

**CFTC ENFORCEMENT ACTIONS INVOLVING
COMMODITY POOLS, HEDGE FUNDS, CPOs, SINCE FY 1993¹**
(As of 6.30.04)

FY 2004

- (1) *CFTC v. James Weatherford*, civil injunctive action filed in federal district court in California.
- (2) *CFTC v. David Parker and Vanguard Financial Management Association*, civil injunctive action filed in federal district court in California.
- (3) *CFTC v. Equity Financial Group LLC, Tech Traders Inc., Vincent Firth, and Robert Shimer*, civil injunctive action filed in federal district court in New Jersey.
- (4) *CFTC and State of Maryland v. Andrew Silberstein*, civil injunctive action filed in federal district court in Maryland.
- (5) ** ***CFTC v. Clearview Capital Management Inc., and James Weiss*, civil injunctive action filed in federal district court in New Jersey (CPO/CTA).**
- (6) *In re Boston Trading Advisors, LLC, Thomas Brazil, and Andrew Preston*, CFTC administrative action.
- (7) *CFTC v. Burton Friedlander and Friedlander Capital Management Corp.*, civil injunctive action filed in federal district court in New York.
- (8) *CFTC v. Marquis Financial Management Systems, Inc., The Marquis Group, Inc., John Lee, David Kelly II, and Joel Sofia*, civil injunctive action filed in federal district court in Michigan.

FY 2003

- (9) ** ***In re Beacon Hill Asset Management LLC*, CFTC administrative action (CPO/CTA).**
- (10) ** ***CFTC v. Paulino Rene Dias Jr., Victor Smith, and Krute Corp.*, civil injunctive action filed in federal district court in California (APs).**

¹ Cases against at least one CFTC registrant are marked with a double asterisk (**) and are listed in bold font.

(11) **** *In re Futurewise Trading Group, Inc.*, CFTC administrative action (CPO/CTA/IB).**

(12) **** *In re Todd Snively*, CFTC administrative action (AP).**

FY 2002

(13) *CFTC v. Thomas Chilcott, Ted Whidden, and Leona Westbrook*, civil injunctive action filed in federal district court in Florida.

(14) *CFTC v. Gahma Corp., Stephen Brockbank, John Garrett, Allen Andersen, and Robert Heninger*, civil injunctive action filed in federal district court in Utah.

(15) **** *CFTC v. John Lofgren and Melrose Asset Management Corp.*, civil injunctive action filed in federal district court in Illinois (CPO/CTA/AP).**

(16) *CFTC v. Charles Mady, Mady Funding Co. LLC, and Mady Futures Inc.*, civil injunctive action filed in federal district court in Michigan.

(17) *CFTC v. Donald C. O'Neill, Frecom Technology Corp., Momentum Trading Group Ltd., NDT Fund LLC, Orca Funds Inc., Orca Capital Fund A LLC, Orca Mohave A LLC, Orca Hopi A LLC, and Shelaley Holdings LLC*, civil injunctive action filed in federal district court in Florida.

(18) **** *CFTC v. Donald Smith and Fibit.com*, civil injunctive action filed in federal district court in California (CTA).**

(19) *CFTC v. Sovereign Resource Management Inc., Ken Mitra, Virgil Smith, and Anthony Heppner*, civil injunctive action filed in federal district court in Minnesota.

(20) *CFTC v. Mark Weinberg*, civil injunctive action filed in federal district court in California.

FY 2001

(21) *CFTC v. Jeffrey T. Bailey and JMK Capital Management Inc.*, civil injunctive action filed in federal district court in Ohio.

(22) *CFTC v. Andrew Duncan and The Aurum Society*, civil injunctive action filed in federal district court in Illinois.

(23) *In re Isaac Fleyshmakher*, CFTC administrative action.

- (24) *In re Harvey T. Gilkerson*, CFTC administrative action.
- (25) *CFTC v. Edward Knipping and Time Traders Inc.*, civil injunctive action filed in federal district court in Maine.
- (26) *****CFTC v. John O. Herron and O'Herron Asset Management*, civil injunctive action filed in federal district court in Michigan (CTA/AP).**
- (27) *CFTC v. Rothlin and Windsor Capital Management Inc. and Peter Scott*, civil injunctive action filed in federal district court in Maryland.

FY 2000

- (28) *****In re William G. Billings and Billfund, Inc.*, CFTC administrative action (CPO/CTA/AP).**
- (29) *CFTC v. Stephen W. Brockbank, Carol J. Love, and Birma Ltd.*, civil injunctive action filed in federal district court in Utah.
- (30) *CFTC v. Robert Dormagen and Delta Financial Corp.*, civil injunctive action filed in federal district court in West Virginia.
- (31) *CFTC v. Phillip Ferguson, Ferguson Fund, B and F Trading, and First Investors Group Inc.*, civil injunctive action filed in federal district court in Indiana.
- (32) *****In re Suengho Kim, John Ki Park, Houston System Trading, LLC*, CFTC administrative action (AP).**
- (33) *CFTC v. Michael James Konkel, Ad Astra Inc., and The Inscape Funds*, civil injunctive action filed in federal district court in Alabama.
- (34) *CFTC v. David Mobley Sr., Maricopa Investment Fund Ltd., Maricopa Index Hedge Fund Ltd., Maricopa Financial Corp., Ensign Trading Corp., Maricopa International Investment Corp.*, civil injunctive action filed in federal district court in New York.
- (35) *CFTC v. Pension America Inc., Selective Futures Management, Futures Profit Making, Specialized Commodities Timing, Commodity Timing Specialists, Edward Stevenson Kirris III, Leonard Nauman, and William Reif*, civil injunctive action filed in federal district court in Minnesota.
- (36) *In re George Velissaris and ACG Partners LP*, CFTC administrative action.

FY 1999

- (37) *CFTC v. Richard Belz, Andrew E. Cafferty, and Blue Chip Information Corp.*, civil injunctive action filed in federal district court in Tennessee.
- (38) ****CFTC v. Morris Benun, civil injunctive action filed in federal district court in New York (CTA/CPO).**
- (39) *CFTC v Peter Berzins*, civil injunctive action filed in federal district court in Virginia.
- (40) *CFTC v. Mark Chulik*, civil injunctive action filed in federal district court in California.
- (41) *CFTC v. Michael Colton*, civil injunctive action filed in federal district court in Florida.
- (42) *CFTC v. Europacific Equity and Capital Management Ltd., Tortola Corp. Ltd., International Investment Group Ltd., David Michael Loyd*, civil injunctive action filed in federal district court in Florida.
- (43) *In re Ross Godres*, CFTC administrative action.
- (44) *In re David Green*, CFTC administrative action.
- (45) *CFTC v. Donald James and Donald James Inc.*, civil injunctive action filed in federal district court in Georgia.
- (46) *CFTC v. David T. Marantette III and Troubadour, Inc.*, civil injunctive action filed in federal district court in Hawaii.
- (47) *CFTC v. Joseph McGivney, Edwin Koziol Jr., Capital Strategies Inc., JPM 2 Inc., JPM Commodities Inc., JPM Investments Inc. and JPM Inc.*, civil injunctive action filed in federal district court in Illinois.
- (48) *CFTC v. Princeton Global Management Ltd., Princeton Economic International Ltd., and Martin Armstrong*, civil injunctive action filed in federal district court in New York.
- (49) ****CFTC v. Edwin Sheldon, Edward Powell, and Applied Capital Management LLC, civil injunctive action filed in federal district court in Tennessee (CPO/CTA/AP).**
- (50) ****CFTC v. Ronald Swartz and Vertrix Inc., civil injunctive action filed in federal district court in Illinois (CTA/AP).**

- (51) *CFTC v. Donald Trivette*, civil injunctive action filed in federal district court in North Carolina.

FY 1998

- (52) *In re Abraham and Sons Capital Inc., Brett Brubaker*, CFTC administrative action.
- (53) *CFTC v. James Bonney*, civil injunctive action filed in federal district court in Wisconsin.
- (54) *CFTC v. Chateauforte Consortium Inc., Richard E. Busch, John La Tourette, James Michael Hanks, William E. Amos, Financial Planning Alliance International, and WorldEx S.A.*, civil injunctive action filed in federal district court in Alabama.
- (55) *CFTC v. Jack Dwight Cullen*, civil injunctive action filed in federal district court in Texas.
- (56) *CFTC v. S. David Friedman, Intercap International Inc., and Whitehall Trust*, civil injunctive action filed in federal district court in New York.
- (57) *CFTC v. FTI Financial Group, Samuel H. Foreman, Mark G. Stevens, and Carolyn F. Munn*, civil injunctive action filed in federal district court in Illinois.
- (58) *CFTC v. Thomas Lamar*, civil injunctive action filed in federal district court in Michigan.
- (59) *CFTC v. Market Capital Growth Inc, Carmen Field, Mona Smith, Steven Hudkins, Bart Bemiller, and Robert Riethman*, civil injunctive action filed in federal district court in Indiana.
- (60) *****In re New York Currency Corporation*, CFTC administrative action (CTA/CPO).**
- (61) *CFTC v. Thomas O'Connell*, civil injunctive action filed in federal district court in Vermont.
- (62) *****CFTC v. John Larry Schenk, Douglas Foster, and Robert Moncur*, civil injunctive action filed in federal district court in Utah (CPO/CTA/AP).**
- (63) *CFTC v. Brien Sullivan*, civil injunctive action filed in federal district court in Hawaii.

- (64) *CFTC v. James M. Zoller and Tech-Comm Limited Partnerships*, civil injunctive action filed in federal district court in Minnesota.

FY 1997

- (65) *****CFTC v. AC Trading Group Inc., AC Trading Group Fund LP, Alexis Carles, and Fred Eric DeJong*, civil injunctive action filed in federal district court in California (CPO/AP).**
- (66) *In re Curtis McNair Arnold and London Financial Inc.*, CFTC administrative action.
- (67) *CFTC v. James V. Dowler Jr. and Dowler & Beekman Trading Co. Ltd.*, civil injunctive action filed in federal district court in Florida.
- (68) *CFTC v. Carl J. Hermans*, civil injunctive action filed in federal district court in California.
- (69) *In re Willy Kerzinger*, CFTC administrative action.
- (70) *****CFTC v. Oscar A. Klitin and Klitin Associates II*, civil injunctive action filed in federal district court in New York (CPO).**
- (71) *CFTC v. L.A. Forex Inc., Gabor Urban, and Marta Ban*, civil injunctive action filed in federal district court in California.
- (72) *CFTC and Oregon Department of Consumer and Business Services v. Michael Myatt, PragmaCapital Corp., and Berkshire International Hedge Fund II LP*, civil injunctive action filed in federal district court in Oregon.
- (73) *****CFTC v. Daniel M. O'Shaughnessey, Glory Fund I Inc., and Glory Fund LLC*, civil injunctive action filed in federal district court in Michigan (CPO/CTA/AP).**
- (74) *CFTC v. Anthony S. Ramirez and Abacus Investment Group Inc.*, civil injunctive action filed in federal district court in Illinois.
- (75) *CFTC v. Templer International Ltd., Worldwide Commodities Ltd., William Sanchez, and Brian Willis*, civil injunctive action filed in federal district court in New York.

FY 1996

- (76) *CFTC v. Gary Berus, Meca International Inc., and Patricia Gale*, civil injunctive action filed in federal district court in Michigan.
- (77) *CFTC v. Donald B. Chancey and Southeastern Venture Partners Group*, civil injunctive action filed in federal district court in Georgia.
- (78) *CFTC v. Thomas J. Deniz*, civil injunctive action filed in federal district court in California.
- (79) *****In re Fenchurch Capital Management, Ltd.*, CFTC administrative action (CTA/CPO).**
- (80) *CFTC v. Everett Scott Hobbs*, civil injunctive action filed in federal district court in California.
- (81) *CFTC v. Michael Indihar, Robert P. Hoffman, Computer Warehouse Inc., and Automated Trading Systems Inc.*, civil injunctive action filed in federal district court in Florida.
- (82) *CFTC v. Richard E. Maseri, Ronald Bruce Romberg, AIM International Inc., Bullseye International Inc., and Private Research Inc.*, civil injunctive action filed in federal district court in Florida.
- (83) *****CFTC v. Prism Financial Corp., Brian Prandergast, Joel DeAngelis, Amerinational Financial*, civil injunctive action filed in federal district court in Colorado (CPO/CTA/AP).**
- (84) *****In re Refco Inc.*, CFTC administrative action (FCM).**
- (85) *****In re Sanjay Saxena and Select Sector Research and Management Inc.*, CFTC administrative action (AP/CTA/CPO).**
- (86) *CFTC v. Christopher C. Schafer, ARS Financial Services, Alchemy Financial Group Inc., and Peter J. Urbani*, civil injunctive action filed in federal district court in Texas.
- (87) *CFTC v. Edward W. Schroeder, Edward W. Schroeder Living Trust, and Andre D. Fite*, civil injunctive action filed in federal district in California.
- (88) **** *CFTC v. Mark S. Shaner and Shaner Trading Partners Inc.*, civil injunctive action filed in federal district court in Iowa (CPO/IB/AP).**
- (89) *****CFTC v. Michael Tropiano*, civil injunctive action filed in federal district court in New Jersey (CTA/CPO).**

- (90) *CFTC v. United Metals Trading Corp., Western National Trading, Anthony F. Andrews, and Marvin C. Pendergraft*, civil injunctive action filed in federal district court in Arizona.
- (91) *CFTC v. Ken Willey*, civil injunctive action filed in federal district court in Washington.

FY 1995

- (92) *****CFTC v. Charles Nicholas Barth*, civil injunctive action filed in federal district court in Kentucky (AP/CTA).**
- (93) *CFTC and Ohio Division of Securities v. Allied Financial Group Inc., Robert G. Bobo, and Jeffrey A. Smith*, civil injunctive action filed in federal district court in Ohio.
- (94) *CFTC v. Louis Alberto Camus*, civil injunctive action filed in federal district court in Minnesota.
- (95) *****CFTC v. CCFI Inc. and William S. Zeitlin*, civil injunctive action filed in federal district court in California (CTA/CPO).**
- (96) *****In re Thomas H. Richards*, CFTC administrative action (CTA).**
- (97) *CFTC v. Sigma Inc., Chuck Kohli, and N.S. Ramchandran*, civil injunctive action filed in federal district court in New Jersey.

FY 1994

- (98) *****CFTC v. Richard Conroy Bell, Barrett Bell Investment Corp., Manticore Resources, and Zia Investments*, civil injunctive action filed in federal district court in Oklahoma (AP).**
- (99) *****CFTC v. William Steel Bowen and Michael J. Goldberg*, civil injunctive action filed in federal district court in Tennessee (AP).**
- (100) *CFTC v. Edward M. Collins, Thomas W. Collins, and Lake States Commodities Inc.*, civil injunctive action filed in federal district court in Illinois.
- (101) *CFTC v. Keith Dominick and Main Street Investment Group Inc.*, civil injunctive action filed in federal district court in Florida.
- (102) *In re J. Gary Fritts and Gary Lyn McCorkell*, CFTC administrative action.

(103) *In re Jerry W. Slusser, First Republic Financial Corp., First Republic Trading Corp., Hans J. Brinks, Edward T. Hamlet, and Cantor Fitzgerald & Co.*, CFTC administrative action.

FY 1993

(104)*In re Daniel Clothier and Collins Commodity Brokerage Company Inc.*, CFTC administrative action (CPO/IB/AP).**

(105) *CFTC v. De Gol Enterprises Inc., De Gol Financial Group Inc., and Dennis J. Golubowski*, civil injunctive action filed in federal district court in Florida.

(106)*In re Oliver Burnham Eccles*, CFTC administrative action (AP).**

(107) *CFTC v. Buff Aaron Hofberg*, civil injunctive action filed in federal district court in Illinois.

(108)*In re Thomas Kolter, Phillip C. Zarcone, and Coopers & Lybrand*, CFTC administrative action (AP).**

(109) *CFTC v. Christian Schindler, Falcon Investment Corp. Inc., FIC Inc., Investment Banker's Brokerage Inc., IB Brokerage, and IBB Inc.*, civil injunctive action filed in federal district court in New York.

(110)*In re George Cole Smith*, CFTC administrative action (CTA/CPO).**

(111)*In re Spear, Leeds & Kellogg, Charles N. Sweeney, and Franklin Errol Douet*, CFTC administrative action (APs).**