

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--------------------------------------|-------------|--------------|-------------|-------------------|---------------|--------------------------------------|--|
| AARISTO COMMODITIES AND FUTURES DMCC | 07 Civ 2770 | SD NY | 4/5/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |
| ABDELDAYEM, MAZEN | 03 CV 9128 | SD NY | 11/7/2006 | | | ORDER | DISGORGEMENT OF \$10,000 AND RESTITUTION OF \$30,427.47 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER. |
| ABERNETHY, J. VERNON | 04CV1512 | D NJ | 7/7/2006 | 4o(1); 4k(2) | | PERMANENT INJUNCTION | RESTITUTION OF \$5,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$300,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| ABRAHAMS, DEREK | 03-2193 | D KS | 4/19/2005 | | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN FIVE DAYS; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| ACCELERATION CAPITAL, LLC | 07-03 | CFTC | 1/16/2007 | 4b(a)(2)(i)-(iii) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$218,602.05 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| ACE CAPITAL ADVISORY GROUP, INC. | CV03-8339 | CD CAL | 11/29/2006 | | | ORDER | DISGORGEMENT OF \$39,194.96 PLUS POST JUDGMENT INTEREST. |
| ACE EMERALD W. HOLDING, INC. | CV03-8339 | CD CAL | 3/15/2005 | | | DEFAULT ORDER | DISGORGEMENT OF \$1,299.80; PROTECT BOOKS & RECORDS. |
| ADDISON FINANCIAL GROUP, INC. | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| ADDISON MANAGEMENT GROUP, INC. | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |

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| AEP ENERGY SERVICES | C2 03 891 | SD OH | 1/26/2005 | | | | CIVIL MONETARY PENALTY OF \$30,000,000 JOINTLY OWED WITHIN TEN DAYS; PROTECT & ACCESS BOOKS & RECORDS; SHALL COMPLY WITH UNDERTAKINGS. |
| AJR CAPITAL, INC. | 05 CV 8422 | SD NY | 3/27/2007 | 4(a); 4b(a)(2); 6c(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$13,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; DISGORGEMENT OF \$4,547,300.91 JOINTLY OWED; AND RESTITUTION OF \$4,547,300.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR. |
| ALLEN, JEFF THOMAS | 05-08 | CFTC | 4/6/2005 | 4b(a)(i)&(iii); 4o(1)(A)&(B) | | COMMISSION ORDER | CEASE & DESIST ORDER; PERMANENTLY PROHIBITED FROM TRADING; PROHIBITED FOR 5 YEARS FROM TRADING FOR HIMSELF; AP REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS. |
| ALLEN, JOSEPH L. | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$435,000; CIVIL MONETARY PENALTY OF \$159,042; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| ALLIANCE DEVELOPMENT COMPANY | CV-N-06-512 | D NV | 11/6/2006 | 4b(a)(2)(i)-(iii); 4o(1); 4k(2) | 4.41(a); 4.20; 4.21 | PRELIMINARY INJUNCTION | TRADING PROHIBITION. |
| ALLOTTA, GREG | 04-60744 | SD FL | 5/22/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$1,137,000; CIVIL MONETARY PENALTY OF \$373,000; STOP SOLICITATION; TRADING PROHIBITION. |
| ALLOTTA, GREG P. | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| ALTSCHULER, MELVOIN & GLASSER, LLP | 04-29 | CFTC | 6/13/2005 | | 1.16(d)(1) | COMMISSION ORDER | CEASE & DESIST ORDER; JOINTLY OWE CIVIL MONETARY PENALTY OF \$150,000, DISGORGEMENT OF \$13,200 AND RESTITUTION OF \$200,000; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED. |

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| AMARANTH ADVISORS (CALGARY) ULC | 07 CIV 6682 | SD NY | 7/25/2007 | | | COMPLAINT FILED | |
| AMARANTH ADVISORS LLC | 07 CIV 6682 | SD NY | 7/25/2007 | | | COMPLAINT FILED | |
| AMERICAN ELECTRIC POWER COMPANY, INC. | C2 03 891 | SD OH | 1/26/2005 | | | | CIVIL MONETARY PENALTY OF \$30,000,000 JOINTLY OWED WITHIN TEN DAYS; PROTECT & ACCESS BOOKS & RECORDS; SHALL COMPLY WITH UNDERTAKINGS. |
| AMERICAN ENERGY EXCHANGE, INC. | 06 CV 7017 | SD NY | 5/7/2007 | 4(a); 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$3,262,788.70 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| AMERICAN FUTURES & OPTIONS EXCHANGE | 07 CV 2377 | SD NY | 8/1/2007 | 4(a); 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$412,609.21 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| AMERICAN FUTURES & OPTIONS TRADING COMMISSION | 07 CV 2377 | SD NY | 8/1/2007 | 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$412,609.21 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$130,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |

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| AMERICAN LIGHTHOUSE TRADING, INC. | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| ANDERSON, WENDY | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |
| ANIXTER, SCOTT C. | SD 04-03 | CFTC | 12/23/2005 | | | COMMISSION ORDER | COMMISSION ISSUED OPINION AND ORDER AFFIRMING THE INITIAL DECISION IN PART AND MODIFYING IT IN PART; SUSPENDING ANIXTER'S REGISTRATION UNTIL THE CRIMINAL CHARGES AGAINST HIM ARE RESOLVED. |
| ARMAJARO TRADING LIMITED | 05-11 | CFTC | 6/21/2005 | 4c(a) | 1.39(a) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| ASARO, FRANK | 03-2193 | D KS | 6/19/2007 | | | ORDER | ORDER RELEASING FROZEN FUNDS ENTERED; REMAINING FUNDS SHALL BE TRANSFERRED TO CFTC AND CONSIDERED CREDITED TOWARDS THE CIVIL MONETARY PENALTY OWED. |
| ASESORIA INVERTRUST C.A. | 05-61903 | SD FL | 5/8/2007 | 4b(a); 4(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION & DISGORGEMENT OF \$1,389,380.43; CIVIL MONETARY PENALTY OF \$4,396,067.91; POST JUDGMENT INTEREST OWED FOR EACH; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

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| ASTERN, RICHARD | 06-80362-CIV-HURLEY | D NH | 10/27/2007 | 4c(b) | 33.10; 166.3 | PERMANENT INJUNCTION | RESTITUTION OF \$285,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| ATHA, PAUL | 1:05-CV-0293 | ND GA | 11/7/2007 | | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$200,000 TO BE PAID WITHIN TEN BUSINESS DAYS PLUS POST JUDGMENT INTEREST. |
| AURIFEX COMMODITIES RESEARCH COMPANY | 1 05 CV 0166 | WD MI | 6/1/2006 | | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION. |
| AURIFEX RESEARCH L.L.C. | 1 05 CV 0166 | WD MI | 6/1/2006 | | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION. |
| AXESS TRADE CO., INC. | 04 CV 4293 | SD NY | 9/12/2006 | 4(a); 4b(a)(2)(i)&(iii) | 1.1(b)(1)-(3) | PERMANENT INJUNCTION | RESTITUTION OF \$363,379.17 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST FOR EACH; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL NOT TRANSFER FUNDS; SHALL COMPLY WITH UNDERTAKINGS. |
| BAERE, STEPHEN | 04 CV 2093 | SD CAL | 4/11/2007 | | | ORDER OF SUMMARY JUDGMENT | RESTITUTION OF \$275,642.48; DISGORGEMENT OF \$600,000; CIVIL MONETARY PENALTY OF \$100,000; SHALL COMPLY WITH UNDERTAKINGS. |
| BALDWIN, ELIZABETH | 07 CV 10270 | SD NY | 11/13/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |

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| BALLY LINES, LTD. | 8:07-CV-01658 | MD FL | 9/21/2007 | 4b(a)(2)(i)-(iii) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION. |
| BARTOS, ANDREW | 05-60328 | SD FL | 8/18/2006 | 4c(b) | 33.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$8,885 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$26,655; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| BAUGH, DERON | 1 03 CV-2633 | ND GA | 6/29/2006 | 4c(b) | 33.10(a) & (c) | PERMANENT INJUNCTION | RESTITUTION OF \$125,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$225,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| BAUGH, GARY | 05-61672 | SD FL | 7/16/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,400,000; CIVIL MONETARY PENALTY OF \$385,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| BAYOU MANAGEMENT, LLC | 05 CIV 8374 | SD NY | 4/3/2006 | 4o(1); 9(a)(3) | 1.16 | PERMANENT INJUNCTION | RESTITUTION & CIVIL MONETARY PENALTY TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION. |
| BAYOU MANAGEMENT, LLC | SD 06-06 | CFTC | 12/20/2006 | | | COMMISSION ORDER | CPO REGISTRATION REVOKED; DISMISSED. |
| BEACON HILL ASSET MANAGEMENT, LLC | SD 05-02 | CFTC | 7/20/2005 | | | ALJ INITIAL DECISION ON DEFAULT | COMMODITY POOL OPERATOR AND COMMODITY TRADING ADVISOR REGISTRATION REVOKED; FINAL ORDER OF COMMISSION. |
| BEASLEY, ROBERT JOSEPH | C 05 02142 | ND CAL | 8/19/2005 | 4o(1)(A)&(B) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ROBB, EVANS AND ASSOCIATES, LLC APPOINTED TEMPORARY RECEIVER. |

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| BEHR, ERNST H. | 04-2181 | WD TN | 9/27/2007 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$917,700 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$360,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; ORDER TO PAY \$800 IN ATTORNEY'S FEES. |
| 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 | 4/4/2005 | 4(a); 4b(a) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | NFA DESIGNATED AS MONITOR; STOP SOLICITATION; TRADING PROHIBITION; MOTION FOR PARTIAL SUMMARY JUDGMENT AS TO LIABILITY GRANTED; ISSUE OF DAMAGES REMAINS OPEN FOR DETERMINATION. |
| BELBECK, DANIEL | 1:04CV00911 | MD NC | 3/28/2006 | 4k(3) | | PERMANENT INJUNCTION | RESTITUTION OF \$26,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$10,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| BERG, GARY | 05-07 | CFTC | 1/18/2005 | | 4.36 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN BUSINESS DAYS. |
| BERKSHIRE INTERNATIONAL HOLDINGS GROUP, LLC | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |
| BERKSHIRE INTERNATIONAL HOLDINGS, LLC | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |
| BERKSHIRE INTERNATIONAL, LLC a/k/a BERKSHIRE INTERNATIONAL GROUP, INC. | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |

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| BIRMA, LTD. | 2:00CV00622 | D UT | 4/9/2007 | 4b(a)(i)-(iii); 4o(1); 4m(1) | 4.20(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,237,874.97 JOINTLY OWED PLUS PRE & POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS. |
| BLJ CONSULTING CORP. | 03 CV 9126 | SD NY | 11/9/2006 | | | ORDER | DISGORGEMENT OF \$684,161. |
| BODY BLASTERS | CV05 2660 | CD CAL | 12/11/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$51,938 PLUS PRE & POST JUDGMENT INTEREST TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| BOOT CAMP DIET & FITNESS, INC. | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| BP PRODUCTS NORTH AMERICA, INC. | 06C 3503 | ND IL | 6/28/2006 | | | COMPLAINT FILED | |
| BRADLEY, JEFFREY A. | 05CV62-CVE- FHM | ND GA | 5/25/2007 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$100,000 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS. |
| BRICKELL KEY FINANCIAL, LLC. | 04-22549 | SD FL | 7/14/2006 | 4b(a)(2)(i)&(iii) | 33.10 | DEFAULT ORDER | RESTITUTION OF \$114,199.74 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$360,000; STOP SOLICITATION; TRADING PROHIBITION. |
| BRISCOE AND ASSOCIATES, INC. | 05-61588 | SD FL | 11/30/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$7,975; DAN DRISCOLL DESIGNATED AS MONITOR. |
| BROCKBANK, STEPEHEN W. | 2:00CV00622 | D UT | 4/9/2007 | 4b(a)(i)-(iii); 4o(1); 4m(1) | 4.20(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,237,874.97 JOINTLY OWED PLUS PRE & POST JUDGMENT INTEREST; DISGORGEMENT OF \$300,000; CIVIL MONETARY PENALTY OF \$990,000; SHALL COMPLY WITH UNDERTAKINGS. |

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| BURSZTYN, IAN | 03 CV 9127 | SD NY | 11/7/2006 | | | ORDER | RESTITUTION OF \$12,059,480 JOINTLY OWED; DISGORGEMENT OF \$202,547.30 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| BURSZTYN, IAN | 03 CV 9128 | SD NY | 11/7/2006 | | | ORDER | RESTITUTION OF \$12,059,480 JOINTLY OWED; DISGORGEMENT OF \$202,547.30 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| BURSZTYN, IAN | 03 CV 9125 | SD NY | 11/7/2006 | | | ORDER | CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION. |
| CALVARY CURRENCIES LLC a/k/a CALVARY CURRENCY | 8:04-CV-01021- DKC | D MD | 3/9/2007 | 4b(a)(2)(i)&(iii) ; 4(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$75,000 AND CIVIL MONETARY PENALTY OF \$50,000 EACH JOINTLY OWED PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM APPLYING FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| CAMBRIDGE GLOBAL GROUP, INC. | CV 03 1826 PHX | D AZ | 2/22/2006 | 4b(A)(2)(i)&(iii)); 4(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |

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| CAMP, STEVEN M. | 07-04 | CFTC | 2/20/2007 | 4b(a)(2)(i)&(iii); 4c(b) | 33.10(a)&(c) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$120,000 TO BE PAID WITHIN TEN BUSINESS DAYS; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| CAMPBELL, DON D. | 06-60886 | SD FL | 6/20/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | PROTECT & ACCESS BOOKS & RECORDS. |
| CAPUANO, JOHN | 03 CV 9125 | SD NY | 11/7/2006 | | 1.1(b) | ORDER | DISGORGEMENT OF \$12,700 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; TRADING PROHIBITION. |
| CARL W. KING INVESTMENTS, LLP | 3-06CV1583 | ND TX | 5/22/2007 | | | JUDGMENT | RESTITUTION OF \$4,499,146.51 AND CIVIL MONETARY PENALTY OF \$449,914.65 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| CARNEGIE TRADING GROUP, LT., INC. (THE) | 1:04CV1403 | ND OH | 6/27/2006 | | | JUDGMENT | DISGORGEMENT OF \$32,850; RESTITUTION OF \$229,971.31; CIVIL MONETARY PENALTY OF \$98,550. |
| CASTILLO, GILBERT PHILIP JR | C 06 2540 | ND CAL | 2/5/2007 | 4o(1)(A)&(B); 4k(3); 4m(1) | 4.41(a)(1)&(2); 4.41(b)(1) | PERMANENT INJUNCTION | DEFAULT ORDER; JOINT OWED DISGORGEMENT OF \$814,858.89 PLUS PRE & POST JUDGMENT INTEREST; JOINT OWED CIVIL MONETARY PENALTY OF \$480,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |

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|---|------------|--------------|-------------|----------------------------|----------------------------|----------------------|--|
| CASTLE ENTERPRISE CORPORATION d/b/a WALLSTREETWAR.COM d/b/a CASTILLORESEARCH.COM d/b/a NEVER-LOSE.COM | C 06 2540 | ND CAL | 2/5/2007 | 4o(1)(A)&(B); 4k(3); 4m(1) | 4.41(a)(1)&(2); 4.41(b)(1) | PERMANENT INJUNCTION | DEFAULT ORDER; JOINT OWED DISGORGEMENT OF \$814,858.89 PLUS PRE & POST JUDGMENT INTEREST; JOINT OWED CIVIL MONETARY PENALTY OF \$480,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| CECALA, JOSEPH J., JR. | 04-2181 | WD TN | 2/1/2005 | | | CONTEMPT ORDER | VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT. |
| CENTURY MAXIM FUND, INC. | 05 CV 8422 | SD NY | 3/27/2007 | 4(a); 4b(a)(2); 6c(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$13,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; DISGORGEMENT OF \$4,547,300.91 JOINTLY OWED; AND RESTITUTION OF \$4,547,300.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR. |
| CERTIFIED FINANCIAL SERVICES, INC. | 06-60001 | SD FL | 8/16/2006 | 4c(b) | 1.1(b)&(3); 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$363,428 WITHIN TEN DAYS. |
| CHADWICK GRAYSON BAUER & CO., INC. | 05-61672 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$959,000; CIVIL MONETARY PENALTY OF \$610,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| CHARLES, CAMERON | 05-CV-2144 | CD IL | 6/23/2005 | | | COMPLAINT FILED | |
| CHASE COMMODITIES CORPORATION | SD 06-01 | CFTC | 9/13/2006 | | | COMMISSION ORDER | IB REGISTRATION REVOKED. |
| CITY TRUST AND INVESTMENT CO., INC. | CV 03-8339 | CD CAL | 4/19/2005 | 4(a); 4b(a)(2)(i)&(iii) | 1.1(b)(1)&(3) | DEFAULT ORDER | RESTITUTION OF \$3,242,106.37 AND CIVIL MONETARY PENALTY OF \$8,201,729.37 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|----------------|--------------|-------------|---------------------------------|---------------------|-----------------------------|--|
| CLEARVIEW CAPITAL MANAGEMENT, INC. | 04 cv 45 (FSH) | D NJ | 1/17/2005 | 4b(a)(2)(i)&(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$560,000 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| CLINE, RUSSELL B. | CV 03 603 | D OR | 12/19/2006 | 4b(a); 4(a) | 1.1(b) | PERMANENT INJUNCTION | RESTITUTION OF \$16,567,905; CIVIL MONETARY PENALTY OF \$16,567,905.20; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| COES FX CLEARING INC. | CV 05 2547 | ED NY | 7/21/2006 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | RESTITUTION OF \$246,601.92 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR. |
| COLDWELL PUBLISHING, INC. | 4:06CV130 | ED VA | 3/13/2007 | 4o(1) | 4.41(a)&(b) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$2,908,620.69 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$8,725,862.07; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION. |
| COLFAX MANAGEMENT GROUP, INC. (COLLECTIVELY, "ADDISON ENTERPRISE") | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| COMMERCIAL HEDGE SERVICES, INC. d/b/a PRIME TRADING COMPANY | 4:04CV3184 | D NE | 12/17/2007 | 4b(a)(2)(i)&(iii); 4o(1); 4c(b) | 166.2; 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$325,000 JOINTLY OWED WITHIN 20 DAYS; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED; 3 YEAR TRADING PROHIBITION; SHALL NOT REAPPLY FOR REGISTRATION WITH COMMISSION FOR 3 YEARS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-------------------------------------|---------------------|--------------|-------------|---------------------|---------------|-----------------------------|--|
| COMMODITY INVESTMENT GROUP, INC. | 05 CV 5741 | SD NY | 2/27/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | JOINT OWED RESTITUTION OF \$11,819,785 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$7,000,000 PLUS PRE & POST JUDGMENT INTEREST; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR. |
| COMMODITY INVESTMENT GROUP, INC. | SD 07-04 | CFTC | 10/18/2007 | | | ALJ INITIAL DECISION | IB REVOKED. |
| CONCORD ENERGY, LLC | 05-D-178 | D CO | 3/13/2007 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$800,000 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS. |
| CORNERSTONE CAPITAL MANAGEMENT, LLC | 1:07-CV-0274 | ND GA | 11/6/2007 | 4o(1); 9(a)(4) | | PERMANENT INJUNCTION | RESTITUTION & CIVIL MONETARY PENALTY TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION. |
| CORREA, PAULO R. a/k/a PAUL R. KARR | 6:07-CV-0046 | WD LA | 1/9/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| CREDIT LYONNAIS ROUSE LIMITED | 05-13 | CFTC | 8/24/2005 | 4c(a) | 1.38(a) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$85,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| CROMWELL FINANCIAL SERVICES, INC. | 06-80362-CIV-HURLEY | D NH | 10/27/2007 | 4c(b) | 33.10; 166.3 | PERMANENT INJUNCTION | RESTITUTION OF \$9,200,000 PLUS POST JUDGMENT INTEREST JOINTLY WITH TUCELLI; CIVIL MONETARY PENALTY OF \$9,200,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| CROWN, BRUCE N. | 05-60328 | SD FL | 8/18/2006 | 4c(b) | 33.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$148,756 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-----------------------------|------------|--------------|-------------|-------------------------------|---------------|-----------------------------|--|
| CROWN, BRUCE N. | 04CV3641 | ED PA | 1/31/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$645,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$705,000 PLUS POST JUDGMENT INTEREST; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| DANIO, VINCENZO ("VINCENT") | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| DANYLUK, DARRELL | 05-D-178 | D CO | 3/27/2007 | | | ORDER | MOTION TO DISMISS COMPLAINT DENIED |
| DASILVA, MAURICIO | 04 CV 7609 | SD NY | 9/21/2005 | 4(a); 4b(a)(2)(C)(i)&(iii) | 1.1(b)(1)&(3) | DEFAULT ORDER | RESTITUTION/DISGORGEMENT OF \$2,704,597 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION. |
| DAYAN, BENJI | 05-21571 | SD FL | 6/13/2005 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| DAYAN, BENJI | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--------------------|--------------|--------------|-------------|-------------------------|---------------|--------------------------------------|--|
| DBS CAPITAL, INC. | C 03-1379VRW | ND CAL | 6/17/2005 | 4(a); 4b(a)(2)(i)-(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$7,108,186.11 PLUS PRE-JUDGMENT INTEREST OF \$4,396,839.13 AND POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,191,597.43 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR; ASSET FREEZE LIFTED. |
| DE WET, JAMES | 05 CV 8401 | SD NY | 8/1/2006 | | | DEFAULT ORDER | CIVIL MONETARY PENALTY OF \$120,000; RESTITUTION OF \$828,390 & DISGORGEMENT OF \$63,070 PLUS PRE & POST JUDGMENT INTEREST; FREEZE OF ASSETS. |
| DEAN, JASON T. | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$2,143,000; CIVIL MONETARY PENALTY OF \$657,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| DEAN, JASON TODD | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| DEAN, TARA LYN | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| DELAY, TODD J. | 05-cv-5026 | ND IL | 9/29/2005 | | | COMPLAINT FILED | |
| DEMASI, ANTHONY A. | 07C 2256 | ND IL | 4/26/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|----------|--------------|-------------|---------------|---------------|--------------------------------------|---|
| DENNISTON, TOBY WAYNE II | 06-05 | CFTC | 8/7/2006 | 4b(a)(2) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$250,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$209,070 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| DESANTIS, ERIN a/k/a ERIN ROSE VALKO | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| DESANTIS, FRANK A. a/k/a JOSH ANTHONY | 06-60001 | SD FL | 1/4/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| DESANTIS, FRANK ANTHONY a/k/a JOSH ANTHONY | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$12,237,085; CIVIL MONETARY PENALTY OF \$2,562,390; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| DIAZ, RUSSELL | 04-80562 | SD FL | 1/12/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,833,470 JOINTLY OWED WITH DIAZ; DIAZ RESPONSIBLE FOR \$350,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$250,000 PLUS PRE & POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; CASE CLOSED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--------------------------|------------|--------------|-------------|----------------------------|---------------|----------------------|--|
| DINAPOLI, ANTHONY | 03 CV 9125 | SD NY | 3/23/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$557,586 JOINTLY OWED PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| DIZONA, ANTHONY | H-05-0332 | SD TX | 2/1/2005 | | | COMPLAINT FILED | |
| DOMINION RESOURCES, INC. | 06-06 | CFTC | 9/27/2006 | 9(a)(2) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$4,250,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| D'ONOFRIO, JOHN PETER | 05-61672 | SD FL | 7/16/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,400,000; CIVIL MONETARY PENALTY OF \$435,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| DOYLE, MATTHEW | 06 CV 6094 | SD NY | 6/29/2007 | 4b(a)(2) | | DEFAULT ORDER | RESTITUTION OF \$3,507,118.63 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AD MONITOR. |
| DYER, KELLY | H-05-0332 | SD TX | 11/7/2007 | 6(c); 6(d); 9(a)(2); 13(a) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$1,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|--------------|--------------|-------------|--------------------------|---------------------|-----------------------------|---|
| EDWARDS, TY | 1 05-CV 2709 | ND GA | 11/8/2005 | 4o(1); 9a(4) | 4.22(c) | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; RECEIVER IS AUTHORIZED AND DIRECTED TO DISBURSE THE SUMS OF \$16,721.54 TO WEIZENECKER, MOTTERN & FISHER, P.C.; \$8,038 TO BRENT GILLETT, ESQ.; AND \$230 TO LANDMARK CONSULTING, INC. FOR LEGAL AND ACCOUNTING SERVICES. |
| EDWARDS, TYRONE | 1 03 CV-2633 | ND GA | 6/29/2006 | 4c(b) | 33.10(a) & (c) | PERMANENT INJUNCTION | RESTITUTION OF \$250,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$200,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| EFROSMAN, ALEXSANDER a/k/a ALEX BESSER | 05 CV 8422 | SD NY | 3/27/2007 | 4(a); 4b(a)(2); 6c(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$13,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; DISGORGEMENT OF \$4,547,300.91 JOINTLY OWED; AND RESTITUTION OF \$4,547,300.91 JOINTLY OWED; NFA DESIGNATED AS MONITOR. |
| EMERALD WORLDWIDE HOLDINGS | CV03-8339 | CD CAL | 11/30/2006 | 4(a); 4b(a) | 1.1(b)(1)-(3) | PERMANENT INJUNCTION | RESTITUTION OF \$3,433,722.61; CIVIL MONETARY PENALTY OF \$9,000,000; STOP SOLICITATION; TRADING PROHIBITION. |
| E-METAL MERCHANTS, INC. | 05-21571 | SD FL | 6/13/2005 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| ENERGY TRANSFER COMPANY | 3-07CV1301-K | ND TX | 7/26/2007 | | | COMPLAINT FILED | |
| ENERGY TRANSFER PARTNERS, L.P. | 3-07CV1301-K | ND TX | 7/26/2007 | | | COMPLAINT FILED | |
| ERSKINE, ROSS | 1:040V0016 | ND OH | 4/19/2006 | | | | DISMISSED |
| ERV & ASSOCIATES, INC. | 06-60001 | SD FL | 8/16/2006 | 4c(b) | 1.1(b)&(3); 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$124,024 WITHIN TEN DAYS. |
| ETC MARKETING, LTD. | 3-07CV1301-K | ND TX | 7/26/2007 | | | COMPLAINT FILED | |

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JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|------------------------------|---------------|--------------|-------------|--|--|--------------------------------------|--|
| EULO, JAMES | 04-60744 | SD FL | 5/22/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$200,000; CIVIL MONETARY PENALTY OF \$75,000; STOP SOLICITATION; TRADING PROHIBITION. |
| EUSTACE, PAUL M. | 05 cv 2973 | ED PA | 9/19/2005 | 4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1) | 33.10; 4.41(a)(1)&(2); 4.20(a)-(c) | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; C. CLARK HODGSON, JR APPOINTED PERMANENT RECEIVER. |
| EVORS, EDWARD J. | 8:07-CV-01658 | MD FL | 9/21/2007 | 4b(a)(2)(i)-(iii) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION. |
| EXECUTIVE COMMODITY CORP. | 06-60886 | SD FL | 6/20/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | PROTECT & ACCESS BOOKS & RECORDS. |
| FALCO & STEVENS, INC. | 06 CV 1692 | SD NY | 12/18/2006 | 4(a); 4(b)(a)(2)(C)(i) &(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | DEFAULT ORDER; JOINT OWED RESTITUTION OF \$4,464,607.91 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| FED AND ASSOCIATES, LLC. | 05-61588 | SD FL | 11/30/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$155,000; DAN DRISCOLL DESIGNATED AS MONITOR. |
| FERRINI, PHIL | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$320,000; CIVIL MONETARY PENALTY OF \$152,178; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| FINANCIAL RISK INTERNATIONAL | 06-61812 | SD FL | 1/26/2007 | 4c(b) | 1.1(b); 32.9(a)&(c) | PRELIMINARY INJUNCTION | |
| FINANCIAL RISK MANAGEMENT | 06-61812 | SD FL | 1/26/2007 | 4c(b) | 1.1(b); 32.9(a)&(c) | PRELIMINARY INJUNCTION | |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|------------|--------------|-------------|-------------------------------|---------------|--------------------------------------|---|
| FIRST AMERICAN INVESTMENT SERVICES, INC. | 04-60744 | SD FL | 5/22/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$7,983,388; CIVIL MONETARY PENALTY OF \$1,000,000; STOP SOLICITATION; TRADING PROHIBITION. |
| FIRST INTERNATIONAL GROUP, INC. | 06-20979 | SD FL | 4/18/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |
| FIRST LIBERTY GROUP, INC. | 04 CV 7609 | SD NY | 9/21/2005 | 4(a); 4b(a)(2)(C)(i)&(iii) | 1.1(b)(1)&(3) | DEFAULT ORDER | RESTITUTION/DISGORGEMENT OF \$2,704,597 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION. |
| FITZGERALD, LEIZA | 99 CV 1558 | MD FL | 10/19/2006 | | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$25,000. |
| FLAVELL, BERNADETTE | 05C 5263 | ND IL | 4/23/2007 | | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$100,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--------------------|--------------|--------------|-------------|---------------|---------------|----------------------|---|
| FLEURY, GIOVANNI | 03-61199 | SD FL | 3/9/2005 | | | ORDER | PLAINTIFF'S MOTION FOR PRELIMINARY INJUNCTION DENIED; STATUTORY RESTRAINING ORDERS LIFTED; RECEIVER'S VERIFIED MOTION FOR ORDER TO SHOW CAUSE WHY HE SHOULD NOT BE ADJUDGED IN CIVIL CONTEMPT FOR FAILING TO SURRENDER CORPORATE PROPERTY DENIED; DEFENDANT FLEURY'S MOTION FOR RIGHT TO KEEP ALL EARNINGS MADE AFTER 6/30/03 GRANTED; BECAUSE THE STATUTORY RESTRAINING ORDERS ARE LIFTED, WASHINGTON MUTUAL BANK'S AND DEUTSCHE BANK NATIONAL TRUST COMPANY'S MOTION FOR LEAVE TO FORECLOSE A MORTGAGE SECURING PROPERTY OF INTEREST TO FLEURY IS DENIED AS MOOT. |
| FOLEY, JOSEPH | 2:05 cv 849 | SD OH | 9/28/2006 | | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$350,000 TO BE PAID WITHIN TEN BUSINESS DAYS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| FOLINA, TINA NOA | 8:03-CV-54-T | MD FL | 3/30/2005 | | | FINAL JUDGMENT | RESTITUTION OF \$2,316,859.17 JOINTLY OWED WITH OTHER DEFENDANTS; LIABLE FOR \$378,894.60 OF THAT AS DISGORGEMENT OF ILL-GOTTEN GAINS. |
| FOLINO, WILLIAM A. | 8:03-CV-54-T | MD FL | 4/4/2005 | 4(a); 4b(a) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | NFA DESIGNATED AS MONITOR; STOP SOLICITATION; TRADING PROHIBITION; MOTION FOR PARTIAL SUMMARY JUDGMENT AS TO LIABILITY GRANTED; ISSUE OF DAMAGES REMAINS OPEN FOR DETERMINATION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|---------------------|--------------|-------------|-------------------------|---------------|--------------------------------------|--|
| FOREFRONT INVESTMENTS CORP. d/b/a CFG TRADER | 3:07CV152 | ED VA | 3/27/2007 | 4f(b); 4f(a)(1) | 1.17; 1.18 | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; BRUCE MATSON OF LECLAIR RYAN, PC APPOINTED TEMPORARY RECEIVER. |
| FOREFRONT INVESTMENTS LIMITED PARTNERSHIP | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| FOREIGN FUND a/k/a FIRST BANK, RON MEALING, AND JOHN SHIRCK | 04 CIV 3 04 0898 | MD TN | 3/30/2005 | 4b(a)(2)(i)&(iii); 4(a) | 1.1(b)(1)&(3) | PRELIMINARY INJUNCTION | STOP SOLICITATION; MANDATES OF 10/5/04 STATUTORY RESTRAINING ORDER SHALL CONTINUE PENDING FURTHER ORDER OF COURT. |
| FOREX LIQUIDITY LLC | SACV 07-1437 CJC | CD CAL | 12/14/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; ROBB EVANS & ASSOCIATES LLC IS APPOINTED TEMPORARY RECEIVER. |
| FORINEX INVESTMENT CORP. | 05-61903 | SD FL | 5/8/2007 | 4b(a); 4(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION & DISGORGEMENT OF \$3,138,067.57; CIVIL MONETARY PENALTY OF \$9,928,999.80; POST JUDGMENT INTEREST OWED FOR EACH; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| FREE STAR CAPITAL, INC. | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|--------------|--------------|-------------|---|------------------------|-----------------------------|--|
| FREMER, CHARLES | 04-80132 | SD FL | 5/30/2006 | 13c(b); 6(c) | 1.2 | FINAL JUDGMENT | RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$352,011; STOP SOLICITATION; TRADING PROHIBITION. |
| FRIEDLANDER CAPITAL MANAGEMENT CORPORATION | 03 CV 8319 | SD NY | 2/20/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m(1); 4k(2); 4n(4) | 3.12; 4.21; 4.22; 4.20 | PERMANENT INJUNCTION | RESTITUTION OF \$2,032,674 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| FRIEDLANDER, BURTON G. | 03 CV 8319 | SD NY | 2/20/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m(1); 4k(2); 4n(4) | 3.12; 4.21; 4.22; 4.20 | PERMANENT INJUNCTION | RESTITUTION OF \$2,032,674 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| FRISONE, ANTHONY MICHAEL | CV 05 2547 | ED NY | 4/12/2007 | 4b(a)(2)(i)&(iii) | 1.1(b)(1)-(3) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| FUZZY GROUP (THE) | 03 CV 9126 | SD NY | 11/6/2006 | | | ORDER | DISGORGEMENT OF \$81,000 WITHIN 90 DAYS; ALL PRIOR FREEZE ORDERS ARE DISSOLVED. |
| FX TRADING, LLC | 05-5722 | D NJ | 12/8/2005 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| FxTRADE FINANCIAL, LLC | 04-2181 | WD TN | 9/27/2007 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$917,700 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$2,640,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; ORDER TO PAY \$297 IN ATTORNEY'S FEES. |
| G, HAWKER & STONE, LLC | 2:03 CV-0260 | D UT | 3/29/2006 | | | SUPPLEMENTAL ORDER | RESTITUTION OF \$245,163.47 PLUS POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$120,000 EACH JOINTLY OWED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-------------------------------------|---------------------|--------------|-------------|---------------------------------|-------------------------------|--------------------------------|--|
| G7 ADVISORY SERVICES, LLC | 05-80313 | SD FL | 10/31/2006 | 4c(b) | 1.1(b)(1)&(3); 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$2,100,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| GAHMA CORPORATION | 2:00CV00622 | D UT | 4/9/2007 | 4b(a)(i)-(iii); 4o(1); 4m(1) | 4.20(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$364,672.15 PLUS PRE & POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS. |
| GALE, RANDOLPH dba BEAR INVEST FUND | 04-08889 | CD CAL | 6/16/2005 | 4k(2) | | PERMANENT INJUNCTION | STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| GALLITANO, STEPHANIE ANN | 06-61812 | SD FL | 1/26/2007 | 4c(b) | 1.1(b); 32.9(a)&(c) | PRELIMINARY INJUNCTION | |
| GARCIA, MARIO | 6:07-CV-0046 | WD LA | 1/9/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| GEE, DENNIS | 06-80362-CIV-HURLEY | D NH | 10/27/2007 | 4c(b) | 33.10; 166.3 | PERMANENT INJUNCTION | RESTITUTION OF \$523,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| GEMANCER II, INC. | CV05 2660 | CD CAL | 12/11/2006 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$3,000,000 PLUS PRE & POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$9,000,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|----------------------------------|-----------|--------------|-------------|---------------|--|----------------------|--|
| GEMANCER, INC. | CV05 2660 | CD CAL | 12/11/2006 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$3,000,000 PLUS PRE & POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$9,000,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| GERAUD ENTERPRISES, INC. | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$49,100; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |
| GERAUD, MICHEL a/k/a MIKE JERAUX | 05-80313 | SD FL | 10/31/2006 | 4c(b) | 1.1(b)(1)&(3); 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$2,100,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| GIBRALTAR MONETARY CORPORATION | 04-80132 | SD FL | 6/14/2006 | | | | RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$120,000. |
| GILMARTIN, THOMAS | 08-02 | CFTC | 12/26/2007 | 4g | 1.35(a-1)(1); 166.3 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$250,000; SHALL NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|-------------------|--------------|-------------|---------------|---------------|----------------------|---|
| GIOVANNI FLEURY INVESTMENTS | 03-61199 | SD FL | 3/9/2005 | | | ORDER | PLAINTIFF'S MOTION FOR PRELIMINARY INJUNCTION DENIED; STATUTORY RESTRAINING ORDERS LIFTED; RECEIVER'S VERIFIED MOTION FOR ORDER TO SHOW CAUSE WHY HE SHOULD NOT BE ADJUDGED IN CIVIL CONTEMPT FOR FAILING TO SURRENDER CORPORATE PROPERTY DENIED; DEFENDANT FLEURY'S MOTION FOR RIGHT TO KEEP ALL EARNINGS MADE AFTER 6/30/03 GRANTED; BECAUSE THE STATUTORY RESTRAINING ORDERS ARE LIFTED, WASHINGTON MUTUAL BANK'S AND DEUTSCHE BANK NATIONAL TRUST COMPANY'S MOTION FOR LEAVE TO FORECLOSE A MORTGAGE SECURING PROPERTY OF INTEREST TO FLEURY IS DENIED AS MOOT. |
| GLASE, JOHN | 1:04CV1403 | ND OH | 6/27/2006 | | | JUDGMENT | DISGORGEMENT OF \$32,850; RESTITUTION OF \$229,971.31; CIVIL MONETARY PENALTY OF \$98,550. |
| GLOBAL ASSET PARTNERS, LTD. a/k/a GLOBAL ASSET PARTNERS, LLC | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |
| GLOBAL ATLANTIC MANAGEMENT, INC. d/b/a WORLDWIDE FOREX, INC. AND WORLDWIDE COMMODITY CORP. | 04-60797 | SD FL | 5/24/2007 | 4b(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$3,100,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,100,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| GLOBAL CURRENCY TRADING FUND, LLC | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |
| GLOBAL CURRENCY TRADING GROUP, LLC | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--------------------------------|----------------|--------------|-------------|-------------------------|---------------|--------------------------------------|---|
| GLOBAL MANAGEMENT GROUP | CV 03 1826 PHX | D AZ | 2/22/2006 | 4b(A)(2)(i)&(iii); 4(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| GLOBAL TELECOM, INC. | 01-18 | CFTC | 10/4/2005 | | | COMMISSION ORDER | CIVIL MONETARY PENALTY OF \$220,000; THE REVOCATION OF THE COMPANY'S REGISTRATION, A THREE-YEAR TRADING BAN, AND A C&D ORDER SANCTION IMPOSED BY THE ALJ ON 1/17/03 AND NOT APPEALED SHALL STAND. |
| GOLDMAN, SAMMY JOE | 07-61058 | SD FL | 7/30/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; BRUCE MATSON OF LECLAIR RYAN APPOINTED TEMPORARY RECEIVER. |
| GOROS, LLC | 1:040V0016 | ND OH | 4/19/2006 | | | | DISMISSED |
| GPS FUND, LTD. | 8:07-CV-01658 | MD FL | 9/21/2007 | 4b(a)(2)(i)-(iii) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION. |
| GREG ALLOTTA ENTERPRISES, INC. | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| GUARINO, NICHOLAS A., JR. | 03-2193 | D KS | 7/11/2006 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$2,374,582 AND CIVIL MONETARY PENALTY OF \$7,123,746 EACH JOINTLY OWED; TRADING PROHIBITION. |
| GUTHRIE, TODD | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| HAINKE & ANDERSON TRADING LLC | 07 Civ 2770 | SD NY | 4/5/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|--------------|--------------|-------------|--|----------------------------|-----------------------------|---|
| HAMLIN MERCER GROUP, INC. | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| HARP, ROBERT | H-05-0332 | SD TX | 11/7/2007 | 6(c); 6(d); 9(a)(2); 13(a) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$1,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| HARRINGTON ADVISORY SERVICES SLU a/k/a HARRINGTON GROUP, INC. | 05-61588 | SD FL | 11/30/2006 | 4o(1)(A)&(B); 4k(3); 4m(1) | 4.41(a)(1)&(2); 4.41(b)(1) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$9,555,041 AND CIVIL MONETARY PENALTY OF \$9,500,000 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL DESIGNATED AS MONITOR. |
| HARRIS, CHARLES LEE | 04C 5723 | ND IL | 2/9/2006 | 4b(a)(i)-(iii); 4c(b); 4o(1); 4k(2); 4m(1) | 33.10 | PERMANENT INJUNCTION | PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$13,904,331.14 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$7,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED. |
| HAWKER, BRYAN KEITH | 2:03 CV-0260 | D UT | 3/29/2006 | | | SUPPLEMENTAL ORDER | RESTITUTION OF \$245,163.47 PLUS POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$120,000 EACH JOINTLY OWED. |
| HAYES, MICHAEL | 4:06cv130 | ED VA | 3/13/2007 | 4o(1) | 4.41(a)&(b) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$2,908,620.69 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|----------------|--------------|-------------|-------------------------------------|----------------------------|------------------------|---|
| HAYNES, SHAD THOMAS | 04-80562 | SD FL | 1/12/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,284,855 JOINTLY OWED WITH HAYNES; HAYNES RESPONSIBLE FOR \$325,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$125,000 PLUS PRE & POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; CASE CLOSED. |
| HEFFERNAN, GEORGE a/k/a GEORGE W. MARSHALL | 4 04 23302 25 | D SC | 1/11/2005 | 4o(1); 4m(1) | 4.41(a) | PRELIMINARY INJUNCTION | ACCOUNT ORDER; STOP SOLICITATION. |
| HEPPNER, ANTHONY J. | 02-1783 | D MN | 9/5/2007 | | | | ORDER REQUIRING RELEASE OF \$209,127.10 FOR THE PAYMENT OF RESTITUTION ORDERED. |
| HOFFMAN, PETER D. | 06C 6473 | ND IL | 12/13/2006 | 4b(a)(2)(i)&(iii) ; 4c(b); 4o(1) | 33.10; 4.41(a)(9) | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION. |
| HOLMAN, EDDIE JR. d/b/a C- THRU INC. | 06-07 | CFTC | 9/27/2006 | 4o | 4.13(c)(1)&(3); 4.20(c) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$240,000; RESTITUTION OF \$146,600 TO BE PAID WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| HOLT, RONALD STEPHEN | CV 03 1826 PHX | D AZ | 2/22/2006 | 4b(A)(2)(i)&(iii)); 4(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| HOUSTON PIPELINE COMPANY | 3-07CV1301-K | ND TX | 7/26/2007 | | | COMPLAINT FILED | |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|------------------------|-------------|--------------|-------------|---------------|--|--------------------------------------|---|
| HPR COMMODITIES | 07 CV 2379 | SD NY | 8/1/2007 | 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$4,085,880 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$130,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| HUNTER, BRIAN | 07 CIV 6682 | SD NY | 7/25/2007 | | | COMPLAINT FILED | |
| HUSAIN, SULAIMAN "SAL" | 07-61058 | SD FL | 7/30/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; BRUCE MATSON OF LECLAIR RYAN APPOINTED TEMPORARY RECEIVER. |
| IANNUZZI, ANTHONY | 03 CV 9129 | SD NY | 11/9/2006 | | | | DISGORGEMENT OF \$970,573 AND RESTITUTION OF \$970,573 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER. |
| IANNUZZI, ANTHONY | 03 CV 9125 | SD NY | 11/9/2006 | | | ORDER | DISGORGEMENT OF \$1,700 AND RESTITUTION OF \$447,314 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER. |
| IMS HOLDINGS, LLC | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|---------------|--------------|-------------|---------------|--------------------------------------|----------------------|---|
| INFOREX, LTD. | 3-05 CV 0416M | ND TX | 1/26/2007 | 4c(b) | 1.1(b); 32.9; 32.11 | PERMANENT INJUNCTION | JOINT OWED RESTITUTION OF \$12,374,104 PLUS POST JUDGMENT INTEREST; JOINT OWED CIVIL MONETARY PENALTY OF \$37,122,312 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; KELLY CRAWFORD APPOINTED RECEIVER. |
| INTERACTIVE BROKERS, LLC | 07-07 | CFTC | 7/17/2007 | | 166.3 | COMMISSION ORDER | CEASE & DESIST ORDER; DISGORGEMENT OF \$175,000 WO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| INTERNATIONAL BERKSHIRE GROUP HOLDINGS, INC. | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |
| INTERNATIONAL COMMODITY CLEARING, LLC | 05 CV 5741 | SD NY | 2/27/2007 | | | PERMANENT INJUNCTION | JOINT OWED RESTITUTION OF \$11,819,785 JOINTLY OWED. |
| INTERNATIONAL ENERGY EXCHANGE | 07 CV 2378 | SD NY | 7/23/2007 | 4(a); 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$3,995,823 JOINTLY POWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|----------------|--------------|-------------|-------------------------|--------------------------------------|----------------------|--|
| INTERNATIONAL FOREX ADVISORY GROUP | 05 CV 4819 | SD NY | 11/4/2005 | 4c(b) | 1.1(b) | DEFAULT ORDER | RESTITUTION OF \$2,701,960 PLUS PRE & POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$3,178,530 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION. |
| INTERNATIONAL FUNDING ASSOCIATION, INC. | CV 03 1826 PHX | D AZ | 2/22/2006 | 4b(A)(2)(i)&(iii); 4(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$15,963,433 AND CIVIL MONETARY PENALTY OF \$15,963,433 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| INTERNATIONAL IMS GROUP HOLDINGS, INC., a/k/a IMS HOLDINGS, INC. a/k/a IMS GROUP HOLDINGS, INC. | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |
| INTERNATIONAL INVESTMENTS HOLDINGS CORPORATION | 05-61588 | SD FL | 11/30/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$1,350,000; DAN DRISCOLL DESIGNATED AS MONITOR. |
| INTERNATIONAL INVESTMENTS HOLDINGS CORPORATION | 06-60001 | SD FL | 8/16/2006 | 4c(b) | 1.1(b)&(3); 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$6,060,000 PLUS POST JUDGMENT INTEREST WITHIN TEN DAYS; CIVIL MONETARY PENALTY OF \$6,060,000 WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| INVERTRUST, INC. | 05-61903 | SD FL | 5/8/2007 | 4b(a); 4(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION & DISGORGEMENT OF \$1,506,634.86; CIVIL MONETARY PENALTY OF \$4,767,068.13; POST JUDGMENT INTEREST OWED FOR EACH; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|------------------------------|--------------|--------------|-------------|----------------|---------------|--------------------------------------|--|
| INVESTORS FREEDOM CLUB, L.C. | 8:03-CV-54-T | MD FL | 4/4/2005 | 4(a); 4b(a) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | NFA DESIGNATED AS MONITOR; STOP SOLICITATION; TRADING PROHIBITION; MOTION FOR PARTIAL SUMMARY JUDGMENT AS TO LIABILITY GRANTED; ISSUE OF DAMAGES REMAINS OPEN FOR DETERMINATION. |
| ISB CLEARING CORPORATION | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| ISB CLEARING CORPORATION | 03 CV 9127 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| ISRAEL, SAMUEL II | 05 CIV 8374 | SD NY | 4/3/2006 | 4o(1); 9(a)(3) | 1.16 | PERMANENT INJUNCTION | RESTITUTION & CIVIL MONETARY PENALTY TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION. |
| ISRAEL, SAMUEL II | SD 06-03 | CFTC | 8/21/2006 | | | COMMISSION ORDER | AP REVOKED; SHALL COMPLY WITH UNDERTAKINGS. |
| JAIN, KANTA NATH | 07 Civ 2770 | SD NY | 4/5/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|-------------|--------------|-------------|---------------|----------------------|--------------------------------------|---|
| JAIN, NARESH KUMAR | 07 Civ 2770 | SD NY | 4/5/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |
| JASON'S ROOFING AND WATERPROOFING, INC. | 06-60001 | SD FL | 8/16/2006 | 4c(b) | 1.1(b)&(3); 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$529,340 WITHIN TEN DAYS. |
| JEDLICKI, JEFFERY PAUL | 05-61588 | SD FL | 10/12/2007 | 4c(b) | 1.1(b)(1)&(3); 1a(4) | PERMANENT INJUNCTION | RESTITUTION & CIVIL MONETARY OF 4405,682.04 EACH PLUS POST JUDGMENT INTEREST DUE WITHIN TEN BUSINESS DAYS; DAN DRISCOLL DESIGNATED AS MONITOR. |
| JEDLICKI, JEFFREY P. | 06-60001 | SD FL | 9/28/2006 | | | | DISGORGEMENT OF \$100,000 TO BE PAID WITHIN TEN DAYS PLUS POST JUDGMENT INTEREST; GERALD B. WALD APPOINTED AS MONITOR. |
| JEDLICKI, JEFFREY P. a/k/a JEFFREY PAUL | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$2,000,000; CIVIL MONETARY PENALTY OF \$500,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| JEDLICKI, TIRTZA | 06-60001 | SD FL | 9/28/2006 | | | | DISGORGEMENT OF \$16,000 TO BE PAID WITHIN TEN DAYS PLUS POST JUDGMENT INTEREST; GERALD B. WALD APPOINTED AS MONITOR. |
| JEFFERY JEDLICKI, INC. | 05-61588 | SD FL | 10/12/2007 | | | PERMANENT INJUNCTION | DISGORGEMENT OF \$347,586.76 PLUS POST JUDGMENT INTEREST DUE WITHIN TEN BUSINESS DAYS; DAN DRISCOLL DESIGNATED AS MONITOR. |
| JEN, LYNNWOOD | CV03-8339 | CD CAL | 11/29/2006 | | | ORDER | DISGORGEMENT OF \$10,000 PLUS POST JUDGMENT INTEREST. |
| JIMENEZ, ALBERTO J. | 06-60886 | SD FL | 12/15/2006 | 4c(b) | 33.10 | PRELIMINARY INJUNCTION | PROTECT & ACCESS BOOKS & RECORDS. |
| JOE VALKO ENTERPRISES, INC. | 06-60001 | SD FL | 8/16/2006 | 4c(b) | 1.1(b)&(3); 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$70,116 WITHIN TEN DAYS. |
| JOHN TADDEO ENTERPRISES, INC. | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---------------------------|------------|--------------|-------------|-------------------------------|----------------|-------------------------|---|
| JOHNSON, DENETTE | H-05-0332 | SD TX | 11/7/2007 | 6(c); 6(d); 9(a)(2); 13(a) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$1,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| JOHNSON, EDWARD T. | 04-80132 | SD FL | 5/30/2006 | 13c(b); 6(c) | 1.2 | FINAL JUDGMENT | RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$191,367; STOP SOLICITATION; TRADING PROHIBITION. |
| JOHNSON, G. VICTOR | 04-29 | CFTC | 6/13/2005 | | 1.16(d)(1) | COMMISSION ORDER | CEASE & DESIST ORDER; JOINTLY OWE CIVIL MONETARY PENALTY OF \$150,000, DISGORGEMENT OF \$13,200 AND RESTITUTION OF \$200,00; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED. |
| JSG FREIGHT SYSTEMS, INC. | 03 CV 9126 | SD NY | 11/9/2006 | | | ORDER | DISGORGEMENT OF \$417,537. |
| KAHN, LARRY | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$525,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| KARKAZIS, HARRY | 07-01 | CFTC | 12/27/2006 | 4b(a)(1)(iv) | 1.35(d)(6)&(7) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$35,000 TO BE PAID WITHIN TEN DAYS; FLOOR BROKER REGISTRATION SUSPENDED FOR THREE MONTHS; SHALL COMPLY WITH UNDERTAKINGS. |
| KAULENTIS, DEAN J. | SD 05-05 | CFTC | 8/1/2005 | | | COMMISSION ORDER | FLOOR BROKER REGISTRATION SUSPENDED FOR SIX WEEKS AND THEN RESTRICTED FOR THREE YEARS AFTER SUSPENSION IS LIFTED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-------------------------|-------------------|--------------|-------------|----------------------------|-----------------------------|--------------------------------------|---|
| KEEFFE, ARTHUR JOHN, II | 8:04-CV-01021-DKC | D MD | 3/9/2007 | 4b(a)(2)(i)&(iii); 4(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$75,000 AND CIVIL MONETARY PENALTY OF \$50,000 EACH JOINTLY OWED PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM APPLYING FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| KEESEE, TOM | 06-20979 | SD FL | 4/18/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |
| KELLY, DAVID PAUL, II | 03-74206 | ED MI | 6/8/2005 | 4k(2) | | DEFAULT ORDER | DISGORGEMENT OF \$49,300 AND CIVIL MONETARY PENALTY OF \$110,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| KENNEDY, THOMAS C. | 06-60886 | SD FL | 6/20/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | PROTECT & ACCESS BOOKS & RECORDS. |
| KING, CARL W. | 3-06CV1583 | ND TX | 5/22/2007 | | | JUDGMENT | RESTITUTION OF \$4,499,146.51 AND CIVIL MONETARY PENALTY OF \$449,914.65 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| KINGSFIELD, PAMELA | 3:00cv103-V | WD NC | 10/25/2006 | | | ORDER | DISGORGEMENT OF \$175,000. |
| KIS, CHRISTIAN | 3 06 0935 | MD TN | 10/17/2006 | 4b(a)(2)(ii); 4m(1); 4o(1) | 4.20(a-b); 4.21; 4.30; 4.31 | PRELIMINARY INJUNCTION | OCTOBER 6, 2006 STATUTORY RESTRAINING ORDER REMAINS IN FULL FORCE & EFFECT - FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| KLINE, JAYSON S. | 04-80132 | SD FL | 5/30/2006 | 13c(b); 6(c) | 1.2 | FINAL JUDGMENT | RESTITUTION OF \$2,752,377.50 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; STOP SOLICITATION; TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|--------------|--------------|-------------|----------------|---------------|------------------------|---|
| KLOTZ, MONETTE | 1 05 CV 0166 | WD MI | 6/1/2006 | | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION. |
| KLOTZ, TY | 1 05 CV 0166 | WD MI | 6/1/2006 | | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; FREEZE & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION. |
| KNOWLES, STEVEN D. | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$3,515,000; CIVIL MONETARY PENALTY OF \$785,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| KNOWLES, STEVEN D. | 04-60744 | SD FL | 5/22/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$1,600,000; CIVIL MONETARY PENALTY OF \$400,000; STOP SOLICITATION; TRADING PROHIBITION. |
| KOROBOV, MICHAEL | 03 CV 9126 | SD NY | 11/6/2006 | 4b(a)(2); 4(a) | 1.1(b) | PERMANENT INJUNCTION | RESTITUTION OF \$6,800,951 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; ALL PRIOR FREEZE ORDERS ARE DISSOLVED. |
| KUHNEY, LINDA a/k/a LINDA REINMAN ENZINNA | 05 CV 5741 | SD NY | 2/27/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,250,000; CIVIL MONETARY PENALTY OF \$250,000 PLUS PRE & POST JUDGMENT INTEREST; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR. |
| KUHNEY, MICHAEL a/k/a MICHAEL KIRKNEY | 05 CV 5741 | SD NY | 2/27/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,250,000; CIVIL MONETARY PENALTY OF \$250,000 PLUS PRE & POST JUDGMENT INTEREST; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR. |

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JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|---------------|--------------|-------------|------------------------------|------------------|------------------------|---|
| LABELL, STEVEN | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$525,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| LABELL, STEVEN | 04-60797 | SD FL | 5/24/2007 | 4b(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$1,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$126,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| LAKE DOW CAPITAL, LLC a/k/a CLIFFORD, EDWARDS, AND TAYLOR | 1 05-CV 2709 | ND GA | 11/8/2005 | 4o(1); 9a(4) | 4.22(c) | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; RECEIVER IS AUTHORIZED AND DIRECTED TO DISBURSE THE SUMS OF \$16,721.54 TO WEIZENECKER, MOTTERN & FISHER, P.C.; \$8,038 TO BRENT GILLETT, ESQ.; AND \$230 TO LANDMARK CONSULTING, INC. FOR LEGAL AND ACCOUNTING SERVICES. |
| LAKE SHORE ASSET MANAGEMENT LIMITED | 1:07-cv-03598 | ND IL | 8/28/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4n | 1.31; 4.23; 4.33 | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| LANIER, RANDY STEVE | 5:05-cv-516 | WD OK | 3/30/2006 | 4b(a)(2)(i)-(iii); 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$110,860; CIVIL MONETARY PENALTY OF \$120,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| LAROCCA, ROBERT | 04-80562 | SD FL | 1/12/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; CASE CLOSED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|-------------------|--------------|-------------|--|---------------|-----------------------------|---|
| LARSON, KEVIN D. | 06-01 | CFTC | 12/22/2005 | 4o(1)(B) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; ASSOCIATED PERSON REGISTRATION REVOKED; PROHIBITED FROM TRADING FOR 18 MONTHS; SHALL COMPLY WITH UNDERTAKINGS. |
| LAUREN, LEA | 05-61672 | SD FL | 7/16/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$208,000; CIVIL MONETARY PENALTY OF \$138,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| LAVIN, JOSEPH CLARK a/k/a JOSEPH ICEVIC | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |
| LAVIN, REBECCA | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |
| LAWLESS, JOHN D. | 05-cv-5026 | ND IL | 9/29/2005 | | | COMPLAINT FILED | |
| LEE, JOHN DANIEL | 03-74206 | ED MI | 6/8/2005 | 4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4k(2) | 33.10 | | RESTITUTION OF \$1,692,501 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$550,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| LEON, ADAM | 1:05cv492 | ED VA | 11/1/2006 | | | ORDER | JOINT OWED RESTITUTION OF \$287,660; ALL OTHER PROVISIONS OF THE 9/15/06 ORDER SHALL REMAIN AS ORIGINALLY WRITTEN. |
| LERNER, ALAN | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| LEVY, JAY M. | 05-80002 | SD FL | 5/19/2006 | 4c(b) | 33.10 | FINAL JUDGMENT | RESTITUTION OF \$146,350.88 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$600,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION. |

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JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|----------|--------------|-------------|---|---------------|-----------------------------|---|
| LIBERTY FINANCIAL TRADING CORPORATION, INC. | 04-61235 | SD FL | 4/24/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$9.783 MILLION PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; CIVIL MONETARY PENALTY OF \$6,000,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| LIBERTY MUTUAL GROUP, INC. (THE) | 07-21267 | SD FL | 5/16/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| LIBERTY ONE ADVISORS, LLC | 05-60928 | SD FL | 6/27/2006 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| LIBERTY REAL ASSETS MANAGEMENT CORPORATION | 04-61235 | SD FL | 4/24/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$9.783 MILLION PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| LIGHTHOUSE CAPITAL MANAGEMENT, LLC | 05-60928 | SD FL | 6/27/2006 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| LISKIEWICZ, MICHAEL J. | 06-04 | CFTC | 6/12/2006 | 4b(a)(a)(2)(i)-(iii); 4o(1)(A)&(B); 4m(1) | 4.20; 4.21 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
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| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|-------------|--------------|-------------|--|----------------------|------------------------|---|
| LOCHMANN, VICTOR | 05-12 | CFTC | 8/29/2006 | 4b(a)(2)(i)&(iii) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$19,146; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DISMISSED WITH PREJUDICE AND TERMINATED IN ITS ENTIRETY. |
| LONGBOAT GLOBAL FUNDS MANAGEMENT, LLC | C 05 02142 | ND CAL | 8/19/2005 | 4o(1)(A)&(B) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ROBB, EVANS AND ASSOCIATES, LLC APPOINTED TEMPORARY RECEIVER. |
| LONGHORN FINANCIAL ADVISORS, LLC. | 1:04CV00911 | MD NC | 3/28/2006 | 4b(a)(2)(i)&(iii); 4o(1); 4k(3); 4m(1) | 4.41(a); 4.31(a)&(b) | PERMANENT INJUNCTION | RESTITUTION OF \$308,439.76 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| LOVE, CAROL J. a/k/a CAROL L. ZIMMERMAN | 2:00CV00622 | D UT | 4/9/2007 | 4b(a)(i)-(iii); 4o(1); 4m(1) | 4.20(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,237,874.97 JOINTLY OWED PLUS PRE & POST JUDGMENT INTEREST; DISGORGEMENT OF \$28,000; SHALL COMPLY WITH UNDERTAKINGS. |
| LOVETT, BRETT E. individually and d/b/a NORTHWEST ASSET FUND | CV05-5074 | CD CAL | 11/20/2007 | 4b(a)(2)(i)-(iii) | | PERMANENT INJUNCTION | RESTITUTION OF \$315,943 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$320,000; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| LU, HAO JAN | CV03-8339 | CD CAL | 9/27/2007 | 4b(a)(2)(i)&(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$1,092,925.38 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$65,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION. |

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JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---------------------------------|------------|--------------|-------------|----------------|---------------|----------------------|--|
| LUI, PAK TONG a/k/a PATRICK LUI | 07-06 | CFTC | 4/25/2007 | 4c(a); 4m(1) | 1.38(a) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000 TO BE PAID WITHIN TEN BUSINESS DAYS; RESTITUTION OF \$55,505; SHALL NOT APPLY FOR REGISTRATION FOR A PERIOD OF FOUR YEARS; SHALL COMPLY WITH UNDERTAKINGS. |
| MACHATA, ANDREW | 06-08 | CFTC | 9/27/2006 | 4c(e) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$130,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS. |
| MADDOX, HUGH J. | 05-10 | CFTC | 6/9/2005 | 4b(a)(i)&(iii) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$31,000; PROHIBITED FROM TRADING FOR HIS OWN ACCOUNT FOR 1 YEAR; RESTITUTION OF \$25,000; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| MADISON DEAN & ASSOCIATES, INC. | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|----------------------------------|--------------|--------------|-------------|---|------------------------------|----------------------|--|
| MADISON DEAN ASIA CORPORATION | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| MADISON FOREX INTERNATIONAL, LLC | 05-61672 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$3,600,000; CIVIL MONETARY PENALTY OF \$2,100,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| MAGGIO, JAMES ANTHONY | C 05 5766RJB | WD WA | 11/25/2005 | | | COMPLAINT FILED | |
| MAGNUM CAPITAL INVESTMENTS, LTD. | 04CV1512 | D NJ | 6/28/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m; 4k(2) | 4.20(c); 4.21; 4.22; 4.30 | PERMANENT INJUNCTION | JOINTLY OWE RESTITUTION OF \$17,871,012; JOINTLY OWE CIVIL MONETARY PENALTY OF \$11,378,735; STOP SOLICITATION; TRADING PROHIBITION. |
| MAGNUM INVESTMENTS, LTD. | 04CV1512 | D NJ | 6/28/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m; 4k(2) | 4.20(c); 4.21; 4.22; 4.30 | PERMANENT INJUNCTION | JOINTLY OWE RESTITUTION OF \$17,871,012; JOINTLY OWE CIVIL MONETARY PENALTY OF \$11,378,735; STOP SOLICITATION; TRADING PROHIBITION. |
| MAIN, BRIAN | CV05 2660 | CD CAL | 4/25/2007 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$207,772; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| MALCOLMSON; ERIC SCOTT | 04-80862 | SD FL | 12/5/2005 | 4c(b) | | FINAL JUDGMENT | CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|--------------|--------------|-------------|---|----------------|------------------------|---|
| MAN FINANCIAL INC. | 07-04 | CFTC | 2/20/2007 | | 166.3 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$120,000 TO BE PAID WITHIN TEN BUSINESS DAYS; RESTITUTION OF \$196,900.44 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| MARATHON PETROLEUM COMPANY LLC | 07-09 | CFTC | 8/1/2007 | 6(c); 6(d); 9(a)(2) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$1,000,000 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| MARCHIANO, JOSEPH | 1:05cv492 | ED VA | 11/1/2006 | | | ORDER | JOINT OWED RESTITUTION OF \$287,660; ALL OTHER PROVISIONS OF THE 9/15/06 ORDER SHALL REMAIN AS ORIGINALLY WRITTEN. |
| MARGOL, STEPHEN | 1 03 CV-2633 | ND GA | 6/29/2006 | 4c(b) | 33.10(a) & (c) | PERMANENT INJUNCTION | RESTITUTION OF \$44,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$86,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| MARINO, DANIEL E. | 05 CIV 8374 | SD NY | 9/29/2005 | | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| MARQUIS FINANCIAL MANAGEMENT SYSTEMS, INC. | 03-74206 | ED MI | 6/8/2005 | 4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4m(1); 4k(2) | 33.1 | DEFAULT ORDER | RESTITUTION OF \$1,863,910 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$880,000 JOINTLY OWED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| MARQUIS GROUP, INC. (THE) | 03-74206 | ED MI | 6/8/2005 | 4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4m(1); 4k(2) | 33.1 | DEFAULT ORDER | RESTITUTION OF \$1,863,910 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$880,000 JOINTLY OWED; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|----------------|--------------|-------------|---------------------|------------------|----------------------|---|
| MARTIN, ROBERT L. | 05CV62-CVE-FHM | ND GA | 5/25/2007 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$25,000 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS. |
| MARUHA, ANDREI | 04 CV 09029 | SD NY | 3/9/2007 | 4o(1); 4m(1) | 4.20(b) | PERMANENT INJUNCTION | DEFAULT ORDER; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$1,130,000 AND CIVIL MONETARY PENALTY OF \$2,790,000 EACH JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| MATTHEWS, RICHARD | 04 CV 2093 | SD CAL | 11/28/2006 | 4c(b) | 1.1; 32.9; 32.11 | PERMANENT INJUNCTION | RESTITUTION OF \$16,054,742.05; CIVIL MONETARY PENALTY OF \$14,767,579.76; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| MCBRIDE, JAMES R. | 06-01 | CFTC | 12/22/2005 | 4o(1)(B) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; ASSOCIATED PERSON REGISTRATION REVOKED; PROHIBITED FROM TRADING FOR 18 MONTHS; SHALL COMPLY WITH UNDERTAKINGS. |
| MCCAFFERY, JACK | 05-cv-5026 | ND IL | 9/29/2005 | | | COMPLAINT FILED | |
| MCCALL, RICHARD d/b/a MASTERY GROUP INTERNATIONAL | 2:06-CV-00132 | D NV | 5/15/2007 | 4o(1)(A)&(B) | 4.41(a) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$15,000; SHALL COMPLY WITH UNDERTAKINGS. |
| MCDONALD, CHRISTOPHER | 1:05-CV-0293 | ND GA | 11/17/2006 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$350,000 TO BE PAID WITHIN TEN BUSINESS DAYS PLUS POST JUDGMENT INTEREST. |
| MCKENNA, BRION SCOTT | SD 05-03 | CFTC | 5/20/2005 | | | COMMISSION ORDER | AP REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS. |
| MCLAUGHLIN, SHAWN | 05-D-178 | D CO | 3/13/2007 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$450,000 PLUS POST JUDGMENT INTEREST; PROHIBITED FROM APPLYING FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|----------|--------------|-------------|---------------|----------------------|---|--|
| MENDEZ, ROXANA SOFIA LAO a/k/a ROXANA SOFIA LAO | 05-61588 | SD FL | 10/16/2007 | 4c(b) | 1.1(b)(1)&(3); 1a(4) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST DUE WITHIN TEN BUSINESS DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| MERCURY FINANCIAL PARTNERS, INC. | 05-60328 | SD FL | 11/9/2005 | 4c(b) | 32.9 | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$148,756 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,080,000; ACCOUNT ORDER; STOP SOLICITATION; NFA DESIGNATED AS MONITOR. |
| MERCURY MANAGEMENT, L.C. | 05-60328 | SD FL | 8/18/2006 | 4c(b) | 33.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$15,000; CIVIL MONETARY PENALTY OF \$120,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| MERCURY PARTNERS, INC. | 05-60328 | SD FL | 7/1/2005 | 4c(b) | 32.9 | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$148,756 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,080,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| MERRILL LYNCH ALTERNATIVE INVESTMENTS, LLC | 07-08 | CFTC | 7/31/2007 | | 4.22(c) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| MERRILL LYNCH INVESTMENT MANAGERS, LLC | 07-08 | CFTC | 7/31/2007 | | 4.22(c) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| MESA, MICHAEL | 06-20979 | SD FL | 4/18/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-------------------------------------|---------------|--------------|-------------|--------------------------|---------------------|----------------------|---|
| MESTOLO, KARINA | 04 CV 09029 | SD NY | 3/9/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$200,000 JOINTLY OWED; PROTECT BOOKS & RECORDS. |
| METRO FINANCIALS | 07 CV 2377 | SD NY | 8/1/2007 | 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$412,609.21 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$130,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| MG GLOBAL, INC. | 08-02 | CFTC | 12/26/2007 | 4g | 1.35(a-1)(1); 166.3 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$2,000,000; SHALL NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS. |
| MICHAEL EDWARDS TRADING GROUP, LTD. | 03 CV 9126 | SD NY | 11/9/2006 | | | ORDER | DISGORGEMENT OF \$844,841. |
| MICHAEL SAVITSKY, INC. | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| MIKLAS, MAROS | 07-10 | CFTC | | | | COMPLAINT FILED | |
| MILLENIUM TRADING GROUP, INC. | 2:07-cv-11626 | ED MI | 9/6/2007 | 4b(a)(2)(i)&(iii); 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$501,516 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,360,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| MILLS, ADAM | 04-60744 | SD FL | 5/22/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$250,000; CIVIL MONETARY PENALTY OF \$75,000; STOP SOLICITATION; TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-----------------------------|------------------|--------------|-------------|---|------------------------------|----------------------|--|
| MIRONOV, ALEXEY | SACV 03-1454-JVS | CD CAL | 9/28/2007 | | | ORDER | RESTITUTION OF \$2,263,951.18; CIVIL MONETARY PENALTY TO BE DETERMINED. |
| MISCHLER, JEFFREY A. | 04-2181 | WD TN | 9/27/2007 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$917,700 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$2,640,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; ORDER TO PAY \$2,790 IN ATTORNEY'S FEES. |
| MONI INC. | CV05 2660 | CD CAL | 12/11/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$127,407 PLUS PRE & POST JUDGMENT INTEREST TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| MOORE, COURTNEY CUBBISON | H-05-0332 | SD TX | 11/7/2007 | 6(c); 6(d); 9(a)(2); 13(a) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$1,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| MORGAN, MICHAEL | 05-60328 | SD FL | 8/18/2006 | 4c(b) | 33.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$95,000; CIVIL MONETARY PENALTY OF \$120,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| MORRIS, ELLISON KENT | 03-80032 | SD FL | 1/4/2005 | | | | CIVIL MONETARY PENALTY OF \$448,389.18. |
| MUELLER, DAVID J. | 05-09 | CFTC | 6/3/2005 | 4b(a)(2)(i)&(iii) | 166.2 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000; PERMANENTLY PROHIBITED FROM TRADING; SHALL COMPLY WITH UNDERTAKINGS. |
| MURRAY, COYT E. | 04CV1512 | D NJ | 6/28/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m; 4k(2) | 4.20(c); 4.21; 4.22; 4.30 | PERMANENT INJUNCTION | JOINTLY OWE RESTITUTION OF \$17,871,012; JOINTLY OWE CIVIL MONETARY PENALTY OF \$11,378,735; DISGORGEMENT OF \$1,221,615; STOP SOLICITATION; TRADING PROHIBITION. |
| MUSOROFITI, DAWN | CV 05 3917 | ED NY | 8/16/2005 | | | COMPLAINT FILED | |
| MUSOROFITI, GERALDINE | CV 05 3917 | ED NY | 8/16/2005 | | | COMPLAINT FILED | |

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| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|------------|--------------|-------------|-------------------------------------|---------------|---|--|
| NASS, VYACHESLAV | 06 CV 1692 | SD NY | 12/18/2006 | 4(a); 4(b)(a)(2)(C)(i) &(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | DEFAULT ORDER; JOINT OWED RESTITUTION OF \$4,464,607.91 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| NATIONAL COMMODITIES CORPORATION, INC. | 05 CV 5741 | SD NY | 2/27/2007 | | | PERMANENT INJUNCTION | JOINT OWED RESTITUTION OF \$11,819,785 JOINTLY OWED. |
| NATIONAL INVESTMENT CONSULTANTS, INC. | C 05 2641 | ND CAL | 12/19/2006 | | | | STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL. |
| NATIONS INVESTMENTS, LLC | 07-61058 | SD FL | 7/30/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; BRUCE MATSON OF LECLAIR RYAN APPOINTED TEMPORARY RECEIVER. |
| NEW WORLD TRADING, LLC | 04-80562 | SD FL | 1/12/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,284,855 JOINTLY OWED WITH HAYNES PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,000,000 PLUS PRE & POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; CASE CLOSED. |
| NEW WORLD TRADING, LLC | SD 07-03 | CFTC | 10/12/2007 | | | ALJ INITIAL DECISION | IB REVOKED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|------------|--------------|-------------|---------------|---------------|----------------------|--|
| NEW YORK CAPITAL ASSETS, INC. | 03 CV 9128 | SD NY | 11/7/2006 | | | ORDER | DISGORGEMENT OF \$226,522 AND RESTITUTION OF \$226,522 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER. |
| NEW YORK OPTIONS EXCHANGE | 07 CV 2376 | SD NY | 7/23/2007 | 4(a); 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$5,340,645 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| NEW YORK PETROLEUM OPTION EXCHANGE | 07 CV 2379 | SD NY | 8/1/2007 | 4(a); 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$4,085,880 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$260,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| NEXGEN SOFTWARE SYSTEMS, INC. | H-04 2947 | SD TX | 7/27/2006 | 4m(1) | 4.10(f); 4.31 | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$20,000. |
| NEXT FINANCIAL SERVICES UNLIMITED, INC. | 04-80562 | SD FL | 1/12/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$1,833,470 JOINTLY OWED WITH DIAZ PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,000,000 PLUS PRE & POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; CASE CLOSED. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|-------------|--------------|-------------|---------------|--------------------------------------|--------------------------------------|---|
| NEXT FINANCIAL SERVICES UNLIMITED, INC. | SD 07-03 | CFTC | 10/12/2007 | | | ALJ INITIAL DECISION | IB REVOKED. |
| NOVAK, JOHN P. | H-04 2947 | SD TX | 7/27/2006 | 4m(1) | 4.10(f); 4.31 | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$20,000. |
| NRG ENERGY, INC. | 04-cv-3090 | D MN | 2/13/2007 | | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$2,000,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION. |
| NUTONE ASSET MANAGEMENT, LTD. | 04 CV 09029 | SD NY | 3/9/2007 | 4o(1); 4m(1) | 4.20(b) | PERMANENT INJUNCTION | DEFAULT ORDER; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$1,130,000 AND CIVIL MONETARY PENALTY OF \$2,790,000 EACH JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| OAKMONT INTERNATIONAL LLC | 05-61588 | SD FL | 1/30/2006 | 4c(b) | 1.1(b)(1)&(2); 32.9(a)&(c); 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$9,555,041; CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; SHALL COMPLY WITH UNDERTAKINGS. |
| OMESTE, GEORGE | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$226,375.14 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| ONE WORLD CAPITAL GROUP, LLC | 07C 7002 | ND IL | 12/13/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|-------------|--------------|-------------|--|----------------------|----------------------|---|
| ORION INTERNATIONAL, INC. | CV 03 603 | D OR | 6/16/2006 | 4b(a); 4(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$28,823,034 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$86,469,100 PLUS POST JUDGMENT INTEREST; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| OUYANG, BEN | CV 03-0833 | CD CAL | 3/11/2005 | 4b(a); 4b(a)(i)-(iii) | | PERMANENT INJUNCTION | RESTITUTION OF \$1,063,298.35 AND CIVIL MONETARY PENALTY OF \$120,000 JOINTLY OWED WITH VICTCO FINANCIAL SERVICES, INC.; NFA DESIGNATED AS MONITOR. |
| OWEN, ROGER | 1:04CV00911 | MD NC | 3/28/2006 | 4b(a)(2)(i)&(iii); 4o(1); 4k(3); 4m(1) | 4.41(a); 4.31(a)&(b) | PERMANENT INJUNCTION | RESTITUTION OF \$308,439.76 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; 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 | 12/5/2006 | 4b(a)(2)(i)-(iii); 4o(1)(A)&(B) | | PERMANENT INJUNCTION | RESTITUTION OF \$269,852.21 AND CIVIL MONETARY PENALTY OF \$345,000 PLUS POST JUDGMENT INTEREST FOR EACH; TRADING PROHIBITION. |
| OWNBEY, CAMERON S. | 01-18 | CFTC | 10/4/2005 | | | COMMISSION ORDER | CIVIL MONETARY PENALTY OF \$220,000; THE REVOCATION OF REGISTRATION, A THREE-YEAR TRADING BAN, AND A C&D ORDER SANCTION IMPOSED BY THE ALJ ON 1/17/03 AND NOT APPEALED SHALL STAND. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|---------------|--------------|--|---|----------------------------|---|--|
| OXFORD CAPITAL GROUP, LLC | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| PACIFIC BEST GROUP, LTD. a/k/a PACIFIC BEST COMPANY LTD. | C 05 2641 | ND CAL | 12/19/2006 | | | | STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL. |
| PALOMINO CAPITAL MANAGEMENT | SD 05-04 | CFTC | 7/14/2005 | | | COMMISSION ORDER | CPO REGISTRATION REVOKED. |
| PAPPALARDO, JOSEPH | 05 CV 2181 | SD NY | 4/24/2007 | | | PERMANENT INJUNCTION | RESTITUTION OF \$1,527,800 JOINTLY OWED; DISGORGEMENT OF \$79,300; CIVIL MONETARY PENALTY OF \$240,000. |
| PARISH ECONOMICS, LLC | 2:07-cv-01044 | 5/10/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m(1); 4k(2) | 4.41(a); 4.20(a)&(b); 4.21 | PRELIMINARY INJUNCTION | ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. | |
| PARISH, ALBERT E., JR. | 2:07-cv-01044 | D SC | 5/10/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m(1); 4k(2) | 4.41(a); 4.20(a)&(b); 4.21 | PRELIMINARY INJUNCTION | ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| PARKER, DAVID | SACV 04-575 | CD CAL | 8/29/2005 | 4b(a)(2)(i)&(iii); 4k(2); 4m(1); 4o(1)(A)&(B) | 4.41(a)(1)&(2) | PERMANENT INJUNCTION | DEFAULT ORDER; FREEZE OF ASSETS; TRADING PROHIBITION; STOP SOLICITATION; RESTITUTION OF \$381,403.38 AND CIVIL MONETARY PENALTY OF \$1,036,787.40 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|---------------------|--------------|-------------|---|------------------------------------|------------------------|---|
| PECK, CHRISTOPHER | 05-61672 | SD FL | 7/16/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$550,000; CIVIL MONETARY PENALTY OF \$380,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| PELUCHETTE, RICHARD | 06-80362-CIV-HURLEY | D NH | 10/27/2007 | 4c(b) | 33.10; 166.3 | PERMANENT INJUNCTION | RESTITUTION OF \$241,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| PERKINS, WILLIAM D. | 1:06-cv-4674 | D NJ | 9/28/2006 | | | COMPLAINT FILED | |
| PHILADELPHIA ALTERNATIVE ASSET MANAGEMENT COMPANY, LLC | 05 cv 2973 | ED PA | 9/19/2005 | 4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1) | 33.10; 4.41(a)(1)&(2); 4.20(a)-(c) | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; C. CLARK HODGSON, JR APPOINTED PERMANENT RECEIVER. |
| PHOENIX FINANCIAL GROUP | 1:04CV00911 | MD NC | 3/28/2006 | 4b(a)(2)(i)&(iii); 4o(1); 4k(3); 4m(1) | 4.41(a); 4.31(a)&(b) | PERMANENT INJUNCTION | RESTITUTION OF \$308,439.76 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| PIONEER FUTURES, INC. | 07-05 | CFTC | 3/7/2007 | 4g | 1.31; 1.35(a) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| PIPPIN, STUART individually and d/b/a PIPPIN INVESTMENTS | CV 05 4120 | ED NY | 4/26/2006 | 4b(a)(2)(C)(i)-(iii); 4o(1)(A)&(B); 4m(1) | 4.20 | PERMANENT INJUNCTION | RESTITUTION OF \$1,681,674.22 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$106,500 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|---------------|--------------|-------------|---------------------------------|---------------------|----------------------|---|
| PLUNKETT, PAUL F. | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| PLUNKETT, PAUL F. | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$3,363,600; CIVIL MONETARY PENALTY OF \$436,400; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| POOLE, JOHN a/k/a JAMES DREW, individually and d/b/a MAC SYSTEMS | 1:05CV00859 | MD NC | 5/1/2006 | 4o(1)(A)&(B) | 4.41(a)(1)&(2) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION. |
| PRANOLO, ESTHER | CV03-8339 | CD CAL | 11/29/2006 | | | ORDER | DISGORGEMENT OF \$55,897.79 PLUS POST JUDGMENT INTEREST. |
| PREMIUM INCOME CORPORATION | 3-05 CV 0416M | ND TX | 1/26/2007 | 4c(b) | 1.1(b); 32.9; 32.11 | PERMANENT INJUNCTION | JOINT OWED RESTITUTION OF \$12,374,104 PLUS POST JUDGMENT INTEREST; JOINT OWED CIVIL MONETARY PENALTY OF \$37,122,312 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; KELLY CRAWFORD APPOINTED RECEIVER. |
| PRESIDENTIAL FX, INC. | 1:05cv492 | ED VA | 11/1/2006 | | | ORDER | JOINT OWED RESTITUTION OF \$287,660; ALL OTHER PROVISIONS OF THE 9/15/06 ORDER SHALL REMAIN AS ORIGINALLY WRITTEN. |
| PRIME TRADING COMPANY | 4:04CV3184 | D NE | 12/17/2007 | 4b(a)(2)(i)&(iii); 4o(1); 4c(b) | 166.2; 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$325,000 JOINTLY OWED WITHIN 20 DAYS; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED; 3 YEAR TRADING PROHIBITION; SHALL NOT REAPPLY FOR REGISTRATION WITH COMMISSION FOR 3 YEARS. |
| PROFIT PARTNERS, INC. | CV03-9190 | CD CAL | 4/11/2005 | 4o(1); 4m(1) | 4.16; 4.41(a) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$30,000 TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|-------------------|--------------|-------------|---------------------------------|----------------------|------------------------|---|
| PROFIT, JOSEPH T. II | 1:07-CV-0274 | ND GA | 11/6/2007 | 4o(1); 9(a)(4) | | PERMANENT INJUNCTION | RESTITUTION & CIVIL MONETARY PENALTY TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION. |
| PROSPERITAS INTERNATIONAL CREDIT UNION | 2:07-cv-01185-RSL | WD WA | 8/1/2007 | | | COMPLAINT FILED | |
| PROSPERITY CONSULTANTS, INC. | 05-80592 | SD FL | 11/6/2006 | 4o(1); 6(c) | 4.30 | ORDER | STOP SOLICITATION. |
| PURSER, DONALD J. | 2:00CV00622 | D UT | 4/9/2007 | 4b(a)(i)-(iii); 4o(1); 4m(1) | 4.20(a)&(c) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$110,000; SHALL COMPLY WITH UNDERTAKINGS. |
| QUALIFIED LEVERAGE PROVIDERS, INC. | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$4,461,292; CIVIL MONETARY PENALTY OF \$3,838,708; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| QUALIFIED LEVERAGE PROVIDERS, INC. | 05-61672 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$3,600,000; CIVIL MONETARY PENALTY OF \$1,400,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| QUESADA, BEATRIZ PERALTA a/k/a BEATRIZ PERALTA | 05-61588 | SD FL | 10/16/2007 | 4c(b) | 1.1(b)(1)&(3); 1a(4) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST DUE WITHIN TEN BUSINESS DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| R&W TECHNICAL SERVICES, LTD. | 96-3 | CFTC | 6/24/2005 | | | COMMISSION ORDER | ORDER OF SUMMARY AFFIRMANCE ISSUED. |
| RAMUNNO, ANTHONY MICHAEL, JR. | 1:07-CV-0200 | ND GA | 2/27/2007 | 4B(A)(2)(i)-(iii); 4o(1)(A)&(B) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION. |
| RANCON CAPITOL MANAGEMENT CORPORATION | 04 CV 09029 | SD NY | 3/9/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$200,000 JOINTLY OWED; PROTECT BOOKS & RECORDS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-----------------------------------|--------------|--------------|-------------|------------------------------------|---------------|------------------------|--|
| RASK, JAMES JOHN | CV 06-162 | D OR | 2/23/2006 | 4b(a)(2); 4(a) | 1.1(b) | PERMANENT INJUNCTION | RESTITUTION OF \$2,409,565 PLUS PRE& POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,965,565 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| RAY, BRIAN W. | 03-11 | CFTC | 8/25/2005 | 4(b)(a)(i)&(iii) | | ALJ INITIAL DECISION | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$860,250; PERMANENT TRADING PROHIBITION; FB REGISTRATION REVOKED; RESPONDENT & DOE FILE NOTICES OF APPEAL. |
| RB&H FINANCIAL SERVICES, LP | 01-18 | CFTC | 10/4/2005 | | | COMMISSION ORDER | CIVIL MONETARY PENALTY OF \$220,000; C&D ORDER IMPOSED BY THE ALJ ON 1/17/03 IS ALSO AFFIRMED. |
| REAGAN, GREGORY M. | 96-3 | CFTC | 6/24/2005 | | | COMMISSION ORDER | ORDER OF SUMMARY AFFIRMANCE ISSUED. |
| REED, MATTHEW | 05-D-178 | D CO | 3/27/2007 | | | ORDER | MOTION TO DISMISS COMPLAINT DENIED |
| REMCO CAPITAL MANAGEMENT, INC. | 04 CV 09029 | SD NY | 3/9/2007 | 4o(1); 4m(1) | 4.20(b) | PERMANENT INJUNCTION | DEFAULT ORDER; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$1,130,000 AND CIVIL MONETARY PENALTY OF \$2,790,000 EACH JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| RENAISSANCE ASSET MANAGEMENT, LLC | 1:07-CV-0200 | ND GA | 2/27/2007 | 4B(A)(2)(i)-(iii); 4o(1)(A)&(B) | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|-------------|--------------|-------------|-------------------|---------------|------------------------|--|
| REVERIE, LLC | 04-2181 | WD TN | 9/27/2007 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$917,700 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$480,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; ORDER TO PAY \$297 IN ATTORNEY'S FEES. |
| RG GROUP HOLDING LLC | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| RIA RIVIERA, INC. | CV05 2660 | CD CAL | 12/11/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$81,820 PLUS PRE & POST JUDGMENT INTEREST TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| RICHMOND FAIRFIELD ASSOCIATES, CERTIFIED PUBLIC ACCOUNTANTS PLLC | 05 CIV 8374 | SD NY | 9/29/2005 | | | PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| RICHMOND GLOBAL ASSOCIATES LLC | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|------------|--------------|-------------|-------------------------------|-------------------------------|----------------------|--|
| RICHMOND GLOBAL DIRECTOR LLC | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| RICHMOND GLOBAL LTD. | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| RICHMOND GLOBAL MANAGED ACCOUNT LLC | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| RICHMOND GLOBAL MCA LLC | 05 CV 2181 | SD NY | 11/15/2007 | 4b(a)(2) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$1,788,580 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; JOHN MOSCOW APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| RICHMOND ROYCE ADVISORY SERVICES, SLU a/k/a RICHMOND ROYCE INTERNATIONAL GROUP, LTD | 05-61588 | SD FL | 11/30/2006 | 4o(1)(A)&(B); 4k(3); 4m(1) | 4.41(a)(1)&(2); 4.41(b)(1) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$9,555,041 AND CIVIL MONETARY PENALTY OF \$9,500,000 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL DESIGNATED AS MONITOR. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|---------------|--------------|-------------|-----------------------------|----------------|-----------------------------|--|
| RICHMOND, ANDREW | 05-M-668 | D COL | 3/20/2007 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$60,000 TO BE PAID WITHIN 30 DAYS PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS. |
| RIPLEY, DAMON | 03 CV 9128 | SD NY | 11/7/2006 | | | ORDER | DISGORGEMENT OF \$226,522 AND RESTITUTION OF \$226,522 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER. |
| RISK CAPITAL TRADING GROUP | 1 03 CV-2633 | ND GA | 6/29/2006 | 4c(b) | 33.10(a) & (c) | PERMANENT INJUNCTION | RESTITUTION OF \$12,833,470 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$8,771,235 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| RISK CAPITAL TRADING GROUP, INC. | SD 06-04 | CFTC | 12/20/2006 | | | ALJ ORDER | REGISTRATION AS INTRODUCING BROKER REVOKED; INITIAL DECISION ON DEFAULT ENTERED. |
| RODRIGUEZ, LAZARO JOSE | 06 CV 0855 | SD NY | 12/17/2007 | 4b(a)(2)(i)&(iii); 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$260,000; STOP SOLICITATION; TRADING PROHIBITION; SHALL NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS. |
| ROGERS, GERALD LEO a/k/a JAY ROGERS AND JAY RODGERS | 3-05 CV 0416M | ND TX | 3/2/2005 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|----------------------------|----------|--------------|-------------|--|----------------|----------------------------|---|
| ROLLING MEADOW RANCH, INC. | 06-08 | CFTC | 9/27/2006 | 4c(e) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$130,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS. |
| ROMANO, LEE N., II | 04-2181 | WD TN | 4/24/2007 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$125,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$360,000; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| ROMEO, TED | 04-61235 | SD FL | 4/24/2007 | 4c(b) | 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$300,000 PLUS PRE & POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| ROSENTHAL COLLINS GROUP | 07-02 | CFTC | 1/10/2007 | 4b | 1.35(a)&(d)(5) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS. |
| ROSS, ANDREW D. | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| ROSSI, ROBERT | 99-4 | CFTC | 8/17/2005 | 4b(a)(i)-(iii); 13(a)&(b); 2(a)(i)(A)(iii) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$400,000; TRADING PROHIBITION; RESTITUTION OF \$276,557. |
| ROTMISTRENKO, UDO | SD 04-05 | CFTC | 3/18/2005 | | | ALJ ORDER | UNOPPOSED MOTION FOR DEFAULT GRANTED; REGISTRATIONS AS COMMODITY TRADING ADVISOR AND ASSOCIATED PERSON SUSPENDED. |
| ROTMISTRENKO, UDO | SD 07-05 | CFTC | 7/30/2007 | | | STATUTORY DISQUALIFICATION | |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|------------|--------------|-------------|---------------|---------------|---------------------------|--|
| ROUMIANTSEUA, NATALIA | 03 CV 9124 | SD NY | 11/7/2006 | | | ORDER | DISGORGEMENT OF \$20,000. |
| ROYAL BERG, INC. | 05-07 | CFTC | 1/18/2005 | | 4.36 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$10,000 TO BE PAID WITHIN TEN BUSINESS DAYS. |
| RUSFELDT INVESTMENTS LLP d/b/a CURRENCY TRADING MADE EASY | 07-130 | SD TX | 3/21/2007 | 4b | 1.1(b) | PRELIMINARY INJUNCTION | STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| RUSFELDT, ADEN | 07-130 | SD TX | 3/21/2007 | 4b | 1.1(b) | PRELIMINARY INJUNCTION | STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| RUSSO, JAMES JOSEPH | 04-80862 | SD FL | 12/5/2005 | 4c(b) | | FINAL JUDGMENT | CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED. |
| SABERI, ANDY | 01-11 | CFTC | 3/2/2005 | 4a(e) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000; 30 DAY TRADING PROHIBITION; SANCTIONS SHALL BECOME EFFECTIVE ON THE 30TH DAY FOLLOWING THE DATE ORDER IS SERVED. |
| SAFEGUARD FX, LLC | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$4,351,418; CIVIL MONETARY PENALTY OF \$2,948,582; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| SALINAS, MATTHEW | 03 CV 9128 | SD NY | 11/6/2006 | 4b(a)(2) | 1.1(b) | PERMANENT INJUNCTION | DISGORGEMENT OF \$14,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$42,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; ALL PRIOR FREEZE ORDERS DISSOLVED; BRIAN ROSNER APPOINTED PERMANENT EQUITY RECEIVER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|-------------|--------------|-------------|--|-------------------------------|--|--|
| SAUME, CARLOS ALEJANDRO LIBERA | 05-61903 | SD FL | 11/15/2006 | 4b(a)(2); 4(a) | 1.1(b) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$5,799,719.41; DISGORGEMENT OF \$5,799,719.41; CIVIL MONETARY PENALTY OF \$16,396,067.91; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| SAVITSKY, MICHAEL | 04-60744 | SD FL | 5/22/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$660,000; CIVIL MONETARY PENALTY OF \$140,000; STOP SOLICITATION; TRADING PROHIBITION. |
| SAVITSKY, MICHAEL H., III | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |
| SCHIERA, MONICA SUE a/k/a MONICA SCHIERA-MAIN AND MONICA S. MONTES | CV05 2660 | CD CAL | 4/25/2007 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$1.29 MILLION; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| SCHMIDT, STEPHEN A. | CV 04 3081 | ED NY | 9/6/2006 | | | PERMANENT INJUNCTION | DISGORGEMENT OF \$75,000 AND CIVIL MONETARY PENALTY OF \$175,000 EACH JOINTLY OWED WITHIN TEN DAYS; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| SCHOLZE, GARY F. | 2:06-CV-114 | D VT | 6/29/2006 | 4b(a)(2)(i)-(III); 4c(b); 4m(1); 4o(1) | 4.20; 4.21; 4.30; 4.31; 33.10 | STATUTORY RESTRAINING ORDER & PRELIMINARY INJUNCTION | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|------------------------------------|------------|--------------|-------------|---|---------------------|-------------------------|--|
| SCHOTZ, BARRY | 04-08889 | CD CAL | 6/16/2005 | 4b(a)(2)(i)-(iii); 4o(1)(A)&(B); 4m(1); 4n(4) | 4.20(c); 4.21; 4.22 | PERMANENT INJUNCTION | RESTITUTION OF \$2,983,487 PLUS PREJUDGMENT INTEREST IN THE AMOUNT OF \$62,466.76 AND POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,600,000 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| SCHROEDER, STEVEN G. | 1:06CV0705 | WD MI | 10/6/2006 | 4b(a)(2)(i)-(iii); 4o(1); 4m(1) | 4.31 | PERMANENT INJUNCTION | PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| SCHWARTZ, STUART | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$460,000; CIVIL MONETARY PENALTY OF \$176,138; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| SEIGLER, WILLIAM DAVID, JR. | 05-60342 | SD FL | 3/30/2006 | 4c(b) | 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$500,000. |
| SHAH, ABBAS A. | 05 CV 8091 | SD NY | 9/19/2005 | | | COMPLAINT FILED | |
| SHERMAN COUNTY BANK | 4:04CV3184 | D NE | 12/17/2007 | | | PERMANENT INJUNCTION | RESTITUTION OF \$325,000 JOINTLY OWED WITHIN 20 DAYS; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED; SHALL NOT EMPLOY ANY PERSON OR ENTITY THAT IS REGISTERED WITH COMMISSION AND/OR ENGAGES IN ANY TRADING OF COMMODITY INTEREST FOR OTHERS FOR A PERIOD OF 3 YEARS. |
| SHERMAN COUNTY MANAGEMENT, INC. | 4:04CV3184 | D NE | 12/17/2007 | | | PERMANENT INJUNCTION | RESTITUTION OF \$325,000 JOINTLY OWED WITHIN 20 DAYS; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED; SHALL NOT HOLD AN EQUITY INTEREST IN ANY ENTITY THAT ENGAGES IN ANY COMMODITY RELATED ACTIVITY. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-------------------------------------|---------------|--------------|-------------|---|---------------------|-----------------------------|--|
| SHEVCHENKO, ALEXANDER IGOR | 3-05 CV 0416M | ND TX | 3/2/2005 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS. |
| SHUSTER, SHUSTER, AND SHUSTER, LTD. | 03 4999 | ED NY | 8/29/2006 | | | DEFAULT ORDER | DISGORGEMENT OF \$1,062,593 PLUS PRE & POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |
| SHUSTER, SHUSTER, AND SHUSTER, LTD. | 03 CV 9126 | SD NY | 11/9/2006 | | | ORDER | DISGORGEMENT OF \$699,054. |
| SIBBITT, MARY JO | 04-2181 | WD TN | 9/27/2007 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$917,700 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$720,000; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; ORDER TO PAY \$3,247 IN ATTORNEY'S FEES. |
| SIEGEL, RICK | 1 03 CV-2633 | ND GA | 1/3/2007 | | | ORDER | AMENDED JUDGMENT ENTERED; CIVIL MONETARY PENALTY REDUCED FROM \$150,000 TO \$120,000; THE \$8,301.92 RESTITUTION AMOUNT ORDERED ON 8/14/06 IS DUE IMMEDIATELY. |
| SILBERSTEIN, ANDREW M. | 1:04-cv-666 | D MD | 2/28/2005 | 4b(a)(i)-(iii); 4m(1); 4o(1)(A)&(B) | 4.20(a)&b; 4.21 | PERMANENT INJUNCTION | RESTITUTION OF \$440,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; TRADING PROHIBITION. |
| SMITHERS, CHRISTOPHER | 05-80592 | SD FL | 11/6/2006 | 4o(1); 6(c) | 4.30 | ORDER | STOP SOLICITATION. |
| SMITHERS, JACK | 05-80592 | SD FL | 11/6/2006 | 4o(1); 6(c) | 4.30 | ORDER | STOP SOLICITATION. |
| SNYDER, WILLIAM | CV-N-06-512 | D NV | 11/6/2006 | 4b(a)(2)(i)-(iii); 4o(1); 4k(2) | 4.41(a); 4.20; 4.21 | PRELIMINARY INJUNCTION | TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|-------------------------------------|---------------------|--------------|-------------|--------------------------|---------------|--------------------------------------|---|
| SOFIA, JOEL | 03-74206 | ED MI | 6/21/2005 | 4k(2) | | PERMANENT INJUNCTION | RESTITUTION OF \$25,162.50 AND CIVIL MONETARY PENALTY OF \$10,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| SONOMA TRADING CORPORATION | 05-60342 | SD FL | 3/30/2006 | 4c(b) | 32.11(a) | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$500,000. |
| SOUTH CHINA INVESTMENTS, INC. | C 05 2641 | ND CAL | 6/29/2005 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| SOUTH COAST COMMODITIES | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,500,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| SOUTH COAST COMMODITIES, INC. | SD 07-01 | CFTC | 2/9/2007 | | | ALD INITIAL DECISION | REGISTRATION AS INTRODUCING BROKER REVOKED. FINAL ORDER. |
| SPIVAK, GENNADY a/k/a GEORGE SPIVAK | 03-80032 | SD FL | 1/4/2005 | | | | CIVIL MONETARY PENALTY OF \$1,361,700.00. |
| STANTON, CEDRIC R. | 2:07-cv-11626 | ED MI | 9/6/2007 | 4b(a)(2)(i)&(iii); 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$501,516 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,360,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| STARYK, MICHAEL | 06-80362-CIV-HURLEY | D NH | 10/27/2007 | 4c(b) | 33.10; 166.3 | PERMANENT INJUNCTION | RESTITUTION OF \$130,000 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$50,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--------------------------------|--------------|--------------|-------------|-------------------------------------|-------------------------------|---|--|
| STEELE, KEVIN | 05C 3130 | ND IL | 11/22/2005 | 4b(a)(2)(i)-(iii); 4o(1); 1a(29) | | PERMANENT INJUNCTION | DEFAULT ORDER; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$7,409,194.75 TO BE PAID WITHIN 30 DAYS PLUS PRE-JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$6.2 MILLION. |
| STERN, ANDREW | 05-21571 | SD FL | 6/13/2005 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| STEVENS, DOUGLAS | C 03-1379VRW | ND CAL | 6/17/2005 | 4(a); 4b(a)(2)(i)- (iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$7,108,186.11 PLUS PRE- JUDGMENT INTEREST OF \$4,396,839.13 AND POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,191,597.43 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR; ASSET FREEZE LIFTED. |
| STRATFORD ADVISORY SERVICES | 05-61588 | SD FL | 11/30/2006 | 4o(1)(A)&(B); 4k(3); 4m(1) | 4.41(a)(1)&(2); 4.41(b)(1) | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$9,555,041 AND CIVIL MONETARY PENALTY OF \$9,500,000 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL DESIGNATED AS MONITOR. |
| SUCCESS DIRECT | CV05 2660 | CD CAL | 12/11/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$70,165 PLUS PRE & POST JUDGMENT INTEREST TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| SUPAMA INTERNATIONAL DMCC | 07 Civ 2770 | SD NY | 4/5/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|--------------|--------------|-------------|-------------------------------------|---------------------------|----------------------|--|
| TAHOE FUTURES | 07 CV 2376 | SD NY | 7/23/2007 | 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$5,340,645 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$130,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| TAMB INTERNATIONAL, INC. | CV 03 0177 | ED NY | 5/5/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$240,000. |
| TAMBIEV, RUSSELL a/k/a ROUSIAN OR RUSSIAN TAMBIEV AND RUSSELL TAMB | CV 03 0177 | ED NY | 5/5/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$240,000. |
| TAX ACCOUNTING OFFICE, INC. | 1:06-cv-4674 | D NJ | 9/28/2006 | | | COMPLAINT FILED | |
| TECH TRADERS, INC. | 04CV1512 | D NJ | 6/28/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m; 4k(2) | 4.20(c); 4.21; 4.22; 4.30 | PERMANENT INJUNCTION | JOINTLY OWE RESTITUTION OF \$17,871,012; JOINTLY OWE CIVIL MONETARY PENALTY OF \$11,378,735; STOP SOLICITATION; TRADING PROHIBITION. |
| TECH TRADERS, LTD. | 04CV1512 | D NJ | 6/28/2007 | 4b(a)(2)(i)-(iii); 4o(1); 4m; 4k(2) | 4.20(c); 4.21; 4.22; 4.30 | PERMANENT INJUNCTION | JOINTLY OWE RESTITUTION OF \$17,871,012; JOINTLY OWE CIVIL MONETARY PENALTY OF \$11,378,735; STOP SOLICITATION; TRADING PROHIBITION. |
| TILLMAN, RICHARD | 1 03 CV-2633 | ND GA | 7/13/2006 | 4c(b) | 33.10(a) & (c) | PERMANENT INJUNCTION | RESTITUTION OF \$15,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| TRACY, JOHN | H-05-0332 | SD TX | 11/7/2007 | 6(c); 6(d); 9(a)(2); 13(a) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$1,000,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST. |
| TRADE EXCHANGE NETWORK | 05-14 | CFTC | 9/29/2005 | 4c(b) | 32.11 | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$150,000 WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |

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JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|---------------|--------------|-------------|--|---------------------|----------------------|---|
| TRADE PRO, INC. | CV05 2660 | CD CAL | 12/11/2006 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | DEFAULT ORDER; H123DISGORGEMENT OF \$3,000,000 PLUS PRE & POST JUDGMENT INTEREST & CIVIL MONETARY PENALTY OF \$9,000,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| TRADE RISK MANAGEMENT, LLC (OR) | C 05 5766RJB | WD WA | 11/25/2005 | | | COMPLAINT FILED | |
| TRADE RISK MANAGEMENT, LLC (WA) | C 05 5766RJB | WD WA | 11/25/2005 | | | COMPLAINT FILED | |
| TRADEWINDS INTERNATIONAL, LLC | 04C 5723 | ND IL | 2/9/2006 | 4b(a)(i)-(iii); 4c(b); 4o(1); 4k(2); 4m(1) | 33.10 | PERMANENT INJUNCTION | PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$13,904,331.14 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$7,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED. |
| TRADEWINS PUBLISHING, CORP. | CV 04 3081 | ED NY | 9/6/2006 | | | PERMANENT INJUNCTION | DISGORGEMENT OF \$75,000 AND CIVIL MONETARY PENALTY OF \$175,000 EACH JOINTLY OWED WITHIN TEN DAYS; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| TRI LYNX | CV05 2660 | CD CAL | 12/11/2006 | | | PERMANENT INJUNCTION | DEFAULT ORDER; DISGORGEMENT OF \$169,868 PLUS PRE & POST JUDGMENT INTEREST TO BE PAID WITHIN 30 DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| TRI-FOREX INTERNATIONAL, LTD. a/k/a TRI-FOREX LTD. and INTERNATIONAL FOREX COMPANY | 3-05 CV 0416M | ND TX | 1/26/2007 | 4c(b) | 1.1(b); 32.9; 32.11 | PERMANENT INJUNCTION | JOINT OWED RESTITUTION OF \$12,374,104 PLUS POST JUDGMENT INTEREST; JOINT OWED CIVIL MONETARY PENALTY OF \$37,122,312 PLUS POST JUDGMENT INTEREST; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; KELLY CRAWFORD APPOINTED RECEIVER. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|---------------------|--------------|-------------|---------------|---------------|--------------------------------------|---|
| TSE, WEI M. a/k/a RAYMOND TSE | C 05 2641 | ND CAL | 12/19/2006 | | | | STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL. |
| TSUNAMI CAPITAL, LLC | 07C 2256 | ND IL | 4/26/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; SHALL COMPLY WITH UNDERTAKINGS. |
| TUCELLI, PHILLIP | 06-80362-CIV-HURLEY | D NH | 10/27/2007 | 4c(b) | 33.10; 166.3 | PERMANENT INJUNCTION | RESTITUTION OF \$9,200,000 PLUS POST JUDGMENT INTEREST JOINTLY WITH CROMWELL; CIVIL MONETARY PENALTY OF \$250,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| TURNER, RONALD | 05 CV 2181 | SD NY | 4/24/2007 | | | PERMANENT INJUNCTION | RESTITUTION OF \$1,527,800 JOINTLY OWED; DISGORGEMENT OF \$116,300; CIVIL MONETARY PENALTY OF \$240,000. |
| U.S. CAPITAL MANAGEMENT, INC. | 05-60928 | SD FL | 6/27/2006 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| UFOREX CONSULTING, LLC a/k/a UFOREX, LLC a/k/a UFOREXIA, LTD. | 6:07-CV-0046 | WD LA | 1/9/2007 | | | STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| UNITED EQUITY GROUP, INC. | 05-60928 | SD FL | 6/27/2006 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| UNITED INVESTORS GROUP, INC. | 05-80002 | SD FL | 6/6/2006 | 4c(b) | 33.10 | PERMANENT INJUNCTION | RESTITUTION OF \$17,880,420.64 AND CIVIL MONETARY PENALTY OF \$17,544,503 EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|--------------|--------------|-------------|---------------|----------------|--------------------------------------|---|
| UNITED INVESTORS GROUP, INC. | SD 06-02 | CFTC | 12/20/2006 | | | ALJ ORDER | REGISTRATION AS INTRODUCING BROKER REVOKED; INITIAL DECISION ON DEFAULT ENTERED; FINAL ORDER. |
| UNIVERSAL FINANCIAL HOLDING CORPORATION | 04CV3641 | ED PA | 9/22/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$5,021,892 JOINTLY OWED; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| UNIVERSAL OPTIONS, INC. | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$6,195,742; CIVIL MONETARY PENALTY OF \$5,604,258; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| VALENTIN, JUAN | 1 03 CV-2633 | ND GA | 6/29/2006 | 4c(b) | 33.10(a) & (c) | PERMANENT INJUNCTION | RESTITUTION OF \$15,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| VALKO, DOREEN ROSE | 06-60001 | SD FL | 1/4/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| VALKO, JOSEPH | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| VALKO, JOSEPH D. a/k/a JOE VALKO AND JOE VALKO, SR. | 05-60928 | SD FL | 7/13/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$3,127,085; CIVIL MONETARY PENALTY OF \$2,672,915; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|-------------|--------------|-------------|---|----------------|----------------------|--|
| VANDEVELD, GORDON J. | 04-2181 | WD TN | 9/27/2007 | 4b(a)(i)&(iii) | | PERMANENT INJUNCTION | RESTITUTION OF \$576,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,920,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; APPEALED |
| VANGUARD FINANCIAL MANAGEMENT ASSOCIATION a/k/a VANGUARD FINANCIAL MANAGEMENT FOUNDATION | SACV 04-575 | CD CAL | 8/29/2005 | 4b(a)(2)(i)&(iii); 4k(2); 4m(1); 4o(1)(A)&(B) | 4.41(a)(1)&(2) | PERMANENT INJUNCTION | DEFAULT ORDER; FREEZE OF ASSETS; TRADING PROHIBITION; STOP SOLICITATION; RESTITUTION OF \$381,403.38 AND CIVIL MONETARY PENALTY OF \$1,036,787.40 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS. |
| VERAS INVESTMENT PARTNERS, LLC | 06-01 | CFTC | 12/22/2005 | 4o(1)(B) | | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; COMMODITY POOL OPERATOR & COMMODITY TRADING ADVISOR REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS. |
| VICTCO FINANCIAL SERVICES, INC. | CV 03-0833 | CD CAL | 3/11/2005 | 4b(a); 4b(a)(i)-(iii) | | PERMANENT INJUNCTION | RESTITUTION OF \$1,063,298.35 AND CIVIL MONETARY PENALTY OF \$120,000 JOINTLY OWED WITH BEN OUYANG; NFA DESIGNATED AS MONITOR. |
| VINOKUR, MIRON | 05 CV 2181 | SD NY | 4/24/2007 | | | PERMANENT INJUNCTION | RESTITUTION OF \$270,393; DISGORGEMENT OF \$23,300; CIVIL MONETARY PENALTY OF \$120,000. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|------------|--------------|-------------|-------------------------------------|---------------------|--------------------------------------|---|
| VITOL CAPITAL MANAGEMENT | 07 CV 2378 | SD NY | 7/23/2007 | 4c(b) | 32.9(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$3,995,823 JOINTLY POWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$130,000; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| VOLF, LAWRENCE JOSEPH | 4:04CV3184 | D NE | 12/17/2007 | 4b(a)(2)(i)&(iii); 4o(1); 4c(b) | 166.2; 33.10(a)&(c) | PERMANENT INJUNCTION | RESTITUTION OF \$325,000 JOINTLY OWED WITHIN 20 DAYS; CIVIL MONETARY PENALTY OF \$100,000 JOINTLY OWED; 3 YEAR TRADING PROHIBITION; SHALL NOT REAPPLY FOR REGISTRATION WITH COMMISSION FOR 3 YEARS. |
| WALL STREET UNDERGROUND, INC. | 03-2193 | D KS | 7/11/2006 | 4o(1) | 4.41(a) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$2,374,582 AND CIVIL MONETARY PENALTY OF \$7,123,746 EACH JOINTLY OWED; TRADING PROHIBITION. |
| WALSH, JOHN EDWARD | 07C 7002 | ND IL | 12/13/2007 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER. |
| WARENHANDELSGESELLSCH AFT CORINTH, m.b.H | 05-11 | CFTC | 6/21/2005 | 4c(a) | 1.39(a) | COMMISSION ORDER | CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS. |
| WEATHERFORD, JAMES an individual d/b/a MANAGED-MINI.COM | CV04-4079 | CD CAL | 4/26/2005 | 4b(a)(i)&(iii); 4o(1)(A)&(B); 4m(1) | 4.41(a) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$5,000 PLUS POST JUDGMENT INTEREST; 2 YEAR TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|------------------------------|----------------|--------------|-------------|-------------------|---------------|----------------------|---|
| WEB FULFILLMENT CENTRE, INC. | 03-2193 | D KS | 6/19/2007 | | | ORDER | ORDER RELEASING FROZEN FUNDS ENTERED; REMAINING FUNDS SHALL BE TRANSFERRED TO CFTC AND CONSIDERED CREDITED TOWARDS THE CIVIL MONETARY PENALTY OWED. |
| WEBMAN, LARRY M. | 05 CV 4819 | SD NY | 7/10/2006 | 4c(h); 4c(b) | 1.1(b); 32.9 | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$2,957,912 JOINT OWED PLUS PRE JUDGMENT INTEREST; SHALL NOT TRANSFER FUNDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| WEBMAN, MELVIN H. | 05 CV 4819 | SD NY | 7/10/2006 | 4c(h); 4c(b) | 1.1(b); 32.9 | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$2,957,912 JOINT OWED PLUS PRE JUDGMENT INTEREST; SHALL NOT TRANSFER FUNDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| WEISS, JAMES I. | 04 cv 45 (FSH) | D NJ | 1/17/2005 | 4b(a)(2)(i)&(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$560,000 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |
| WEXLER, LYLE | 05 CV 4819 | SD NY | 4/10/2007 | 4c(b) | 1.1(b); 32.9 | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$280,000 AND RESTITUTION OF \$822,798 PLUS POST JUDGMENT INTEREST FOR EACH; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|--|--------------|--------------|-------------|------------------------------------|---------------------|---------------------------|---|
| WHALEN, MICHAEL | 1:05-CV-0293 | ND GA | 11/17/2006 | 6(c); 6(d); 9(a)(2) | | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$200,000 TO BE PAID WITHIN TEN BUSINESS DAYS PLUS POST JUDGMENT INTEREST. |
| WHITE PINE TRUST CORPORATION | 04 CV 2093 | SD CAL | 4/20/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$14,857,546.62; CIVIL MONETARY PENALTY OF \$14,857,546.62; SHALL COMPLY WITH UNDERTAKINGS. |
| WHITNEY, MICHAEL | H 05-333 | SD TX | 2/1/2005 | | | COMPLAINT FILED | |
| WILLIAM, HOLBROOK & ASSOCIATES, LLC | 03 CV 9128 | SD NY | 3/26/2007 | | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$12,059,480 JOINTLY OWED AND DISGORGEMENT OF \$11,201,004.86 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER. |
| WILSHIRE INVESTMENT MANAGEMENT CORPORATION | 04-80862 | SD FL | 12/5/2005 | 4c(b) | | FINAL JUDGMENT | CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED. |
| WILSHIRE INVESTMENT MANAGEMENT CORPORATION | SD 06-06 | CFTC | 2/13/2007 | | | ALJ INITIAL DECISION | REGISTRATION AS INTRODUCING BROKER REVOKED. |
| WILSHIRE, ANDREW ALAN | 04-80862 | SD FL | 12/5/2005 | 4c(b) | | FINAL JUDGMENT | CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED. |
| WILSON, CHRISTI | CV-N-06-512 | D NV | 11/6/2006 | 4b(a)(2)(i)-(iii); 4o(1); 4k(2) | 4.41(a); 4.20; 4.21 | PRELIMINARY INJUNCTION | TRADING PROHIBITION. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|---------------|--------------|-------------|--------------------------|---------------|----------------------------|---|
| WINDSOR FOREX TRADING CORP. | CV 05 2547 | ED NY | 3/23/2006 | 4b(a)(2)(i)&(iii) | | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$266,767.88 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$266,767.88 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION. |
| WINN INDUSTRIES DIVISION OF ONTARIO LIMITED OR 1430214 ONTARIO, LIMITED | 03 CV 9126 | SD NY | 11/9/2006 | | | ORDER | DISGORGEMENT OF \$140,989. |
| WNUKOWSKI, LESLIE JEAN | SD 05-01 | CFTC | 5/3/2006 | | | COMMISSION ORDER | COMMISSION AFFIRMED 3/29/05 DECISION; REGISTRATIONS AS A COMMODITY TRADING ADVISOR, COMMODITY POOL OPERATOR AND ASSOCIATED PERSON REVOKED. |
| WONG, THERESA C. | C 05 2641 | ND CAL | 9/1/2006 | 4b(i)&(iii); 4(a) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$1,781,500 JOINTLY OWED; DISGORGEMENT OF \$18,500; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| WORLD MARKET ADVISORS, INC. | 05-60928 | SD FL | 6/27/2006 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$20,514,361 AND DISGORGEMENT OF \$12,632,841 JOINTLY OWED WITHIN 30 DAYS; STOP SOLICITATION; TRADING PROHIBITION. |
| WORLDWIDE CLEARING LLC | 2:07-cv-11626 | ED MI | 9/6/2007 | 4b(a)(2)(i)&(iii); 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$501,516 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| WORLDWIDE CLEARING LLC | SD 08-01 | CFTC | 1/2/2008 | | | STATUTORY DISQUALIFICATION | |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---|------------|--------------|-------------|-------------------|---------------|----------------------|--|
| WORLDWIDE COMMODITY CORPORATION | 04CV3641 | ED PA | 9/19/2006 | | | PERMANENT INJUNCTION | RESTITUTION OF \$5,021,892 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,500,000; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| WORLDWIDE COMMODITY CORPORATION | SD 07-02 | CFTC | 2/8/2007 | | | ALJ INITIAL DECISION | REGISTRATION AS INTRODUCING BROKER REVOKED. |
| WORLDWIDE CURRENCIES CORP. | 05 CV 4819 | SD NY | 11/4/2005 | 4c(b) | 1.1(b) | DEFAULT ORDER | RESTITUTION OF \$255,952 PLUS PRE & POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$526,470 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION. |
| WORLD-WIDE CURRENCY SERVICES CORP. | 03-80032 | SD FL | 1/4/2005 | | | | CIVIL MONETARY PENALTY OF \$4,331,658.90. |
| WORLDWIDE FOREX, INC. | 04-60797 | SD FL | 5/24/2007 | 4b(a) | | PERMANENT INJUNCTION | RESTITUTION OF \$3,100,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,100,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR. |
| XU, YI KERRY | C 05 2641 | ND CAL | 9/1/2006 | 4b(i)&(iii); 4(a) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | RESTITUTION OF \$1,781,500 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS. |
| YANEV, MARIN ILLIEV, individually and d/b/a FX UNIGMA, INC., AND FX WORLD, INC. | 2:05cv900 | SD OH | 5/1/2007 | 4b(a)(2)(i)&(iii) | 1.1(b)(1)&(3) | PERMANENT INJUNCTION | CIVIL MONETARY PENALTY OF \$30,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2007**

| RESPONDENT NAME | DOCKET # | JURISDICTION | ACTION DATE | ACTS VIOLATED | REGS VIOLATED | DISPOSITION | DISPOSITION INFORMATION |
|---------------------------------|------------|--------------|-------------|---------------|---------------|--------------------------------------|--|
| YOOS, THOMAS W., JR. | 06-60001 | SD FL | 1/31/2006 | | | EX PARTE STATUTORY RESTRAINING ORDER | FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; GERALD B. WALD APPOINTMENT TEMPORARY RECEIVER. |
| YORK COMMODITIES | 06 CV 7017 | SD NY | 5/7/2007 | 4c(b) | 32.9(a)&(c) | PERMANENT INJUNCTION | DEFAULT ORDER; RESTITUTION OF \$3,262,788.70 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS. |
| ZHOU, RUN PING a/k/a FLORA ZHOU | C 05 2641 | ND CAL | 12/19/2006 | | | | STIPULATED JUDGMENT OF \$1.2 MILLION ENTERED IN ADDITION TO THE CONSENT ORDER OF PERMANENT INJUNCTION; THE ENTIRE OUTSTANDING AMOUNT BECOMES DUE AND OWING IN FULL. |
| ZHUANG, JIAN | CV03-8339 | CD CAL | 11/30/2006 | 4(a); 4b(a) | 1.1(b)(1)-(3) | PERMANENT INJUNCTION | RESTITUTION OF \$2,264,879.94 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$250,000; STOP SOLICITATION; TRADING PROHIBITION. |