

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

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
ACE CAPITAL ADVISORY GROUP, INC.	CV03-8339	CD CAL	7/5/2005			SUMMARY JUDGMENT	MOTION FOR SUMMARY JUDGMENT DENIED.
ACE EMERALD W. HOLDING INC.	CV03-8339	CD CAL	3/15/2005			DEFAULT ORDER	DISGORGEMENT OF \$1,299.80; PROTECT BOOKS & RECORDS.
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	9/30/2005			COMPLAINT FILED	
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.
ALLOTTA, GREG P.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; 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.
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.

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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.
ASTERN, RICHARD	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
ATHA, PAUL	1:05-CV-0293	ND GA	2/1/2005			COMPLAINT FILED	
BARTOS, ANDREW	05-60328	SD FL	5/2/2005	4c(b)	32.9	PRELIMINARY INJUNCTION	STOP SOLICITATION.
BAUGH, GARY	05-61672	SD FL	11/30/2005	4c(b); 4b(a)(i)&(iii)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$5,000 PER MONTH FOR REASONABLE LIVING EXPENSES.
BAYOU MANAGEMENT, LLC	05 CIV 8374	SD NY	9/29/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BEACON HILL ASSET MANAGEMENT, LLC	SD 05-02	CFTC	7/20/2005			ALJ INITIAL DECISION ON DEFAULT	COMMODITY POOL OPERATOR AND COMMODITY TRADING ADVISOR REGISTRATION REVOKED; FINAL ORDER OF COMMISSION.
BEASLEY, ROBERT JOSEPH	C 05 02142	ND CAL	8/19/2005	4o(1)(A)&(B)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; ROBB, EVANS AND ASSOCIATES, LLC APPOINTED TEMPORARY RECEIVER.
BEHR, ERNST H.	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.

**PROCEEDINGS BULLETIN SUPPLEMENT
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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BERKSHIRE INTERNATIONAL HOLDINGS LLC	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BERKSHIRE INTERNATIONAL, LLC a/k/a BERKSHIRE INTERNATIONAL GROUP, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BODY BLASTERS	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
BRADLEY, JEFFREY A.	05CV62-CVE-FHM	ND GA	2/1/2005			COMPLAINT FILED	
BRISCOE AND ASSOCIATES, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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	9/30/2005			COMPLAINT FILED	
CHADWICK GRAYSON BAUER & CO., INC.	05-61672	SD FL	11/30/2005	4c(b); 4b(a)(i)&(iii)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
CHARLES, CAMERON	05-CV-2144	CD IL	6/23/2005			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
COES FX CLEARING INC.	CV 05 2547	ED NY	6/10/2005	4b(a)(2)(i)&(iii)		PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
COMMODITY INVESTMENT GROUP, INC.	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	
CONCORD ENERGY, LLC	05-D-178	D CO	2/1/2005			COMPLAINT FILED	
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.	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
CROWN, BRUCE N.	05-60328	SD FL	5/2/2005	4c(b)	32.9	PRELIMINARY INJUNCTION	STOP SOLICITATION.
DANIO, VINCENZO ("VINCENT")	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
DANYLUK, DARRELL	05-D-178	D CO	2/1/2005			COMPLAINT FILED	

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DASILVA, MAURICIO	04 CV 7609	SD NY	9/21/2005	4(a); 4b(a)(2)(C)(i)&(iii)	1.1(b)(1)&(3)	DEFAULT ORDER	RESTITUTION/DISGORGEMENT OF \$2,704,597 JOINTLY OWED; CIVIL MONETARY PENALTY OF \$240,000; FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION.
DAYAN, BENJI	05-21571	SD FL	6/13/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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	10/13/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
DEAN, JASON T.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DELAY, TODD J.	05C 5619	ND IL	9/29/2005			COMPLAINT FILED	
DESANTIS, FRANK ANTHONY a/k/a JOSH ANTHONY	05-60928	SD FL	8/31/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
DIZONA, ANTHONY	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
D'ONOFRIO, JOHN PETER	05-61672	SD FL	11/30/2005	4c(b); 4b(a)(i)&(iii)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$6,250 PER MONTH FOR REASONABLE LIVING EXPENSES.
DYER, KELLY	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	

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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.
EFROSMAN, ALEXSANDER a/k/a ALEX BESSER	05 CV 8422	SD NY	9/30/2005			COMPLAINT FILED	
EMERALD WORLDWIDE HOLDINGS	CV03-8339	CD CAL	7/5/2005	4(a); 4b(a)(2)(i)&(iii); 4h	1.1(b)(1)&(3)	SUMMARY JUDGMENT	MOTION FOR PARTIAL SUMMARY JUDGMENT GRANTED.
E-METAL MERCHANTS, INC.	05-21571	SD FL	6/13/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
EUSTACE, PAUL M.	05 cv 2973	ED PA	9/19/2005	4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1)	33.10; 4.41(a)(1)&(2); 4.20(a)-(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; C. CLARK HODGSON, JR APPOINTED PERMANENT RECEIVER.
FED AND ASSOCIATES, LLC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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.
FLAVELL, BERNADETTE	05C 5263	ND IL	9/14/2005			COMPLAINT FILED	

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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	9/20/2005			COMPLAINT FILED	
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.
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.
FRISONE, ANTHONY MICHAEL	CV 05 2547	ED NY	6/10/2005	4b(a)(2)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; ACCESS BOOKS & RECORDS; ACCOUNT ORDER.

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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	2/1/2005			CONTEMPT ORDER	VIOLATED THE 3/17/04 STATUTORY RESTRAINING ORDER AND THEREFORE ARE IN CIVIL CONTEMPT OF COURT.
G7 ADVISORY SERVICES, LLC	05-80313	SD FL	7/25/2005	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PRELIMINARY INJUNCTION	STOP SOLICITATION.
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.
GEE, DENNIS	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
GEMANCER II, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GEMANCER, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GERAUD ENTERPRISES, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
GERAUD, MICHEL a/k/a MIKE JERAUX	05-80313	SD FL	7/25/2005	4c(b)	1.1(b)(1)&(3); 32.9(a)&(c)	PRELIMINARY INJUNCTION	STOP SOLICITATION; ALLOWANCE OF \$5,000 PER MONTH.

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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.
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.
GREG ALLOTTA ENTERPRISES, INC.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
HARP, ROBERT	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
HARRINGTON ADVISORY SERVICES SLU a/k/a HARRINGTON GROUP, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
HEFFERNAN, GEORGE a/k/a GEORGE W. MARSHALL	4 04 23302 25	D SC	1/11/2005	4o(1); 4m(1)	4.41(a)	PRELIMINARY INJUNCTION	ACCOUNT ORDER; STOP SOLICITATION.
IMS HOLDINGS, LLC	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.

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INFOREX, LTD.	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.
INTERNATIONAL BERKSHIRE GROUP HOLDINGS, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
INTERNATIONAL COMMODITY CLEARING, LLC	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	
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 IMS GROUP HOLDINGS, INC., a/k/a IMS HOLDINGS, INC. a/k/a IMS GROUP HOLDINGS, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
INTERNATIONAL INVESTMENTS HOLDINGS CORPORATION	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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.
ISRAEL, SAMUEL II	05 CIV 8374	SD NY	9/29/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.

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JEDLICKI, JEFFERY PAUL	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
JEDLICKI, JEFFREY P. a/k/a JEFFREY PAUL	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
JEFFERY JEDLICKI, INC.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
JEN, LYNNWOOD	CV03-8339	CD CAL	7/5/2005			SUMMARY JUDGMENT	MOTION FOR SUMMARY JUDGMENT GRANTED IN PART; DISGORGEMENT OF \$10,000 PLUS POST JUDGMENT INTEREST.
JOHNSON, DENETTE	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
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.
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.
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.
KNOWLES, STEVEN D.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
KUHNEY, LINDA a/k/a LINDA REINMAN ENZINNA	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	
KUHNEY, MICHAEL a/k/a MICHAEL KIRKNEY	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LAKE DOW CAPITAL, LLC a/k/a CLIFFORD, EDWARDS, AND TAYLOR	1 05-CV 2709	ND GA	11/8/2005	4o(1); 9a(4)	4.22(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; RECEIVER IS AUTHORIZED AND DIRECTED TO DISBURSE THE SUMS OF \$16,721.54 TO WEIZENECKER, MOTTERN & FISHER, P.C.; \$8,038 TO BRENT GILLETT, ESQ.; AND \$230 TO LANDMARK CONSULTING, INC. FOR LEGAL AND ACCOUNTING SERVICES.
LANIER, RANDY STEVE	5:05-cv-516	WD OK	5/10/2005			COMPLAINT FILED	
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	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$4,000 PER MONTH FOR REASONABLE LIVING EXPENSES.
LAWLESS, JOHN D.	05C 5619	ND IL	9/29/2005			COMPLAINT FILED	
LEE, JOHN DANIEL	03-74206	ED MI	6/8/2005	4b(a)(i)-(iii); 4o(1)(A)&(B); 4c(b); 4k(2)	33.10		RESTITUTION OF \$1,692,501 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$550,000; PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION.
LEON, ADAM	1:05cv492	ED VA	4/29/2005	4c(b)	32.9(a)&(c); 1.1(b)(1)&(3)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
LEVY, JAY M.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
LIBERTY ONE ADVISORS, LLC	05-60928	SD FL	6/9/2005	4c(b); 4(a)(1)(B)	32.9(a)&(c); 1.2	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
LIGHTHOUSE CAPITAL MANAGEMENT, LLC	05-60928	SD FL	6/9/2005	4c(b); 4(a)(1)(B)	32.9(a)&(c); 1.2	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
LOCHMANN, VICTOR	05-12	CFTC	7/6/2005			COMPLAINT FILED	
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.
LOVETT, BRETT E. individually and d/b/a NORTHWEST ASSET FUND	CV05-5074	CD CAL	7/15/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; COMMISSION'S MOTION IS GRANTED AND IT IS AUTHORIZED TO CONDUCT EXPEDITED DISCOVERY.
LU, HAO JAN	CV03-8339	CD CAL	7/5/2005	4b(a)(2)(i)&(iii)		SUMMARY JUDGMENT	MOTION FOR PARTIAL SUMMARY JUDGMENT GRANTED.
MADDOX, HUGH J.	05-10	CFTC	6/9/2005	4b(a)(i)&(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$31,000; PROHIBITED FROM TRADING FOR HIS OWN ACCOUNT FOR 1 YEAR; RESTITUTION OF \$25,000; NFA DESIGNATED AS MONITOR; SHALL COMPLY WITH UNDERTAKINGS.
MADISON FOREX INTERNATIONAL, LLC	05-61672	SD FL	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MAGGIO, JAMES ANTHONY	C 05 5766RJB	WD WA	11/25/2005			COMPLAINT FILED	
MAIN, BRIAN	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
MARCHIANO, JOSEPH	1:05cv492	ED VA	4/29/2005	4c(b)	32.9(a)&(c); 1.1(b)(1)&(3)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
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.
MARTIN, ROBERT L.	05CV62-CVE- FHM	ND GA	2/1/2005			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	05C 5619	ND IL	9/29/2005			COMPLAINT FILED	
MCDONALD, CHRISTOPHER	1:05-CV-0293	ND GA	2/1/2005			COMPLAINT FILED	
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	2/1/2005			COMPLAINT FILED	
MENDEZ, ROXANA SOFIA LAO a/k/a ROXANA SOFIA LAO	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MERCURY FINANCIAL PARTNERS, INC.	05-60328	SD FL	3/7/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MERCURY MANAGEMENT, L.C.	05-60328	SD FL	5/1/2005	4c(b)	32.9	PRELIMINARY INJUNCTION	STOP SOLICITATION.
MERCURY PARTNERS, INC.	05-60328	SD FL	3/7/2005			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
MICHAEL SAVITSKY, INC.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
MISCHLER, JEFFREY A.	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.
MONI INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MOORE, COURTNEY CUBBISON	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
MORGAN, MICHAEL	05-60328	SD FL	3/7/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
MORRIS, ELLISON KENT	03-80032	SD FL	1/4/2005				CIVIL MONETARY PENALTY OF \$448,389.18.
MUELLER, DAVID J.	05-09	CFTC	6/3/2005	4b(a)(2)(i)&(iii)	166.2	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000; PERMANENTLY PROHIBITED FROM TRADING; SHALL COMPLY WITH UNDERTAKINGS.
MUSOROFITI, DAWN	CV 05 3917	ED NY	8/16/2005			COMPLAINT FILED	
MUSOROFITI, GERALDINE	CV 05 3917	ED NY	8/16/2005			COMPLAINT FILED	
NATIONAL COMMODITIES CORPORATION, INC.	05 CV 5741	SD NY	6/21/2005			COMPLAINT FILED	
NATIONAL INVESTMENT CONSULTANTS, INC.	C 05 2641	ND CAL	6/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
OAKMONT INTERNATIONAL LLC	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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 VICTO FINANCIAL SERVICES, INC.; NFA DESIGNATED AS MONITOR.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
PACIFIC BEST GROUP, LTD. a/k/a PACIFIC BEST COMPANY LTD.	C 05 2641	ND CAL	6/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
PALOMINO CAPITAL MANAGEMENT	SD 05-04	CFTC	7/14/2005			COMMISSION ORDER	CPO REGISTRATION REVOKED.
PAPPALARDO, JOSEPH	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
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	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; \$5,000 PER MONTH FOR REASONABLE LIVING EXPENSES.
PELUCETTE, RICHARD	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
PHILADELPHIA ALTERNATIVE ASSET MANAGEMENT COMPANY, LLC	05 cv 2973	ED PA	9/19/2005	4b(a)(2)(i)-(iii); 4c(b); 4o(1)(A)&(B); 4m(1)	33.10; 4.41(a)(1)&(2); 4.20(a)-(c)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; STOP SOLICITATION; TRADING PROHIBITION; C. CLARK HODGSON, JR APPOINTED PERMANENT RECEIVER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
PIPPIN, STUART individually and d/b/a PIPPIN INVESTMENTS	CV 05 4120	ED NY	8/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
PLUNKETT, PAUL F.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
PLUNKETT, PAUL F.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
POOLE, JOHN a/k/a JAMES DREW, individually and d/b/a MAC SYSTEMS	1:05CV00859	MD NC	9/30/2005			COMPLAINT FILED	
PRANOLO, ESTHER	CV03-8339	CD CAL	7/5/2005			SUMMARY JUDGMENT	MOTION FOR PARTIAL SUMMARY JUDGMENT GRANTED; DISGORGEMENT OF \$55,897.79 PLUS POST JUDGMENT INTEREST.
PREMIUM INCOME CORPORATION	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.
PRESIDENTIAL FX, INC.	1:05cv492	ED VA	4/29/2005	4c(b)	32.9(a)&(c); 1.1(b)(1)&(3)	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
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.
PROSPERITY CONSULTANTS, INC.	05-80592	SD FL	7/21/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
QUALIFIED LEVERAGE PROVIDERS, INC.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
QUALIFIED LEVERAGE PROVIDERS, INC.	05-61672	SD FL	11/30/2005	4c(b)	32.9(a)&(c)	PRELIMINARY INJUNCTION	ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
QUESADA, BEATRIZ PERALTA a/k/a BEATRIZ PERALTA	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
R&W TECHNICAL SERVICES LTD.	96-3	CFTC	6/24/2005			COMMISSION ORDER	ORDER OF SUMMARY AFFIRMANCE ISSUED.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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	2/1/2005			COMPLAINT FILED	
REVERIE, LLC	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.
RG GROUP HOLDING LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RIA RIVIERA, INC.	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL DIRECTOR LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
RICHMOND GLOBAL LTD.	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL MANAGED ACCOUNT LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND GLOBAL MCA LLC	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
RICHMOND ROYCE ADVISORY SERVICES, SLU a/k/a RICHMOND ROYCE INTERNATIONAL GROUP, LTD.	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
RICHMOND, ANDREW	05-M-668	D COL	4/12/2005			COMPLAINT FILED	
ROGERS, GERALD LEO a/k/a JAY ROGERS AND JAY RODGERS	3-05 CV 0416M	ND TX	3/2/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; KELLY CRAWFORD APPOINTED TEMPORARY RECEIVER; SHALL COMPLY WITH UNDERTAKINGS.
ROMANO, LEE N., II	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.
ROSS, ANDREW D.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
ROSSI, ROBERT	99-4	CFTC	8/17/2005	4b(a)(i)-(iii); 13(a)&(b); 2(a)(i)(A)(iii)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$400,000; TRADING PROHIBITION; RESTITUTION OF \$276,557.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
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.
RUSSO, JAMES JOSEPH	04-80862	SD FL	12/5/2005	4c(b)		FINAL JUDGMENT	CIVIL MONETARY PENALTY OF \$100,000; RESTITUTION OF \$147,891.99 JOINTLY OWED; STOP SOLICITATION; ALL OTHER PENDING MOTIONS ARE DENIED AS MOOT AND CASE SHALL BE CLOSED.
SABERI, ANDY	01-11	CFTC	3/2/2005	4a(e)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$110,000; 30 DAY TRADING PROHIBITION; SANCTIONS SHALL BECOME EFFECTIVE ON THE 30TH DAY FOLLOWING THE DATE ORDER IS SERVED.
SAFEGUARD FX, LLC	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SAVITSKY, MICHAEL H., III	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
SCHIERA, MONICA SUE a/k/a MONICA SCHIERA-MAIN AND MONICA S. MONTES	CV05 2660	CD CAL	4/12/2005			EX PARTE 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
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.
SEIGLER, WILLIAM DAVID, JR.	05-60342	SD FL	3/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SHAH, ABBAS A.	05 CV 8091	SD NY	9/19/2005			COMPLAINT FILED	
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.
SIBBITT, MARY JO	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.
SILBERSTEIN, ANDREW M.	1:04-cv-666	D MD	2/28/2005	4b(a)(i)-(iii); 4m(1); 4o(1)(A)&(B)	4.20(a)&)b; 4.21	PERMANENT INJUNCTION	RESTITUTION OF \$440,000 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$60,000 PLUS POST JUDGMENT INTEREST; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
SMITHERS, CHRISTOPHER	05-80592	SD FL	7/21/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
SMITHERS, JACK	05-80592	SD FL	7/21/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
SONOMA TRADING CORPORATION	05-60342	SD FL	3/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
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.
SPIVAK, GENNADY a/k/a GEORGE SPIVAK	03-80032	SD FL	1/4/2005				CIVIL MONETARY PENALTY OF \$1,361,700.00.
STARYK, MICHAEL	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
STEELE, KEVIN	05C 3130	ND IL	11/22/2005	4b(a)(2)(i)-(iii); 4o(1); 1a(29)		PERMANENT INJUNCTION	DEFAULT ORDER; STOP SOLICITATION; TRADING PROHIBITION; RESTITUTION OF \$7,409,194.75 TO BE PAID WITHIN 30 DAYS PLUS PRE-JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$6.2 MILLION.
STERN, ANDREW	05-21571	SD FL	6/13/2005			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
STEVENS, DOUGLAS	C 03-1379VRW	ND CAL	6/17/2005	4(a); 4b(a)(2)(i)-(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$7,108,186.11 PLUS PRE-JUDGMENT INTEREST OF \$4,396,839.13 AND POST JUDGMENT INTEREST JOINTLY OWED; CIVIL MONETARY PENALTY OF \$3,191,597.43 PLUS POST JUDGMENT INTEREST JOINTLY OWED; NFA DESIGNATED AS MONITOR; ASSET FREEZE LIFTED.
STRATFORD ADVISORY SERVICES	05-61588	SD FL	9/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
SUCCESS DIRECT	CV05 2660	CD CAL	4/12/2005			EX PARTE 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
THE MARQUIS GROUP, 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.
TRACY, JOHN	H-05-0332	SD TX	2/1/2005			COMPLAINT FILED	
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	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
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	
TRI LYNX	CV05 2660	CD CAL	4/12/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
TRI-FOREX INTERNATIONAL, LTD. a/k/a TRI-FOREX LTD. and INTERNATIONAL FOREX COMPANY	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.
TSE, WEI M. a/k/a RAYMOND TSE	C 05 2641	ND CAL	6/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
TUCELLI, PHILLIP	1:05-cv-00210-JD	D NH	6/21/2005			PRELIMINARY INJUNCTION	PROTECT BOOKS & RECORDS.
TURNER, RONALD	05 CV 2181	SD NY	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
U.S. CAPITAL MANAGEMENT, INC.	05-60928	SD FL	6/9/2005	4c(b); 4(a)(1)(B)	32.9(a)&(c); 1.2	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
UNITED EQUITY GROUP, INC.	05-60928	SD FL	6/9/2005	4c(b); 4(a)(1)(B)	32.9(a)&(c); 1.2	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
UNITED INVESTORS GROUP, INC.	05-80002	SD FL	6/9/2005			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; TRADING PROHIBITION.
UNIVERSAL OPTIONS, INC.	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
VALKO, JOSEPH D. a/k/a JOE VALKO AND JOE VALKO, SR	05-60928	SD FL	6/9/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS.
VANDEVELD, GORDON J.	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.
VANGUARD FINANCIAL MANAGEMENT ASSOCIATION a/k/a VANGUARD FINANCIAL MANAGEMENT FOUNDATION	SACV 04-575	CD CAL	8/29/2005	4b(a)(2)(i)&(iii); 4k(2); 4m(1); 4o(1)(A)&(B)	4.41(a)(1)&(2)	PERMANENT INJUNCTION	DEFAULT ORDER; FREEZE OF ASSETS; TRADING PROHIBITION; STOP SOLICITATION; RESTITUTION OF \$381,403.38 AND CIVIL MONETARY PENALTY OF \$1,036,787.40 PLUS POST JUDGMENT INTEREST JOINTLY OWED WITHIN TEN DAYS.
VERAS INVESTMENT PARTNERS, LLC	06-01	CFTC	12/22/2005	4o(1)(B)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$500,000 JOINTLY OWED WITHIN TEN BUSINESS DAYS; COMMODITY POOL OPERATOR & COMMODITY TRADING ADVISOR REGISTRATION REVOKED; SHALL COMPLY WITH UNDERTAKINGS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
VICTCO FINANCIAL SERVICES, INC.	CV 03-0833	CD CAL	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	2/16/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; JOHN MOSCOW APPOINTED TEMPORARY RECEIVER.
WARENHANDELSGESELLSCHAFT 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.
WEBMAN, LARRY M.	05 CV 4819	SD NY	5/19/2005			COMPLAINT FILED	
WEBMAN, MELVIN H.	05 CV 4819	SD NY	5/19/2005			COMPLAINT FILED	
WEISS, JAMES I.	04 cv 45 (FSH)	D NJ	1/17/2005	4b(a)(2)(i)&(iii)	1.1(b)(1)&(3)	PERMANENT INJUNCTION	RESTITUTION OF \$560,000 PLUS POST JUDGMENT INTEREST AND CIVIL MONETARY PENALTY OF \$240,000 JOINTLY OWED; STOP SOLICITATION; TRADING PROHIBITION; NFA DESIGNATED AS MONITOR.
WEXLER, LYLE	05 CV 4819	SD NY	5/19/2005			COMPLAINT FILED	
WHALEN, MICHAEL	1:05-CV-0293	ND GA	2/1/2005			COMPLAINT FILED	
WHITNEY, MICHAEL	H 05-333	SD TX	2/1/2005			COMPLAINT FILED	
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.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
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.
WINDSOR FOREX TRADING CORP.	CV 05 2547	ED NY	6/10/2005	4b(a)(2)		PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
WNUKOWSKI, LESLIE JEAN	SD 05-01	CFTC	3/29/2005			ALJ ORDER	DIVISION'S MOTION FOR DEFAULT JUDGMENT GRANTED; REGISTRATIONS AS A COMMODITY TRADING ADVISOR, COMMODITY POOL OPERATOR AND ASSOCIATED PERSON REVOKED.
WONG, THERESA C.	C 05 2641	ND CAL	6/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
WORLD MARKET ADVISORS, INC.	05-60928	SD FL	6/9/2005	4c(b); 4(a)(1)(B)	32.9(a)&(c); 1.2	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER; TRADING PROHIBITION.
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.
XU, YI KERRY	C 05 2641	ND CAL	6/29/2005			EX PARTE STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNT ORDER.
ZHOU, RUN PING a/k/a FLORA ZHOU	C 05 2641	ND CAL	6/29/2005			EX PARTE 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
ZHUANG, JIAN	CV03-8339	CD CAL	7/5/2005	4b(a)(2)(i)&(iii)		SUMMARY JUDGMENT	MOTION FOR PARTIAL SUMMARY JUDGMENT GRANTED.