## UNITED STATES OF AMERICA Before the COMMODITY FUTURES TRADING COMMISSION

	<del></del> ,	70	2012	
In the Matter of:	) ) CFTC	Docket No. SD	~ 12- <b>0</b> ≰	<del>-</del>
in the Mutter of	)	Offi OCe		0 E
Robert Wayne Mansell,	)	ិ គ <b>ែ</b> ១ <b>១ ៤</b>	$\overline{\omega}$	
Registrant.	)	် <b>ဘီ ဝ</b> ည <b>်</b>	P	C K
	ز	一 5 7 大	<i>پ</i>	J

## NOTICE OF INTENT TO REVOKE THE REGISTRATION OF ROBERT WAYNE MANSELL

I.

The U.S. Commodity Futures Trading Commission ("Commission") has received information from its staff that tends to show, and the Commission's Division of Enforcement ("Division") alleges and is prepared to prove, that:

- 1. Robert Wayne Mansell ("Mansell") is an Illinois resident and has been registered as a Floor Broker at the Chicago Board of Trade since May 6, 1987.
- 2. On October 8, 2010, the United States Attorney's Office for the Northern District of Illinois filed a federal criminal information charging Mansell with attempt to possess cocaine with the intent to distribute in violation of 21 U.S.C. § 841(a)(1). See United States v. Mansell, Case No. 10-CR-864 (N.D. Ill. filed October 8, 2010) (hereinafter "U.S. v. Mansell").
- 3. On September 7, 2011, Mansell pleaded guilty to one felony count in violation of 21 U.S.C. § 846 in *U.S. v. Robert Mansell*. As a part of the plea agreement, Mansell agreed to consent before sentencing to the revocation of his commodities floor broker registration by the Commission and to be barred from reapplying as a commodities floor broker.

- 4. Pursuant to Section 8a(4) of the Commodity Exchange Act ("Act"), 7 U.S.C. § 12a(4), the Commission may revoke the registration of any person if cause exists under Section 8a(3) which would warrant a refusal of registration of that person.
- 5. Pursuant to Section 8a(3)(D) of the Act, 7 U.S.C. § 12a(3)(D), the Commission may refuse to register any person if it is found that such person pleaded guilty to a felony other than a felony of the type specified in Section 8a(2)(D). Mansell pleaded guilty to a felony other than the type specified in Section 8a(2)(D) and, as a part of his plea agreement, has agreed to the revocation of his commodities floor broker registration.
- 6. The facts set forth above constitute a valid basis for the Commission to revoke Mansell's registration.

II.

- 7. Pursuant to Commission Regulation ("Regulation") 3.60(a), 17 C.F.R. § 3.60(a) (2011), Mansell is hereby notified that a public proceeding shall be conducted in accordance with the provisions of Regulation 3.60, 17 C.F.R. § 3.60 (2011), and Part 10 of the Regulations, 17 C.F.R. § 10.1 et seq. on the following questions:
  - i. Whether Mansell is subject to statutory disqualification from registration under Section 8a(4) of the Act as set forth in Section I above.
  - ii. If the answer to the above question is affirmative, whether the registration of Mansell as a floor broker should be revoked.
- 8. Such proceeding shall be held before an Administrative Law Judge or a Presiding Officer in accordance with Regulations 3.60, and 10.8, 17 C.F.R. § 3.60, 10.8 (2011), and all post-hearing procedures shall be conducted pursuant to Regulations 3.60(i)-(j), 17 C.F.R. § 3.60(i)-(j) (2011).

9. In accordance with the provisions of Regulation 3.60(a)(3), 17 C.F.R. § 3.60(a)(3) (2011), Mansell is entitled to file a response challenging the evidentiary bases of the statutory disqualification or show cause why, notwithstanding the accuracy of the allegations, his registration should not be revoked. Such response must be filed with the Proceedings Clerk, Office of Proceedings, Commodity Futures Trading Commission, Three Lafayette Centre, 1155 21st Street, N.W., Washington, D.C. 20581, and served upon Carlin Metzger, Senior Trial Attorney, Division of Enforcement, Chicago Regional Office, 525 W. Monroe, Chicago, Illinois 60661, within thirty (30) days after the date of service of this Notice upon Mansell, in accordance with the provisions of Regulation 3.60(b), 17 C.F.R. § 3.60(b) (2011). If Mansell fails to file a timely response to this Notice, the allegations set forth herein shall be deemed to be true, and the Administrative Law Judge or the Presiding Officer may issue an Order of Default in accordance with the provisions of Regulation 3.60(g), 17 C.F.R. § 3.60(g) (2011).

III.

10. The Proceedings Clerk shall serve this Notice of Intent to Revoke the Registrations of Robert Mansell by registered or certified mail pursuant to Regulation 3.50, 17 C.F.R. § 3.50 (2011).

By the Commission.

Sauntia S/Warfield

Assistant Secretary of the Commission Commodity Futures Trading Commission

Dated: April 13, 2012