

**PROCEEDINGS BULLETIN SUPPLEMENT
JANUARY 1, 2005 THRU DECEMBER 31, 2008**

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
4NEXCHANGE	2-02 CV-432	D UT	4/25/2008	4b(a)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$480,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
AARISTO COMMODITIES AND FUTURES DMCC	07 Civ 2770	SD NY	4/8/2008	4c(a)	1.38(a)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$100,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
ABAD, PAUL	SACV 08-1352	CD CAL	12/1/2008			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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.

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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	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,329,524.50 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
ADDISON MANAGEMENT GROUP, INC.	07-21267	SD FL	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,329,524.50 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.

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ALARON TRADING CORPORATION	08-10	CFTC	4/18/2008		166.3	COMMISSION ORDER	CIVIL MONETARY PENALTY OF \$180,000 AND RESTITUTION OF \$119,295.14 EACH TO BE PAID WITHIN TEN BUSINESS DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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	12/10/2008	4b(a)(2)(i)-(iii); 4o(1); 4k(2); 4m(1)	4.41 (a); 4.20(a)&(c); 4.21	PERMANENT INJUNCTION	RESTITUTION OF \$550,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,650,000; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
AMARANTH ADVISORS (CALGARY) ULC	07 CIV 6682	SD NY	7/25/2007			COMPLAINT FILED	

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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.
AMERICAN LIGHTHOUSE TRADING, INC.	06-60001	SD FL	6/19/2008			DEFAULT ORDER	DISGORGEMENT OF \$6,795.62 PLUS POST JUDGMENT INTEREST.
AMERICAN MIDDLE SCHOOL ATHLETIC ASSOCIATION, INC.	2:08-3297	D SC	9/29/2008			COMPLAINT FILED	
ANDERSON, WENDY	2:07-cv-01185-RSL	WD WA	7/25/2008			DEFAULT ORDER	DISGORGEMENT OF \$5,897.32

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ANGLO INTERNATIONAL ASSOCIATES LTD.	07 C 3598	ND IL	2/19/2008			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.
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.

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AURIFEX COMMODITIES RESEARCH COMPANY	1 05 CV 0166	WD MI	11/24/2008	4m(1); 4b(a)(2)(i)&(iii) ; 4c(b); 4o(1)(A)&(B)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$30,000 AND CIVIL MONETARY PENALTY OF \$120,000 PLUS POST JUDGMENT INTEREST FOR EACH; STOP SOLICITATION; TRADING PROHIBITION; RODGER D. YOUNG APPOINTED EQUITY RECEIVER.
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.
BAKER, PHILLIP J.	07 C 3598	ND IL	2/19/2008			COMPLAINT FILED	
BALDWIN, ELIZABETH	07 CV 10270	SD NY	11/13/2007			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BALLY LINES, LTD.	8:07-CV-01658	MD FL	7/9/2008	4b(a)(2)(i)-(iii)		PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$452,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED
BAME, ROBERT	CV08-05593	CD CAL	9/19/2008	4b(a)(2)(ii); 4o(1)(A)&(B)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.

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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.
BASSETT, RONALD K.	2-02 CV-432	D UT	4/25/2008	4b(a)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$480,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; 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.
BEACON ROCK CAPITAL, LLC	SD 08-04	CFTC	9/17/2008			COMMISSION ORDER	CPO & CTA REGISTRATION REVOKED.

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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.
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.
BELSKY, YEHUDA	09-04	CFTC	12/18/2008	4b(a); 4o(1)(A)&(B); 9(a)(4)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; RESTITUTION OF \$1,250,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; NFA DESIGNATED AS MONITOR; MAY NOT APPLY FOR REGISTRATION WITH COMMISSION; SHALL COMPLY WITH UNDERTAKINGS.

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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.
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.
BLOOM, ERIC A.	08CV2410	ND IL	4/28/2008			COMPLAINT FILED	
BNP PARIBAS COMMODITY FUTURES, LTD.	08-06	CFTC	3/11/2008		17.01; 17.02	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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.
BONFITTO, JOSEPH JAMES	08 C 0192	ND IL	1/9/2008			COMPLAINT FILED	
BOOT CAMP DIET & FITNESS, INC.	06-60001	SD FL	6/3/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$190,000 PLUS POST JUDGMENT INTEREST; GERALD B. WALD APPOINTED RECEIVER.

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BOS, GERALD	09-02	CFTC	12/15/2008	6(c); 6(d); 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$12 MILLION JOINTLY OWED TO BE PAID WITHIN TEN DAYS; FIVE YEAR TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
BOWDEN, BERNADETTE (a/k/a BERNADETTE STATES AND BERNADETTE BOWDEN STATES)	08-22027-CIV	SD FL	7/14/2008			COMPLAINT FILED	
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.
BRANCH, KENNETH L.	DKC 2008-789	D MD	4/4/2008	4b(a)(2)(i)&(iii); 4m(1); 4k(2)&(3); 4o(1)	4.20(a)(1)(b)&(c); 4.21; 4.22; 4.31	PRELIMINARY INJUNCTION	
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, STEPHEN 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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	2/21/2008	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$250,000 AND CIVIL MONETARY PENALTY OF \$350,000 PLUS POST JUDGMENT INTEREST ALL DUE WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
CASSIDY, KEVIN P.	08 CIV 9962	SD NY	11/18/2008			COMPLAINT FILED	
CASTILLO, GILBERT PHILIP JR.	C 06 2540	ND CAL	7/11/2008	4o(1)(A)&(B); 4k(3); 4m(1)	4.41(a)(1)&(2); 4.41(b)(1)	PERMANENT INJUNCTION	RESTITUTION OF \$92,474.60 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$180,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	6/18/2008	4b(a)(2)(i)&(iii); 4k(1)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$100,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
CHASE COMMODITIES CORPORATION	SD 06-01	CFTC	9/13/2006			COMMISSION ORDER	IB REGISTRATION REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
CHOI, JINSUP a/k/a GENE CHOI d/b/a FUTURES INVESTMENT GROUP	SACV08-965	CD CAL	10/22/2008	4b(a)(2)(i)-(iii)		PERMANENT INJUNCTION	RESTITUTION OF \$10,035,614 PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1 MILLION PLUS POST JUDGMENT INTEREST; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
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.
COCOON TRADE INC.	DKC 2008-789	D MD	4/4/2008	4b(a)(2)(i)&(iii); 4m(1); 4k(2)&(3); 4o(1)	4.20(a)(1)(b)&(c); 4.21; 4.22; 4.31	PRELIMINARY INJUNCTION	
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,329,524.50 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.	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.
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.
CSA TRADING GROUP, INC.	2:08-3297	D SC	9/29/2008			COMPLAINT FILED	
DAIRY FARMERS OF AMERICA, INC.	09-02	CFTC	12/15/2008	6(c); 6(d); 9(a)(2); 4a(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$12 MILLION JOINTLY OWED TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
DANIEL ISLAND BUILDERS LLC	2:08-3297	D SC	9/29/2008			COMPLAINT FILED	
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	4/11/2008	4c(b)	32.9; 32.11(a)	PERMANENT INJUNCTION	RESTITUTION OF \$8,042,021 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$800,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
DAYAN, BENJI	07-21267	SD FL	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.

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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.
DEFAZIO, CHARLES A.	06CV 0020	SD CAL	2/13/2008	4b(a)(2)(i)-(iii); 4k(2); 4m(1); 4o(1)(A)&(B)	4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$1,035,470 AND CIVIL MONETARY PENALTY OF \$400,000 PLUS POST JUDGMENT INTEREST EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
DELAY, TODD J.	05-cv-5026	ND IL	9/29/2005			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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	9/9/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)-(c); 32.11	PERMANENT INJUNCTION	RESTITUTION OF \$4,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$4,000,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
DOW, WALLY	04 CIV 3 04 0898	MD TN	1/18/2008			ORDER	CONSENT ORDER OF DISMISSAL GRANTED.
DOWSON, CHRISTOPHER	08 CIV 6560	SD NY	7/24/2008			COMPLAINT FILED	
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.

**PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
E-METAL MERCHANTS, INC.	05-21571	SD FL	4/11/2008	4c(b)	32.9; 32.11(a)	PERMANENT INJUNCTION	RESTITUTION OF \$8,042,021 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,000,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
ENERGY TRANSFER COMPANY	3-07CV1301-K	ND TX	3/17/2008	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$10,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
ENERGY TRANSFER PARTNERS, L.P.	3-07CV1301-K	ND TX	3/17/2008	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$10,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
EQUITY FINANCIAL GROUP, LLC	04CV1512	D NJ	6/4/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$789,333.55; CIVIL MONETARY PENALTY OF \$2,223,072.59; RESTITUTION OF \$5,325,760.16 JOINTLY OWED.
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.
ERVIN, JON G.	SACV08-00474	CD CAL	5/1/2008			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; THOMAS A. SEAMAWA APPOINTED TEMPORARY RECEIVER.
ETC MARKETING, LTD.	3-07CV1301-K	ND TX	3/17/2008	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$10,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
EUSTACE, PAUL M.	05 cv 2973	ED PA	8/13/2008			ORDER	RESTITUTION OF \$279,245,101.39 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$12 MILLION; FREEZE OF ASSETS; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
EVORS, EDWARD J.	8:07-CV-01658	MD FL	7/9/2008	4b(a)(2)(i)-(iii)		PERMANENT INJUNCTION	RESTITUTION OF \$452,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$452,000; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL NOT APPLY FOR REGISTRATION.
EXECUTIVE COMMODITY CORP.	06-60886	SD FL	2/21/2008	4c(b)	33.10; 33.7(f)	PERMANENT INJUNCTION	RESTITUTION OF \$15,260,000 AND CIVIL MONETARY PENALTY OF \$5,000,000 PLUS POST JUDGMENT INTEREST ALL DUE WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FASTIAN, WOLFGANG J.	04 CIV 3 04 0898	MD TN	3/4/2008	4b(a)(2)(i)&(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$28,500; DISGORGEMENT OF \$187,000; AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST ALL DUE WITHIN TEN DAYS; NFA DESIGNATED AS MONITOR.
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	10/1/2008	4c(b)	1.1(b); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$3,100.00 POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,600,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MARK SILVERIO, ESQ APPOINTED RECEIVER; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
FINANCIAL RISK MANAGEMENT	06-61812	SD FL	10/1/2008	4c(b)	1.1(b); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$3,100.00 POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MARK SILVERIO, ESQ APPOINTED RECEIVER; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FIRST INTERNATIONAL GROUP, INC.	06-20979	SD FL	4/18/2006			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
FIRST LEXINGTON GROUP, LLC	03 CV 9124	SD NY	3/24/2008	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT & RESTITUTION OF \$2,226,063.68 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; BRIAN ROSNER, ESQ APPOINTED PERMANENT EQUITY RECEIVER.
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.
FIRTH, VINCENT J.	04CV1512	D NJ	6/4/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$580,321.90; CIVIL MONETARY PENALTY OF \$1,160,643.779; RESTITUTION OF \$5,325,760.16 JOINTLY OWED.
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.

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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.

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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	3/31/2008	4f(b); 4f(a)(1)	1.17; 1.18	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS.
FOREFRONT INVESTMENTS LIMITED PARTNERSHIP	07-21267	SD FL	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,065,459.61 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
FORTE, JOSEPH S.	09-0064PD	ED PA	1/8/2009	4b(a)(2)(i)-(iii); 4b(a)(1)(A)-(C); 4m(1); 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; SHALL COMPLY WITH UNDERTAKINGS.
FORTIS INVESTMENT MANAGEMENT USA, INC.	09-05	CFTC	1/8/2009		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$75,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
FORWARD INVESTMENT GROUP, LLC	CV08-05593	CD CAL	9/19/2008	4b(a)(2)(ii); 4o(1)(A)&(B)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; 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.
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.
FUTURES TRADING ACADEMY, INC.	1:07-cv-22396	SD FL	12/19/2008			PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$420,132.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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; 10/18/07	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. 10/18/07 ORDER MODIFIED RESTITUTION TO \$826,500 JOINTLY OWED.
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.
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.
GALAXY RESOURCES 2000, LLC	06CV 0020	SD CAL	2/13/2008	4b(a)(2)(i)-(iii); 4k(2); 4m(1); 4o(1)(A)&(B)	4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$1,035,470 AND CIVIL MONETARY PENALTY OF \$400,000 PLUS POST JUDGMENT INTEREST EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GALLITANO, STEPHANIE ANN	06-61812	SD FL	10/1/2008	4c(b)	1.1(b); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$3,100,00 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$213,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MARK SILVERIO, ESQ APPOINTED RECEIVER; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
GLASE, JOHN C.	SD 08-03	CFTC	7/30/2008			STATUTORY DISQUALIFICATION	
GLOBAL ASSET PARTNERS, LTD. a/k/a GLOBAL ASSET PARTNERS, LLC	2:07-cv-01185-RSL	WD WA	9/9/2008	4c(b)	1.1(b)(2); 32.9(a)-(c)	PERMANENT INJUNCTION	RESTITUTION OF \$11,612,538.55 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$11,612,538.55 JOINTLY OWED PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
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	9/9/2008	4c(b)	1.1(b)(2); 32.9(a)-(c)	PERMANENT INJUNCTION	RESTITUTION OF \$11,612,538.55 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$11,612,538.55 JOINTLY OWED PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
GLOBAL CURRENCY TRADING GROUP, LLC	2:07-cv-01185-RSL	WD WA	9/9/2008	4c(b)	1.1(b)(2); 32.9(a)-(c)	PERMANENT INJUNCTION	RESTITUTION OF \$11,612,538.55 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$11,612,538.55 JOINTLY OWED PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.

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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, ROSALIND	07-61058	SD FL	8/25/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$400,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.
GOLDMAN, SAMMY JOE	07-61058	SD FL	8/25/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$400,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.
GOROS, LLC	1:040V0016	ND OH	4/19/2006				DISMISSED
GPS FUND, LTD.	8:07-CV-01658	MD FL	7/9/2008	4b(a)(2)(i)-(iii)		PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$452,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED
GRANT, PAUL R.	2-02 CV-432	D UT	11/18/2008	4b(a)(2)(i)&(iii); 4(a)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
GUTHRIE, TODD	07-21267	SD FL	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
HAINKE & ANDERSON TRADING LLC	07 Civ 2770	SD NY	4/5/2007			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
HAMLIN MERCER GROUP, INC.	07-21267	SD FL	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,329,524.50 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
HANFORD INVESTMENTS LTD.	07 C 3598	ND IL	2/19/2008			COMPLAINT FILED	
HANMAN, GARY	09-02	CFTC	12/15/2008	6(c); 6(d); 9(a)(2)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$12 MILLION JOINTLY OWED TO BE PAID WITHIN TEN DAYS; FIVE YEAR TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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	2/25/2008	4m	4.21	PERMANENT INJUNCTION	DISGORGEMENT OF \$230,000; CIVIL MONETARY PENALTY OF \$230,000.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
HEIERLE, JOERG	1:07-cv-22396	SD FL	12/19/2008	4b(a)(2); 4c(b); 4o(1)(A)&(B); 4m(1); 4k(2)	33.10(a)-(c); 4.20(a)(1)&(b); 4.21; 4.22	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$3,075,841 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3 MILLION PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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	3/4/2008	4b(a)(2)(i)&(iii) ; 4c(b); 4o(1)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$252,850.93 AND CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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	3/17/2008	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$10,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.

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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.
HUDGINS, GEORGE, individually and dba GEORGE D. HUDGINS, LLC	608CV187	ED TX	6/9/2008	4b(a)(2)(i)-(iii); 4m(1); 4o(1)	33.10(a)-(c); 4.41(a)	PRELIMINARY INJUNCTION	MR. KELLY CRAWFORD APPOINTED RECEIVER.
HUNTER, BRIAN	07 CIV 6682	SD NY	7/25/2007			COMPLAINT FILED	
HUSAIN, LALITA	07-61058	SD FL	8/25/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$400,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.
HUSAIN, MANSURE "MANNY"	07-61058	SD FL	8/25/2008	4(f)(b); 9(a)(4)	1.17(a)(1)(i)(C); 1.10(d)(1)(vi)	PERMANENT INJUNCTION	RESTITUTION OF \$3,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; DISGORGEMENT OF \$400,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.
HUSAIN, SULAIMAN "SAL"	07-61058	SD FL	8/25/2008	4(f)(b); 9(a)(4)	1.17(a)(1)(i)(C); 1.10(d)(1)(vi)	PERMANENT INJUNCTION	RESTITUTION OF \$3,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; DISGORGEMENT OF \$400,000 JOINTLY OWED; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
INH INTERHOLDING SA	1:07-cv-22396	SD FL	12/19/2008	4b(a)(2); 4c(b); 4o(1)(A)&(B); 4m(1); 4k(2)	33.10(a)-(c); 4.20(a)(1)&(b); 4.21; 4.22	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$3,075,841 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3 MILLION PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
INNOVATIVE CAPITAL MANAGEMENT, LLC	09-04	CFTC	12/18/2008	4b(a); 4o(1)(A)&(B); 9(a)(4)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; RESTITUTION OF \$1,250,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS; NFA DESIGNATED AS MONITOR; MAY NOT APPLY FOR REGISTRATION WITH COMMISSION; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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 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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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 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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
ITRADECURRENCY USA, LLC	03 CV 9125	SD NY	8/6/2008	4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$447,314 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED WITH MOORE & IANNUZZI; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
ITRADECURRENCY USA, LLC	03 CV 9129	SD NY	8/15/2008	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$970,573 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED WITH MOORE & IANNUZZI; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
JADE TRADER	CV04-8213	CD CAL	6/11/2008	4b(a)(2)(i)&(iii); 4o(1); 4m(1); 4k(3)	4.41(a); 3.12(a); 4.31(a)	PERMANENT INJUNCTION	RESTITUTION OF \$127,135.96 AND CIVIL MONETARY PENALTY OF \$50,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
JAIN, KANTA NATH	07 Civ 2770	SD NY	4/5/2007			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
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.

**PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
JIMENEZ, ALBERTO J.	06-60886	SD FL	2/21/2008	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$250,000 AND CIVIL MONETARY PENALTY OF \$300,000 PLUS POST JUDGMENT INTEREST ALL DUE WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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	6/3/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$429,000 PLUS POST JUDGMENT INTEREST.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KARVELLAS, STEVEN	08-08	CFTC	4/8/2008	4b(a)(1)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$375,000 PLUS POST JUDGMENT INTEREST OWED WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; 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.
KEANE, BRIAN	09-01	CFTC	10/6/2008	4b(a)(1)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$90,00 TO BE PAID WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
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.
KEMPEN, BASTIAN VAN	08 CIV 6560	SD NY	7/24/2008			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KENNEDY, THOMAS C.	06-60886	SD FL	2/21/2008	4c(b)	33.10	PERMANENT INJUNCTION	RESTITUTION OF \$2,000,000 AND CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST ALL DUE WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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	2/6/2008	4b(a)(2)(ii); 4o(1)(A)&(B); 4m(1)	4.20; 4.21; 4.30; 4.31	PERMANENT INJUNCTION	RESTITUTION OF \$815,800 AND CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST OWED; STOP SOLICITATION; TRADING PROHIBITION; DAN DRISCOLL OF NFA DESIGNATED AS MONITOR.
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.
KLOTZ, MONETTE	1 05 CV 0166	WD MI	2/1/2008	4b(a)(2)(i)-(iii); 4c(b); 4o(1); 4m(1); 4n(4)	33.10; 4.22; 4.21; 4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$1,826,708.16 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$350,000 PLUS JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; RODGER D. YOUNG APPOINTED EQUITY RECEIVER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
KLOTZ, TY	1 05 CV 0166	WD MI	2/1/2008	4b(a)(2)(i)-(iii); 4c(b); 4o(1); 4m(1); 4n(4)	33.10; 4.22; 4.21; 4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$1,826,708.16 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$960,000 PLUS JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; RODGER D. YOUNG APPOINTED EQUITY RECEIVER.
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.
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.
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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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
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 GILLET, ESQ.; AND \$230 TO LANDMARK CONSULTING, INC. FOR LEGAL AND ACCOUNTING SERVICES.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET ACCOUNT I LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET ACCOUNT II LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LAKE SHORE ALTERNATIVE FINANCIAL ASSET ACCOUNT III LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET ACCOUNT LIMITED a/k/a LAKE SHORE ALTERNATIVE FINANCIAL ASSET LTD.	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET FUND II LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET FUND III LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET FUND IV LIMITED, CURRENTLY KNOWN AS GENEVA CORPORATION FUNDS WORLD LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LAKE SHORE ALTERNATIVE FINANCIAL ASSET FUND IV US, LLC	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET FUND LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET YEN FUND I	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET YEN FUND LIMITED CLASS II	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
LAKE SHORE ALTERNATIVE FINANCIAL ASSET YEN FUND LIMITED CLASS III	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LAKE SHORE GROUP OF COMPANIES INC., LIMITED	1:07-cv-03598	ND IL	4/24/2008	4b(a)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	DEFAULT ORDER; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; DISGORGEMENT, RESTITUTION & CIVIL MONETARY PENALTIES TO BE DETERMINED.
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.
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	9/9/2008	4c(b)	1.1(b)(2); 32.9(a)-(c)	PERMANENT INJUNCTION	RESTITUTION OF \$11,612,538.55 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$11,612,538.55 JOINTLY OWED PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
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	
LAWRENCE-BONFITTO TRADING COMPANY	08 C 0192	ND IL	1/9/2008			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LEE, DAVID	08 CIV 9962	SD NY	11/18/2008			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	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$260,000 PLUS POST JUDGMENT INTEREST; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
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 FINANCIAL TRADING CORPORATION, INC.	SD 08-02	CFTC	4/21/2008			ALJ INITIAL DECISION	IB REGISTRATION REVOKED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LIBERTY MUTUAL GROUP, INC. (THE)	07-21267	SD FL	12/4/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$7,081,036.63 PLUS POST JUDGMENT INTEREST JOINTLY OWED; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
LIBERTY REAL ASSETS MANAGEMENT CORPORATION	SD 08-02	CFTC	4/21/2008			ALJ INITIAL DECISION	IB REGISTRATION REVOKED.
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.
LINUXOR ASSET MANAGEMENT, LLC	05 CV 8091	SD NY	12/17/2008	4b(a)(2)(i)-(iii); 4o(1)	4.7(b)(2)-(3); 4.20(b)-(c)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$200,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION WITH COMMISSION; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LISKIEWICZ, MICHAEL J.	06-04	CFTC	6/12/2006	4b(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.
LJH GLOBAL INVESTMENTS, LLC	08-05	CFTC	2/14/2008	4n(3)&(4)	4.7(b)(3)(i); 4.7(b)(3)(i)C); 4.7(b)(3)(ii)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$125,000 TO BE PAID WITHIN TEN DAS; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
MALONEY, THOMAS	08-09	CFTC	4/8/2008	4b(a)(1)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$62,500 PLUS POST JUDGMENT INTEREST OWED WITHIN TEN DAYS; PERMANENT TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
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.
MANSUR CAPITAL CORPORATION	08-15	CFTC	9/23/2008		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$75,000 TO BE PAID WITHIN TEN 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.

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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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
MBG GLOBAL, LLC	3:08-cv-445	WD NC	9/26/2008			COMPLAINT FILED	
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 BUSINESS GROUP, LLC	3:08-cv-445	WD NC	9/26/2008			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.
MCMAHAN, ROCKLAND P.	08-07	CFTC	3/18/2008			COMPLAINT FILED	

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MEALING, RON	04 CIV 3 04 0898	MD TN	9/11/2008	4b(a)	1.1(b)	PERMANENT INJUNCTION	RESTITUTION OF \$13,425 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; CIVIL MONETARY PENALTY OF \$40,275 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR.
MEIJER, RANDAL	08 CIV 6560	SD NY	7/24/2008			COMPLAINT FILED	
MEISNER, MICHAEL A.	08-81044	SD FL	11/17/2008	4b(a)(2)(i)-(iii); 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
MEISNER,, VICTORIA R.	08-81044	SD FL	11/17/2008	4b(a)(2)(i)-(iii); 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.

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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	3/20/2008	4b(a)(2)(i)&(iii)		ALJ INITIAL DECISION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$211,000; RESTITUTION OF \$214,066.30; PERMANENT TRADING PROHIBITION.
MILLAR, GLENN	09-03	CFTC	12/15/2008	4a(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$90,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
MILLENIUUM 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.
MIRONOV, ALEXEY	SACV 03-1454-JVS	CD CAL	9/28/2007; 2/29/08			ORDER	RESTITUTION OF \$2,263,951.18; CIVIL MONETARY PENALTY TO BE DETERMINED. 2/29/08 PERMANENT INJUNCTION ENTERED; CIVIL MONETARY PENALTY OF \$165,000.

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MISCHLER, JEFFREY A.	04-2181	WD TN	9/27/2007; 10/18/07	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. 10/18/07 ORDER MODIFIED RESTITUTION TO \$826,500 JOINTLY OWED.
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.
MOORE, ROBERT	08 CIV 9962	SD NY	11/18/2008			COMPLAINT FILED	
MOORE, STEVEN	03 CV 9125	SD NY	8/6/2008	4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$447,314 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED WITH ITRADECURRENCY & IANNUZZI; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MOORE, STEVEN	03 CV 9129	SD NY	8/6/2008	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$970,573 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED WITH ITRADECURRENCY & IANNUZZI; CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
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.
MOSLEY, CHARLES K.	08CV2410	ND IL	4/28/2008			COMPLAINT FILED	
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	
MW FIRST INC.	04 CIV 3 04 0898	MD TN	1/18/2008			ORDER	CONSENT ORDER OF DISMISSAL GRANTED.
MW FIRST TRUSTEES INC.	04 CIV 3 04 0898	MD TN	9/11/2008			PERMANENT INJUNCTION	SHALL DISGORGE ALL REMAINING ASSETS.

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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	8/25/2008	4(f)(b); 9(a)(4)	1.17(a)(1)(i)(C); 1.10(d)(1)(vi)	PERMANENT INJUNCTION	RESTITUTION OF \$3,500,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$500,000 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS.
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.

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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.

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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.
O'CONNOR, EDWARD	08 CIV 9962	SD NY	11/18/2008			COMPLAINT FILED	
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	2/7/2008	4f(a)&(b)	1.17(4); 1.18	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
OPTIONABLE INC.	08 CIV 9962	SD NY	11/18/2008			COMPLAINT FILED	
OPTIVER HOLDING BV	08 CIV 6560	SD NY	7/24/2008			COMPLAINT FILED	
OPTIVER U.S. LLC	08 CIV 6560	SD NY	7/24/2008			COMPLAINT FILED	
OPTIVER VOF	08 CIV 6560	SD NY	7/24/2008			COMPLAINT FILED	

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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.
OTIS, FRANK	09-03	CFTC	12/15/2008	4a(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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.

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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.
PALMETTO STATE COMMODITIES, INC.	2:08-3297	D SC	9/29/2008			COMPLAINT FILED	
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.
PARADIGM CAPITAL MANAGEMENT LLC	08-04	CFTC	2/14/2008		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$75,000 TO BE PAID WITHIN TEN DAS; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
PENINGER, MICHAEL DERRICK individually and d/b/a COOPER RIVER GROUP	2:08-3297	D SC	9/29/2008			COMPLAINT FILED	
PEREZ, ALVIN	08-11	CFTC	8/26/2008	9(f)(1)	1.59(d)(1)(ii)	COMMISSION ORDER	CEASE & DESIST ORDER; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
PERKINS, WILLIAM D.	1:06-cv-4674	D NJ	9/28/2006			COMPLAINT FILED	
PERSISTENT EDGE MANAGEMENT LLC	08-16	CFTC	9/23/2008		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$120,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PHILADELPHIA ALTERNATIVE ASSET MANAGEMENT COMPANY, LLC	05 cv 2973	ED PA	8/13/2008	4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B)	33.10; 4.41(a)(1)&(2)	DEFAULT ORDER	RESTITUTION OF \$279,245,101.39 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$8.8 MILLION; FREEZE OF ASSETS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
PHILADELPHIA ALTERNATIVE ASSET MANAGEMENT COMPANY, LLC	SD 08-05	CFTC	9/23/2008			STATUTORY DISQUALIFICATION FILED	
PHOENIX DIVERSIFIED INVESTMENT CORPORATION, INC.	08-81044	SD FL	11/17/2008	4b(a)(2)(i)-(iii); 4o(1)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
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.

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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	7/25/2008			DEFAULT ORDER	DISGORGEMENT OF \$3,934,005.53.
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	3/14/2008	4b(A)(2)(i)-(iii); 4o(1)(A)&(B)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY & RESTITUTION TO BE DETERMINED; STOP SOLICITATION; TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
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.

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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	11/13/2008	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$475,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; MAY NOT APPLY FOR REGISTRATION.
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.

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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
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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.

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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.
ROANE, ROBERT LEE	08-03	CFTC	1/24/2008	4b(a)(2)(i)&(iii) ; 4o(1); 4m(1)	4.20(A)-(C); 4.21(a)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST; RESTITUTION OF \$609,116 PLUS POST JUDGMENT INTEREST; MAKE NOT APPLY FOR REGISTRATION; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	1/10/2008	4c(b)	1.1(b); 32.9; 32.11	PERMANENT INJUNCTION	DISGORGEMENT OF \$13,067,843; CIVIL MONETARY PENALTY OF \$120,000; FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
ROLANDO, DIEGO MARIANO a/k/a ROCLERMAN AND ROC AND d/b/a IA TRADING.COM INC.	3:08 CV 0064	D CT	12/10/2008	4b(a)(2)(i)-(iii); 4c(b)	33.10(a)-(c)	PERMANENT INJUNCTION	DEFAULT ORDER; RESTITUTION OF \$197,125.52; CIVIL MONETARY PENALTY OF \$10 MILLION PLUS POST JUDGMENT INTEREST; MAY NOT APPLY FOR REGISTRATION.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
ROSENTHAL COLLINS GROUP, L.L.C.	08-12	CFTC	8/26/2008		166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$310,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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.
ROSS, MICHAEL	03 CV 9126	SD NY	8/6/2008	4b(a)(2)	1.1(b)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION.
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	

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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	3/27/2008	4b(a)(2)(i)&(iii)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	RESTITUTION OF \$1,906,502.30 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$982,569 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
RUSFELDT, ADEN	07-130	SD TX	3/27/2008	4b(a)(2)(i)&(iii)	1.1(b)(1)-(3)	PERMANENT INJUNCTION	RESTITUTION OF \$1,906,502.30 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$327,523 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; 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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
SAFEVEST LLC	SACV08-00474	CD CAL	5/1/2008			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; THOMAS A. SEAMAWS APPOINTED TEMPORARY RECEIVER.
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.
SAPIENZA, EDWARD JR.	03 CV 9126	SD NY	3/26/2008	4b(a)(2)	1.1(b)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$240,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION.
SARVEY, EDWARD C.	08 C 0192	ND IL	1/9/2008			COMPLAINT FILED	
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
SCHIAVONE, FRANK	03 CV 9126	SD NY	3/24/2008	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$96,094 PLUS PRE & POST JUDGMENT INTEREST; RESTITUTION OF \$6,800,951 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$1,875,081 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; PARTIAL ASSET FREEZE LIFTED.
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.
SCHIRCK, JOHN	04 CIV 3 04 0898	MD TN	1/18/2008			ORDER	CONSENT ORDER OF DISMISSAL GRANTED.
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	9/11/2008	4b(a)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1)	33.10; 4.20(a)&(b); 4.21; 4.30; 4.31	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$1,000,000; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION.

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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.
SEMPRA ENERGY TRADING LLC fna SEMPRA ENERGY TRADING CORP.	08-14	CFTC	9/4/2008		1.35(d)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$175,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
SENTINEL MANAGEMENT GROUP, INC.	08CV2410	ND IL	4/28/2008			COMPLAINT FILED	
SHAH, ABBAS A.	05 CV 8091	SD NY	12/17/2008	4b(a)(2)(i)-(iii); 4o(1)	4.7(b)(2)-(3); 4.20(b)-(c)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$200,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION WITH COMMISSION; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
SHIMER, ROBERT W.	04CV1512	D NJ	6/4/2008			PERMANENT INJUNCTION	DISGORGEMENT OF \$1,871,354.57; CIVIL MONETARY PENALTY OF \$3,742,709.11; RESTITUTION OF \$5,325,760.16 JOINTLY OWED.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
SKIBO ASSET MANAGEMENT, LLC	SD 08-03	CFTC	7/30/2008			STATUTORY DISQUALIFICATION	
SKLENA, DAVID G.	08 C 0192	ND IL	1/9/2008			COMPLAINT FILED	
SLYE, JOHN V., JR.	SACV08-00474	CD CAL	5/1/2008			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; THOMAS A. SEAMAWES APPOINTED TEMPORARY RECEIVER.
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.
SNELGROVE, BARBARA	3:07CV152	ED VA	3/31/2008	4f(b); 4f(a)(1)	1.17; 1.18	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; MAY NOT APPLY FOR REGISTRATION FOR A PERIOD OF 3 YEARS; SHALL COMPLY WITH UNDERTAKINGS.
SNELGROVE, DONALD	3:07CV152	ED VA	3/31/2008	4f(b); 4f(a)(1)	1.17; 1.18	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$130,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; MAY NOT APPLY FOR REGISTRATION FOR A PERIOD OF 3 YEARS; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SNYDER, WILLIAM	CV-N-06-512	D NV	12/10/2008	4b(a)(2)(i)-(iii); 4o(1); 4k(2); 4m(1)	4.41(a); 4.20(a)&(c); 4.21	PERMANENT INJUNCTION	RESTITUTION OF \$550,000 JOINTLY OWED PLUS POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$1,450,000; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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			ALJ 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.
SPRING MOUNTAIN CAPITAL G.P., LLC	09-06	CFTC	1/8/2009		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$75,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
SPRING MOUNTAIN CAPITAL, LP	09-06	CFTC	1/8/2009		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$75,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
STAR CONNECTION, INC.	04 CIV 3 04 0898	MD TN	2/12/2008			PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$658,000 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
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.
STATES, PAUL	08-22027-CIV	SD FL	7/14/2008			COMPLAINT FILED	
STATES, ROBIN (a/k/a GREGORY HAMPTON d/b/a INFINITY ONLINE INVESTORS GROUP	08-22027-CIV	SD FL	7/14/2008			COMPLAINT FILED	
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
STERN, ANDREW	05-21571	SD FL	4/11/2008	4c(b)	32.9; 32.11(a)	PERMANENT INJUNCTION	RESTITUTION OF \$8,042,021 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$200,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.
STILLWATER CAPITAL PARTNERS, INC.	08-17	CFTC	9/23/2008		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; JOINTLY OWED CIVIL MONETARY PENALTY OF \$135,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
STILLWATER CAPITAL PARTNERS, LLC	08-17	CFTC	9/23/2008		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; JOINTLY OWED CIVIL MONETARY PENALTY OF \$135,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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.
SUCARATO, ROBERT J. d/b/a NEW YORK FINANCIAL COMPANY	08-1932 (JBS)	D NJ	4/22/2008			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	1/8/2008	4c(a)	1.38(a)	PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$164,680 PLUS POST JUDGMENT INTEREST; SHALL COMPLY WITH UNDERTAKINGS.
SUTHERLAND GROUP, INC.	SD 08-03	CFTC	7/30/2008			STATUTORY DISQUALIFICATION	
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.
THE BLOOMING VILLAGE FLORIST, INC.	2:08-3297	D SC	9/29/2008			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
THIRTEEN THIRTY-TWO, INC. d/b/a MRTS ASSET MANAGEMENT	SACV 08-1352	CD CAL	12/1/2008			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
TREMBLAY, RYAN	08-13	CFTC	8/28/2008	4b(a)(1)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 PLUS POST JUDGMENT INTEREST TO BE PAID WITHIN 30 DAYS; PERMANENT TRADING PROHIBITION; SHALL COMPLY WITH UNDERTAKINGS.
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
TYRONE "CAUZAE" MCCALL	3:08-cv-445	WD NC	9/26/2008			COMPLAINT FILED	
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.
UBS FUND ADVISOR, LLCC	09-07	CFTC	1/8/2009		4.7(b)(3)(i)	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 TO BE PAID WITHIN TEN DAYS; SHALL COMPLY WITH UNDERTAKINGS.
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.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	9/9/2008	4c(b)	1.1(b)(1)&(3); 32.9(a)-(c); 32.11	PERMANENT INJUNCTION	RESTITUTION OF \$4,000,000 PLUS POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$360,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; SHALL COMPLY WITH UNDERTAKINGS.
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.

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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.
VELAZQUEZ, EDWARD	04C 5853	ND IL	1/31/2008	4b(a)(2)(i)&(iii) ; 4o(1)(A)&(B)	4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$6,742,116.54 AND CIVIL MONETARY PENALTY OF \$4,951,322.49 PLUS POST JUDGMENT INTEREST EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.

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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 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.
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.
V-TEK CAPITAL, INC. (BVI)	04C 5853	ND IL	1/31/2008	4b(a)(2)(i)&(iii); 4o(1)(A)&(B)	4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$6,742,116.54 AND CIVIL MONETARY PENALTY OF \$4,951,322.49 PLUS POST JUDGMENT INTEREST EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
V-TEK CAPITAL, INC. (IL)	04C 5853	ND IL	1/31/2008	4b(a)(2)(i)&(iii); 4o(1)(A)&(B)	4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$6,742,116.54 AND CIVIL MONETARY PENALTY OF \$4,951,322.49 PLUS POST JUDGMENT INTEREST EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
V-TEK TRADING GROUP, INC.	04C 5853	ND IL	1/31/2008	4b(a)(2)(i)&(iii); 4o(1)(A)&(B)	4.20(c)	PERMANENT INJUNCTION	RESTITUTION OF \$6,742,116.54 AND CIVIL MONETARY PENALTY OF \$4,951,322.49 PLUS POST JUDGMENT INTEREST EACH JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	2/7/2008	4f(a)&(b)	1.17(4); 1.18	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
WALTER, SCOTT LEV & ASSOCIATES, LLC	03 CV 9126	SD NY	8/6/2008	4b(a)(2)	1.1(b)	PERMANENT INJUNCTION	DISGORGEMENT OF \$3,621,261 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; RESTITUTION OF \$6,800,951 PLUS PRE & POST JUDGMENT INTEREST WITH YAMPOLSKY, SAPIENZA, SCHIAVONE, AND KOROBOV; CIVIL MONETARY PENALTY OF \$10,863,783 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; BRIAN ROSNER APPOINTED PERMANENT RECEIVER.
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.
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.

**PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
WEINER, LESLIE	04-61235	SD FL	1/8/2008	4c(b)	33.10(a)&(c)	PERMANENT INJUNCTION	RESTITUTION OF \$70,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$100,000 PLUS JUDGMENT INTEREST TO BE PAID WITHIN TEN DAYS; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
WHITELY, DEANA	04 CIV 3 04 0898	MD TN	2/12/2008			PERMANENT INJUNCTION	DEFAULT ORDER; DISGORGEMENT OF \$245,424.42 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR.
WHITNEY, MICHAEL	H 05-333	SD TX	3/5/2008	6(c); 6(d); 9(a)(2)		PERMANENT INJUNCTION	CIVIL MONETARY PENALTY OF \$55,000 PLUS POST JUDGMENT INTEREST; SHALL NOT APPLY FOR REGISTRATION FOR A PERIOD OF 4 YEARS.
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.

**PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	12/10/2008	4b(a)(2)(i)-(iii); 4o(1); 4k(2); 4m(1)	4.41 (a); 4.20(a)&(c); 4.21	PERMANENT INJUNCTION	DISGORGEMENT OF \$220,000 PLUS POST JUDGMENT INTEREST; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
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.

**PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	3/20/2008			ALJ INITIAL DECISION	DEFAULT ORDER; FCM REGISTRATION REVOKED; BECAME FINAL ORDER OF COMMISSION ON 5/23/08.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
YAMPOLSKY, MAXIM	03 CV 9126	SD NY	2/8/2008	4b(a)(2); 4(a)	1.1(b)	PERMANENT INJUNCTION	DEFAULT ORDER; CIVIL MONETARY PENALTY OF \$1,875,081 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION; PARTIAL ASSET FREEZE LIFTED.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
YOOS, THOMAS W., JR.	06-60001	SD FL	7/9/2008			DEFAULT ORDER	DISGORGEMENT OF \$15,100 PLUS POST JUDGMENT INTEREST.
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, JAMES J.	CV04-8213	CD CAL	6/11/2008	4b(a)(2)(i)&(iii); 4o(1); 4m(1); 4k(3)	4.41(a); 3.12(a); 4.31(a)	PERMANENT INJUNCTION	RESTITUTION OF \$127,135.96 AND CIVIL MONETARY PENALTY OF \$50,000 PLUS PRE & POST JUDGMENT INTEREST JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
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.