Y.	92-259	ED NY	01/27/98	4(a) 4b(a) 4d(1)	3.10	PERMANENT INJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; APPOINTMENT OF EQUITY RECEIVER; WONG SHALL PAY \$20,000 TEN DAYS AFTER THE ENTRY OF THIS CONSENT ORDER.
WONG, MOSES L.	93-0088	ED NY	06/07/94	4(a) 4b(A) 4d(1)		PERMANEN TINJUNCTION	DISGORGEMENT; ACCESS BOOKS & RECORDS; RECEIVER APPOINTED; \$500,000.
WONG, MOSES L.W.	93-0067	CD CA	06/18/93	4(a)		PERMANENT INJUNCTION	DISGORGEMENT; \$1,100,000 TO RECEIVER JOINTLY WITH PUNDI FORSTEN INTERNATIONAL.
WONG, MOSES L.W.	93-8	CFTC	05/21/93	4(a)			CEASE & DESIST ORDER; WITHDRAWAL AS AP OF PUNDI PASAKA COMMODITY; NEVER REAPPLY FOR REGISTRATION IN ANY CAPACITY OR ACT IN CAPACITY REQUIRING REGISTRATION.
WONG, PO FUK	95-5416	SD NY	02/19/98	4(a) 4b(a)(i) 4b(a)(iv) 4d(1)		PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; CMP \$250,069.17; DISGORGEMENT TO RECEIVER \$83,356.39; ALL DEFENDANTS ARE JOINTLY & SEVERALLY LIABLE TO TII CUSTOMERS OF \$893,218.77 WITH INTEREST FROM THE DATE OF THE VIOLATIONS.
WONG, SIMON	93-0088	ED NY	08/09/93	4(a)	3.10	PRELIMINARY	FREEZE OF ASSETS; ACCESS

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4b(A) 4d(1)		INJUNCTION	BOOKS & RECORDS; RECEIVER APPOINTED.
WONG, YUEN KWONG "ANTHONY" dba IBF CAPITAL LIMITED COMPANY	CV 03-0833	CD CAL	2/5/03			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
WOOD, GARY	6:03CV42	ED TX	6/15/2004			CONSENT ORDER	DISGORGEMENT OF \$500,000; ALL PAYMENTS SHOULD BE MADE TO THE COURT- APPOINTED RECEIVER IN CRIMINAL PROCEEDINGS - ROBB EVANS.
WOODS, ROY L.	80-14	CFTC	11/02/81	8b			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000; TRAD. PRIV. SUSP. 3 MO.; SUSP. AS AP 3 MO.
WOODSTOCK INC.	87-4	CFTC	12/17/86	4b	1.35 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$310,000.
WOODSTOCK, INC.	87-3	CFTC	12/17/86	4b 6(b)	166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$180,000.
WOOLCOT, STEEN	88-8130	SD FL	06/17/88	4b 4b(A) 4b(B) 4b(C) 9(a) 4d(1) 4k(1)		INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WOOLSLEY, THOMAS	80-2082	WD TN	01/26/81	4c(c) 4c(b)	32.11 PRELIMINARY	PERMANENT INJUNCTION	DISGORGEMENT; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS.
WORD, CALVIN L.	86-6	CFTC	11/28/99	4b	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$30,000; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
WORLD BANKS CURRENCY TRADERS, INC.	01-7402	SD FL	8/23/01	4c(b)	32.9 32.11 33.3(a) 32.5	COMPLAINT FILED	
WORLD BANKS FOREIGN CURRENCY TRADERS, INC.	01-7402	SD FL	8/23/2004			DEFAULT ORDER	RESTITUTION OF \$1,880,145 AND CIVIL MONETARY PENALTY OF \$5,640,435 JOINTLY OWED.
WORLD TRADING GROUP	90-32	CFTC	09/22/92	4b(A)	166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$20,000; REG. REVOKED AS IB.
WORLD WIDE COMMODITIES MANAGEMENT CORP.	76-20	CFTC	09/26/76				REG. REVOKED AS CPO.
WORLD WIDE FUNDING, LTD., INC.	86-0099	SD FL	01/21/86	4(a)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS TO BE DISSOLVED.
WORLDWIDE COMMODITY	04cv3641	ED PA	7/30/2004			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CORPORATION							
WORLDWIDE CURRENCIES, INC.	96-7814	Y	12/23/98	4(a) 4b(a)(i) 4d(1) 9(a)(1)		PERMANENT INJUNCTION	CMP OF \$7,142,393.55 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS; RESTITUTION TO CUSTOMERS OF \$2,380,797.85 JOINTLY & SEVERALLY OWED WITH OTHER DEFENDANTS.
WORLDWIDE CURRENCY SERVICES, CORP.	03-80032	SD FL	8/5/2004	4c(b)	32.9 32.11 33.3(a)	PERMANENT INJUNCTION	DEFAULT ORDER; JOINT OWED RESTITUTION OF \$1,092,880.60; CIVIL MONETARY PENALTY TO BE DETERMINED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
WORLDWIDE FOREX, INC.	04-60797	SD FL	6/21/2004			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
WORLDWIDE PETROLEUM	80-0689	SD NY	07/19/82	4b		PERMANENT INJUNCTION	
WORSHAM, MARSHALL L.	96-3	CFTC	03/16/99	4b 4o	4.41(a)		
WORTH FINANCIAL DATA	94-1256	CD CA	10/03/96	4(a)		PERMANENT INJUNCTION	DISGORGE \$100,000 TO EQUITY RECEIVER; ENJOINED FROM SELLING/PURCHASING OR OFFERING TO SELL OR PURCHASE ANY COMMODITY OR OPTION.
WORTH, RICHARD S.	78-27	CFTC	06/30/78	6(b)			CEASE & DESIST ORDER; REG. DENIED AS AP.
WOSNACK, WILLIAM	03-02	CFTC	12/12/02	4c(a)(A) 4c(a)(B)	1.38	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$15,000; TRADING PRIVILEGES BARRED FOR 12 MONTHS THEN RESTRICTED FOR 1 YEAR.
WOZNAK, RICHARD	76-2095R	CD CA	07/16/76	4b 4c		INJUNCTION	
WOZNAK, RICHARD	77-8	CFTC	06/23/77	4b 4c			TRADING PRIVILEGES REVOKED; REG. REVOKED AS FB.
WRENTMORE, DANIEL M.	90-20380	ND CA	02/04/92	4m(1) 4n(3)(A)	4.21 4.22 PRELIMINARY	PERMANENT INJUNCTION	DISGORGEMENT; RETURN CUSTOMER FUNDS; STOP CUSTOMER SOLICITATION; ACCOUNTING ORDERED; DISGORGE AND/OR MAKE PARTIAL RESTITUTION OF \$295,843; PAY 10% OF GROSS INCOME TO COURT.
WRIGHT, CHARLES W.	78-24	CFTC	12/22/78				REG. DENIED AS AP.
WRIGHT, GARY	93-24	CFTC	08/13/93	4c(a)(A)	1.38(a)		TRAD. PRIV. SUSP. 30 MO.;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				8a(3)(E)			LIQUIDATE ALL POSITIONS BEFORE TP; NOT TO ACT AS FB FOR 6 MONTHS.
WRIGHT, ROGER J.	97-2	CFTC	2/25/03	4c(b) 4m(1) 4o(1)(A)-(B)	4.13(b)(2) 4.31(a) 33.10	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 TO BE PAID WITHIN 30 DAYS; TRADING PROHIBITION; DOE FILES NOTICE OF APPEAL ON 3/12/03.
WTC INVESTMENT GROUP, INC.	88-1571	D AZ	09/28/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1) 4m(1)	4.21 4.22(a) 4.22(c) 4.22(d) 4.22(e) 4.23 4.20(b) 4.20(c)	PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP CUSTOMER SOLICITATION; RECEIVER APPOINTED.
WTC INVESTMENT GROUP, INC.	88-31	CFTC	09/29/88	4b(A) 4b(B) 4b(C) 9(a) 4o(1)	4.21 4.22 4.23 4.20(b) 4.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CPO; NOT TO APPLY FOR REGISTRATION.
WU, JIPING	01-01	CFTC	7/25/03		1.12(b) & (g)	ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000.
WU, MICHAEL	93-0067	CD CA	05/20/94	4(a)		PERMANENT INJUNCTION	
WU, QI	93-0088	ED NY	12/06/94	4(a) 4b(A)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
WUENSCH, MARC STEPHEN	92-6832-CIV	SD FL	4/21/03			ORDER	ORDER AFFIRMING MAGISTRATES REPORT & RECOMMENDATION; DEFENDANT IN CIVIL CONTEMPT OF 12/7/99 ORDER AND SHALL BE INCARCERATED IF HE FAILS TO PAY \$250,000 INTO COURT REGISTRY WITHIN 30 DAYS AND MAKE MONTHLY PAYMENTS OF \$1,500 COMMENCING 30 DAYS FROM THIS ORDER.
WYMER, STEVEN DAVID	SD-92-3	CFTC	09/30/92	8a(2)(C)			REG. REVOKED AS CTA.
X-CEL COMMODITIES CORP.	88-8635	SD NY	12/09/88	4d(2) 4f(2)	1.20(a) 1.17(a)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RECEIVER APPOINTED.
XIE, JEFF	93-0067	CD CA	05/20/94	4(a)		PERMANENT INJUNCTION	
XU, JASON	93-0088	ED NY	06/07/94	4(a) 4b(A)		PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
YAMPOLSKY, MAXIM	03 CV 9126	SD NY	11/18/03			EX PARTE STATUTORY RESTRAINING ORDER	FREEZ OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS;

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ACCOUNT ORDER; BRIAN ROSNER APPOINTED TEMPORARY RECEIVER.
YANG, JOSEPH LEE	87-17	CFTC	09/22/87	4b(A) 4m(1) 4o(1)	4.20(c)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; NOT TO APPLY FOR REGISTRATION.
YATVIN, MICHAEL B.	91-21	CFTC	06/30/92	4c(b)	33.10		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; MAY NOT SEEK REGISTRATION WITH THE COMMISSION IN ANY CAPACITY; MAY NOT ENGAGE IN ACTIVITIES REQUIRING REGISTRATION.
YAZDANI, NADAR	04-61235	SD FL	12/7/2004	4c(b)	33.10(a)&(c)	PRELIMINARY INJUNCTION	
YEE, PAUL	79-26	CFTC01/20/84		4c(b)	32.5 32.9 32.6		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP; NOT TO REAPPLY FOR REGISTRATION.
YEH, FRANK	93-0067	CD CA	12/19/94	4(a)		PERMANENT INJUNCTION	
YEH, FRANK	95-7	CFTC	01/23/96	4(a) 6(c)			TRADING PRIVILEGES REVOKED; REG. REVOKED AS AP.
YERMACK, BRUCE H.	83-51	CFTC	06/15/84	4e			CEASE & DESIST ORDER; PEN. AMNT.: \$15,000.
YORKSTONE RESEARCH, INC.	82-777	ND NY	09/17/82	4b(A) 4o(1)	4.30 4.31 4.41	PERMANENT INJUNCTION	DISGORGEMENT.
YORKSTONE RESEARCH, INC.	83-34	CFTC	07/07/83	4b(A) 4o(1)	4.30 4.31(a) 4.31(b) 4.41		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED; REG. REVOKED AS CTA & CPO.
YOST, DAVID	04-07	CFTC	12/22/03	4b(a)(2)(i)-(iii)		COMPLAINT FILED	
YOUNG, CLARKE D.	88-32	CFTC	09/30/88		166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$7,500.
YOUNG, TERRY W.	85-32	CFTC	09/20/88	4d 4n(4)	1.7 1.20(a) 1.33(a) 4.22(h) 4.24(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$3,000.
YU, JOE	92-259	ED NY	12/09/92	4a 4b(A) 4d(1)	3.10	RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
YU, NELSON	93-0088	ED NY	12/06/94	4(a) 4b(A) 4d(1)	3.10	PERMANENT INJUNCTION	ACCESS BOOKS & RECORDS; RECEIVER APPOINTED.
YURGEL, GLENN	82-16	CFTC	03/25/82	4	32.11		CEASE & DESIST ORDER; TO

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				4h 4c(b) 4c(c) 4m	166.3		DISSOLVE CORPORATE RESPONDENTS AND NOT APPLY FOR REGISTRATION AS CPO OR CTA FOR 1 YEAR.
YURGEL, GLENN	82-6203	SD FL	04/15/82	4c(b) 4c(c)	32.11 166.3	PERMANENT INJUNCTION	
ZACK, EUGENE M.	78-115	ND IL	01/20/78	4f(2)	1.17	PERMANENT INJUNCTION	
ZACK, SAMUEL N.	78-115	ND IL	01/20/78	4f(2)	1.17	PERMANENT INJUNCTION	
ZACK, SAMUEL N.	79-44	CFTC	02/17/88	4f(1) 4f(2) 19 6(b)	1.17(a) 31.03 1.18(a) 1.10		PEN. AMNT.: \$100,000; REG. REVOKED AS AP.
ZAMOJCIN, ALFRED JOHN	00-26	CFTC	8/7/00	4g	1.35(a-1)(1)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$5,000; SHALL COMPLY WITH UNDERTAKINGS INCLUDING: FOR A ONE YEAR PERIOD BEGINNING ON THE DATE OF ENTRY OF ORDER WILL NOT 1) SERVE ON ANY DISCIPLINARY COMMITTEE, ARBITRATION PANEL, OVERSIGHT PANEL OR GOVERNING BOARD OF ANY SELF-REGULATORY ORGANIZATION REGISTERED OR SUBJECT TO REGISTRATION BY THE COMMISSION; 2) DIRECTLY OR INDIRECTLY ACT AS A PRINCIPAL, PARTNER, OFFICER, OR BRANCH OFFICE MANAGER OF ANY ENTITY REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION; OR 3) ACT IN ANY SUPERVISORY CAPACITY OVER ANYONE REGISTERED OR REQUIRED TO BE REGISTERED WITH THE COMMISSION.
ZARCONE, PHILLIP C.	93-18	CFTC	08/10/93	4f(b) 6(c)	1.10(d) 1.17(a)(1)(i) 1.17(a)(4)		CEASE & DESIST ORDER; BARRED FROM PRACTICING BEFORE THE COMMISSION AS AN ACCOUNTANT FOR 8 YEARS.
ZARCONE, PHILLIP C.	93-19	CFTC	08/10/93	4b(a)(i) 4c(b) 4o(1)(B)	33.10(a)		CEASE & DESIST ORDER.
ZATZ, DAVID	92-10	CFTC	09/10/93				ID SUMMARILY AFFIRMED; MOTION FOR STAY DENIED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ZEE, RICHARD JOHN	94-0220-C	ND CA	05/08/95	4(a)		PERMANENT INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; COOPERATE WITH COMMISSION.
ZEFF, EDWARD JAY	90-8	CFTC	03/27/90	4b 4c(b)	33.10 166.2 166.3		CEASE & DESIST ORDER; PEN. AMNT.: \$1,000; REG. REVOKED AS AP.
ZEITLIN, WILLIAM S.	94-7910	CD CA	08/21/95	4b(a) 4n(3)(A) 4o(1)(A) 4o(1)(B)	1.31 4.20(b) 4.20(c) 4.23 4.32	PERMANENT INJUNCTION	DISGORGEMENT OF \$151,000 JOINTLY OWED WITH CCFI.
ZELENER, MICHAEL, an individual a/k/a MIKHAIL ZELENER, a/k/a MICHAEL MARSHALL	03 C 4346	ND IL	6/24/03			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
ZELNER, EDWARD L.	77-1	CFTC	10/29/85	4b(D) 4c(a)(A)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,400; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 6 MO.
ZENN, KENNETH M.	79-4867	SD NY	10/30/79	4c(b) 4c(c)		PERMANENT INJUNCTION	
ZHUANG, JIAN	CV03-8339	CD CAL	9/15/2004			CONTEMPT ORDER	ACCESS BOOKS & RECORDS; STOP SOLICITATION; PAY CFTC \$4,672.33 IN COMPENSATORY DAMAGES FOR EXPENSES AND ATTORNEYS' FEES; SHALL PAY DISTRICT COURT DAILY COMPLIANCE FINE OF \$250.
ZIA INVESTMENTS	93-C1022E	ND OK	12/11/98	9(a)(1)		PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; ENJOINED FROM SEEKING REGISTRATON WITH THE COMMISSION IN ANY CAPACITY.
ZIEGLER, TERRY	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER.
ZIEGLER, TERRY R.	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
ZIEGLER, TERRY R.	82-6850NCR	SD FL	01/11/84	4d(2) 4f(2) 4g(1)	1.20(a) 1.17(a) 1.31	PERMANENT INJUNCTION	

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
					1.32 1.25 1.26 1.28		
ZILBERT, MARC G.	85-6936	SD FL	01/24/86	4c(b) 4c(c)	33.9(c) 33.9(e) 33.3(a) 32.11(a) 33.10 32.9 33.3(b)(1) 33.7(b)	PERMANENT INJUNCTION	DISGORGEMENT; PERMANENTLY ENJOINED FROM VIOLATING CHAPTER 517 OF FLORIDA STATUTES.
ZIMMERMAN, DARRELL M.	94-10	CFTC	09/26/94	6(c) 6(d) 9(a)(2)	33.9(d)		CEASE & DESIST ORDER; TRADING PRIVILEGES REVOKED.
ZINS, BRUCE	80-17	CFTC	09/04/81	4g(1) 4g(3)	1.31(a) 1.35(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$5,000; SUSP. AS FB 1 MO. OR LESS.
ZIOLKOWSKI, RAYMOND F.	83-58	CFTC	12/07/84	4c(a)(A) 4c(a)(B)	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$2,500; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
ZIPKIN, NORMAN	83-1591EBD	SD FL	01/30/85	4o(1)		PERMANENT INJUNCTION	RETURN CUSTOMER FUNDS.
ZIPKIN, WILLIAM L.	83-1591EBD	SD FL	09/18/85	4b 4o(1)	4.21(a) 4.22(a) 4.22(b) 166.3	PERMANENT INJUNCTION	DISGORGEMENT; RECEIVER APPOINTED.
ZIPKIN, WILLIAM L.	85-27	CFTC	09/16/85	4b 4o(1)	4.21(a) 4.22(a) 4.22(b) 166.3		CEASE & DESIST ORDER; TRAD. PRIV. SUSP. 60 MO.; REG. REVOKED AS CPO & CTA; NOT TO REAPPLY FOR REGISTRATION FOR 5 YEARS AND THEN ONLY AS AP OF FCM; NOT TO BE OFFICER OR PRINCIPAL, OR HAVE A PECUNIARY INTEREST IN ANY REGISTERED ENTITY.
ZOLLER, JAMES M.	97-5691	INN.	02/23/99	4b(a)(i) 4b(a)(ii) 4m(1) 4o(1)	4.20(b) 4.20(c)	PERMANENT INJUNCTION	STOP CUSTOMER SOLICITATION; TRADING PROHIBITION; RESTITUTION PLUS INTEREST; RESTRAINED FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; PRELIMINARY INJUNCTION ENTERED 11/21/97 SETTING FORTH RECEIVER POWERS REMAIN IN EFFECT

CFTC PROCEEDINGS BULLETIN AS OF 12/31/04

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
ZORDANI, GERALD F.	85-46	CFTC	02/21/86	4c(a)(B) 4e	1.38(a)		CEASE & DESIST ORDER; PEN. AMNT.: \$10,000; TRAD. PRIV. SUSP. 1 MO. OR LESS; SUSP. AS FB 1 MO. OR LESS.
ZOWEC INVESTMENT CORPORATION	81-6615	SD FL	11/09/81	4c(c) 4c(b) 4m 4o(1)	32.11 32.9	PERMANENT INJUNCTION	
ZOWEE INVESTMENT CORPORATION	82-3	CFTC	11/20/81	4 4h 4b 4c(b) 4c(c) 4m 4o(1)	32.11 32.9		CEASE & DESIST ORDER; PEN. AMNT.: \$200,000 JOINTLY OWED.
ZUCCARELLI, ERIC	SD 97-3	CFTC	7/29/02			COMMISSION ORDER	FB REGISTRATION SUSPENDED FOR 6 MONTHS; REGISTRATION SHALL BE RESTRICTED FOR 2 YEARS AFTER 6-MONTH SUSPENSION.
ZURICH TRADING CORPORATION	82-27	CFTC	09/12/86	4b(A) 4b(B) 4b(C) 4d(1) 4d(2) 4h(2) 4n(3)(A) 4n(4) 4o(1)	1.7 1.20(a) 4.20 4.21(a) 4.21(b) 4.21(c) 4.22(a) 4.21(g) 4.22(n) 4.23 1.31 1.25 1.22 1.20 1.12		CEASE & DESIST ORDER; PEN. AMNT.: \$27,000; TRAD. PRIV. SUSP. 24 MO.; REG. REVOKED AS CTA & CPO; APPEAL WITHDRAWN 11/24/86.