

**PROCEEDINGS BULLETIN SUPPLEMENT  
JANUARY 1, 2001 TO JUNE 30, 2001**

RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
BAILEY, JEFFREY T. d/b/a JMK FUTURES FUND	C-1-01-212	SD OH	4/13/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4o(1)	4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TRADING PROHIBITION; ACCOUNTING ORDERED.
BARTLETT, ROBERT S.	92-041-LDG	DNV	06/26/01				ORDER APPROVING ACCOUNT REPORT AND DIRECTING PAYMENT OF EXPENSES, ATTORNEYS FEES AND PARTIAL PAYMENT OF CLAIMS.
BRENNER, JAMI WEISNER	00-08	CFTC	3/30/01	13(a)		ALJ ORDER	CEASE & DESIST ORDER; DIVISION'S MOTIONS FOR SUMMARY DISPOSITION AGAINST RESPONDENTS WITH RESPECT TO THEIR TRADING OF THE BOYLAN ACCOUNT, WEISNER-SPIKE ACCOUNT AND LFG ACCOUNT IS GRANTED; RESPONDENTS MOTION FOR SUMMARY DISPOSITION IS DENIED; APPEALED
BRENNER, STEVEN C.	00-08	CFTC	3/30/01	13(a)		ALJ ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$100,000; DIVISION'S MOTIONS FOR SUMMARY DISPOSITION AGAINST RESPONDENTS WITH RESPECT TO THEIR TRADING OF THE BOYLAN ACCOUNT, WEISNER-SPIKE ACCOUNT AND LFG ACCOUNT IS GRANTED; RESPONDENTS MOTION FOR SUMMARY DISPOSITION IS DENIED; APPEALED.
BROWN, BRENDA L.	00 C 7344	ND IL	1/9/01			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; SHALL DEPOSIT \$10,000 WITHIN SEVEN DAYS INTO A NON- SEGREGATED FUNDS ACCOUNT.
BROWN, JAMES SPENCER	401-CV-0250-A	ND TX	3/27/01	4b(a)(i) 4b(a)(iii) 4m(1) 4o(1)	4.41 4.41(b) 4.31 4.36(d)	COMPLAINT FILED	
BROWN, MARTIN	00 C 7344	ND IL	3/1/01	4b(a)(i) 4b(a)(iii)	166.2	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT BOOKS & RECORDS; RESTRAINED, ENJOINED & PROHIBITED FROM VIOLATING

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ANY PROVISIONS OF THE 11/21/00 STATUTORY RESTRAINING ORDER.
BURNETT, GREG	99-1558-CV-T-23F	MD FL	5/21/01				JUDGMENT ENTERED IN FAVOR OF DEFENDANTS AS TO ALL COUNTS OF THE COMPLAINT.
CAPITAL CREDIT MANAGEMENT & FINANCE, INC.	00-6885	SD FL	3/28/01			FINAL JUDGEMENT	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,456,510.80 PLUS PRE & POST JUDGEMENT INTEREST; EACH DEFENDANT SHALL PAY A CIVIL MONETARY PENALTY OF \$2,456,510.80 WHICH IS EQUAL TO THE RESTITUTION SUM ORDERED.
COHEN, RICHARD A.	01-09	CFTC	6/6/01	4c(b)	33.10 166.3	COMPLAINT FILED	
COLMAN, LAWRENCE	00-6885	SD FL	5/9/01				PLAINTIFF'S MOTION TO UNFREEZE ACCOUNTS AND TRANSFER THEIR ASSETS TO RECEIVER FOR DISTRIBUTION AS RESTITUTION IS GRANTED
COPPOLA, VINCENT	01-06	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMPLAINT FILED	
CORDO, WILLIAM SCOTT	01-10	CFTC	6/19/01	4c(b)	33.7(f) 33.10 166.3	COMPLAINT FILED	
CRAWFORD, JAMES R.	97C7061	ND IL	1/30/01				PLAINTIFF'S MOTION TO DISMISS WITHOUT PREJUDICE IS GRANTED; DECEASED.
CURRENCY MANAGEMENT GROUP, INC.	5:01CV1496	ND OH	6/18/01			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; MARY ANN RABIN, ESQ. APPOINTED TEMPORARY RECEIVER.
DAVIS, MITCHELL STEPHEN	01-10	CFTC	6/19/01	4c(b)	33.7(f) 33.10 166.3	COMPLAINT FILED	
DELLARCIPRETE, ANTHONY a/k/a TONY DELL	5:01CV1496	ND OH	6/18/01			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; MARY ANN RABIN, ESQ. APPOINTED

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							TEMPORARY RECEIVER.
DELLARCIPRETE, EMIDO	5:01CV1496	ND OH	6/18/01			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; MARY ANN RABIN, ESQ. APPOINTED TEMPORARY RECEIVER.
FAIRFIELD CURRENCY GROUP, INC.	01-8350	SD FL	5/4/01	4c(b)	32.9 32.11 33.3 32.5	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING ORDERED; GERALD B. WALD, ESQ. IS APPOINTED PERMANENT RECEIVER.
FERNANDEZ, VALENTIN	01-8350	SD FL	6/20/01			AGREED ORDER TO LIFT FREEZE ON CERTAIN ASSETS	4/23/01 STATUTORY RESTRAINING ORDER FREEZING ASSETS IS MODIFIED TO RELEASE SPECIFIC ASSETS.
FINANCIAL CLEARING CORP., LTD.	01-8350	SD FL	4/23/01			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; GERALD B. WALD, ESQ. IS APPOINTED TEMPORARY RECEIVER.
FIRST INVESTORS GROUP OF THE PALM BEACHES, INC.	01-10	CFTC	6/19/01	4c(b)	33.7(f) 33.10 166.3	COMPLAINT FILED	
FITZGERALD, LEIZA	99-1558-CIV-T-23F	MD FL	5/21/01				JUDGMENT ENTERED IN FAVOR OF DEFENDANTS AS TO ALL COUNTS OF THE COMPLAINT.
FITZGERALD, RAYMOND JR.	99-1558-CIV-T-23F	MD FL	5/21/01				JUDGMENT ENTERED IN FAVOR OF DEFENDANTS AS TO ALL COUNTS OF THE COMPLAINT.
FLANIGAN, JOSEPH B.	00-6885	SD FL	5/9/01				PLANTIFF'S MOTION TO UNFREEZE ACCOUNTS AND TRANSFER THEIR ASSETS TO RECEIVER FOR DISTRIBUTION AS RESTITUTION IS GRANTED.
FLEYSHMAKHER, ISAAC	01-04	CFTC	4/4/01	4b(a)(i) 4b(a)(iii) 4o(1) 4m(1)		COMMISSION ORDER	CEASE & DESIST ORDER; CONTINGENT CIVIL MONETARY PENALTY OF \$55,000; TRADING PROHIBITION; SHALL PAY RESTITUTION OF \$12,230; SHALL NEVER APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION W/ THE COMMISSION; SHALL COMPLY

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							W/ UNDERTAKINGS; SHALL NOT TRANSFER FUNDS; DISMISSED.
GARBE, ULRICH a/k/a ULI GARBE	01-8329	SD FL	4/30/01	4b(a)(i) 4b(a)(iii) 4o(1) 4c(b) 4m(1)	32.11 33.3(a)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.
GILKERSON, HARVEY T.	01-12	CFTC	6/29/01	4c(b) 4o(1)	4.13(b)(1) 4.41(b) 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$16,350 PURSUANT TO A PAYMENT PLAN; SHALL PAY RESTITUTION OF \$16,350 PURSUANT TO A PAYMENT PLAN; SHALL NEVER APPLY FOR REGISTRATION OR SEEK EXEMPTION FROM REGISTRATION W/ THE COMMISSION IN ANY CAPACITY.
HOLT, ANTHONY L.	97C7061	ND IL	1/30/01	4m(1) 4o(1)(B) 4o(1)		PERMANENT INJUNCTION	FREEZE OF ASSETS; TRADING PROHIBITION; CIVIL MONETARY PENALTY OF \$50,000 OWED PURSUANT TO A PAYMENT PLAN FOR 10 YEARS; MAY NOT SEEK REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION; AMENDED COMPLAINT AND OTHER RELIEF DISMISSED WITH PREJUDICE.
INTERNATIONAL CURRENCY STRATEGIES, INC.	01-8350	SD FL	5/30/01	4c(b)	32.9 32.11 33.3 32.5	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING ORDERED; GERALD B. WALD, ESQ. IS APPOINTED PERMANENT RECEIVER.
INTERNATIONAL MONETARY GROUP, INC.	5:01CV1496	ND OH	6/18/01			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; MARY ANN RABIN, ESQ. APPOINTED TEMPORARY RECEIVER.
JMK CAPITAL MANAGEMENT, INC.	C-1-01-212	SD OH	4/13/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4k(2) 4o(1)	4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TRADING PROHIBITION; ACCOUNTING ORDERED.
JUSTUS ENTERPRISES, INC.	01-01	CFTC	2/2/01			ALJ ORDER	THE DIVISION'S MOTION OR ENTRY OF FINDINGS OF FACT &

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							CONCLUSION OF LAW & DEFAULT ORDER GRANTED; IMPOSITION OF SANCTIONS WILL BE DEFERRED UNTIL ALL ISSUES IN COMPLAINT HAVE BEEN RESOLVED.
KAVEKOS, MANNY G.	01-8350	SD FL	4/23/01			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; GERALD B. WALD, ESQ. IS APPOINTED TEMPORARY RECEIVER.
KING, JAVETTE L.	00 C 7344	ND IL	3/1/01	4b(a)(i) 4b(a)(iii)	166.2	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; RESTRAINED, ENJOINED & PROHIBITED FROM VIOLATING ANY PROVISIONS OF THE 11/21/00 STATUTORY RESTRAINING ORDER.
KNIPPING, EDWARD K. individually and d/b/a TIME TRADERS INVESTMENT GROUP	01-163-P-H	D MA	6/28/01			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
KONKEL, MICHAEL JAMES individually and d/b/a VENTURE FUND, ICE CAPITAL MANAGEMENT, INC., AD ASTRA, INC., and THE INSCAPE FUNDS	00-T-547-S	M.D. ALA.	5/18/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4o(1) 4m(1)	4.41(a) 4.22 4.20(c) 4.21(a) 4.21(b)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; TRADING PROHIBITION; MAY NOT APPLY FOR REGISTRATION OR SEEK EXEMPTIN FROM REGISTRATION; RESTITUTION OF \$790,882.01 PLUS POST JUDGMENT INTEREST; NFA DESIGNATED AS MONITOR; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$440,000 IN ANNUAL INSTALLMENT PAYMENTS.
KOWALSKI, CHUCK	99-1558-CIV-T-23F	MD FL	5/21/01				JUDGMENT ENTERED IN FAVOR OF DEFENDANTS AS TO ALL COUNTS OF THE COMPLAINT.
LACROSSE, CRAIG J.	90-20	CFTC	2/21/01			ALJ INITIAL DECISION	SHALL BE PERMITTED TO TRADE OFF THE FLOOR OF ANY DESIGNATED FUTURES EXCHANGE, THROUGH A REGISTERED FCM AND SOLELY FOR HIS OWN ACCOUNT; THE COMMISSION'S 1/21/97 ORDER REMAINS IN EFFECT IN ALL OTHER RESPECTS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
LACROSSE, CRAIG J.	SD-91-6	CFTC	2/21/01			ALJ INITIAL DECISION	SHALL BE PERMITTED TO TRADE OFF THE FLOOR OF ANY DESIGNATED FUTURES EXCHANGE, THROUGH A REGISTERED FCM AND SOLELY FOR HIS OWN ACCOUNT; THE COMMISSION'S 1/21/97 ORDER REMAINS IN EFFECT IN ALL OTHER RESPECTS.
LAKEN, GLENN B.	SD-00-05	CFTC	2/8/01			COMMISSION ORDER	COMMISSION AFFIRMS ALJ'S DECISION TO TEMPORARILY SUSPEND FB REGISTRATION.
LEMMON, JASON	5:01CV1496	ND OH	6/18/01			STATUTORY EX PARTE RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; MARY ANN RABIN, ESQ. APPOINTED TEMPORARY RECEIVER.
MADISON FINANCIAL GROUP, LLC	01-09	CFTC	6/6/01	4c(b)	33.10 166.3	COMPLAINT FILED	
MARANTETTE, DAVID T., III	CV99-00653	D. HAW	2/21/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4m(1) 4o(1)	4.20(c) 4.41(a) 4.41(b)(i) 4.41(b)(ii) 33.10(a) 33.10(c)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION IN ANY CAPACITY; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,246,043.24 PLUS POST JUDGEMENT INTEREST; NFA DESIGNATED AS MONITOR; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$700,000, WHICH IS JOINTLY & SEVERALLY OWED COMMENCING UPON THEIR FULFILLMENT OF RESTITUTION OBLIGATION.
MEROLLA, PAUL	01-07	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; TRADING PRIVILEGES & FB REGISTRATION EACH SUSPENDED FOR 6 MONTHS; JOINT OWED RESTITUTION OF \$14,700 AND \$5,200 RESPECTIVELY WITHIN 10 DAYS.
MOORGATE, LTD.	92-041-LDG	D NV	06/26/01				ORDER APPROVING ACCOUNT REPORT AND DIRECTING PAYMENT OF EXPENSES,

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							ATTORNEYS FEES AND PARTIAL PAYMENT OF CLAIMS.
MURPHY, TIMOTHY	01-06	CFTC	4/23/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$30,000; TRADING PRIVILEGES & FB REGISTRATION SUSPENDED FOR 6 MONTHS; SHALL PAY RESTITUTION OF \$18,750; TRADING PRIVILEGES & FB REGISTRATION CONDITIONED AFTER SUS PENSIONS ARE LIFTED.
NATIONAL BULLION & COIN, INC. d/b/a NATIONAL BULLION & COIN SERVICES, INC.	00-6885	SD FL	3/28/01			FINAL JUDGEMENT	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; STOP SOLICITATION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,456,510.80 PLUS PRE & POST JUDGEMENT INTEREST; EACH DEFENDANT SHALL PAY A CIVIL MONETARY PENALTY OF \$2,456,510.80 WHICH IS EQUAL TO THE RESTITUTION SUM ORDERED.
NOBLE METALS INTERNATIONAL	92-041-LDG	DNV	06/26/01				ORDER APPROVING ACCOUNT REPORT AND DIRECTING PAYMENT OF EXPENSES, ATTORNEYS FEES AND PARTIAL PAYMENT OF CLAIMS.
O'HERRON ASSET MANAGEMENT	1:00 CV 913	WD MI	4/6/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TRADING PROHIBITION; RESTRAINED, ENJOINED & PROHIBITED FROM DIRECTLY OR INDIRECTLY APPLYING FOR REGISTRATIION OR CLAIMING EXEMPTION FROM REGISTRATION W/ THE COMMISSION IN ANY CAPACITY.
O'HERRON, JOHN	1:00 CV 913	WD MI	4/6/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4m(1) 4o(1)	4.20(c) 4.21	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; TRADING PROHIBITION; RESTRAINED, ENJOINED & PROHIBITED FROM DIRECTLY OR INDIRECTLY APPLYING FOR REGISTRATIION OR CLAIMING EXEMPTION FROM

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							REGISTRATION W/ THE COMMISSION IN ANY CAPACITY.
OSLER, DARRYL M.	00-05	CFTC	2/15/01	4c(b)		COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$50,000 ORDERED PAID PURSUANT TO A PAYMENT PLAN; SHALL NEVER APPLY FOR REGISTRATION OR CLAIM EXEMPTION FROM REGISTRATION WITH THE COMMISSION; DISMISSED.
PHILLIPS, DANIEL J.	01-8350	SD FL	5/30/01	4c(b)	32.9 32.11 33.3 32.5	PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; STOP SOLICITATION; ACCOUNTING ORDERED; GERALD B. WALD, ESQ. IS APPOINTED PERMANENT RECEIVER.
PIASIO, ALFRED R.	97-9	CFTC	5/9/01	4c(a)(A)		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$40,000; SUSPENSION OF REGISTRATION MAY NOT BE ORDERED BECAUSE RESPONDENT IS NO LONGER REGISTERED W/ COMMISSION; RESPONDENT FILED NOTICE OF APPEAL ON 5/25/01.
PORTARO, RICHARD D., JR.	92-041-LDG	D NV	06/26/01				ORDER APPROVING ACCOUNT REPORT AND DIRECTING PAYMENT OF EXPENSES, ATTORNEYS FEES AND PARTIAL PAYMENT OF CLAIMS.
PRAIRIE GARDEN CONDOS, INC.	00 C 7344	ND IL	1/9/01			PRELIMINARY INJUNCTION	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; SHALL DEPOSIT \$10,000 WITHIN SEVEN DAYS INTO A NON-SEGREGATED FUNDS ACCOUNT.
R.J. FITZGERALD & CO., INC.	99-1558-CIV-T-23F	MD FL	5/21/01				JUDGMENT ENTERED IN FAVOR OF DEFENDANTS AS TO ALL COUNTS OF THE COMPLAINT.
RYAN, JOHN H.	91-10	CFTC	4/12/01			NOTICE OF EFFECTIVE DATE	3/9/01 INITIAL DECISION TERMINATING TRADING BAN BECAME THE FINAL ORDER OF THE COMMISSION ON 4/9/01
RYAN, JOHN H.	SD-93-17	CFTC	4/12/01			NOTICE OF EFFECTIVE DATE	3/9/01 INITIAL DECISION TERMINATING TRADING BAN BECAME THE FINAL ORDER OF

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
							THE COMMISSION ON 4/9/01
SABERI, ANDY	01-11	CFTC	6/26/01	4a(e)		COMPLAINT FILED	
SABIN, RABB	SACV00940	CD CAL	2/28/01	4c(b) 4o(1)	4.41(a) 33.10	PERMANENT INJUNCTION	RESTITUTION OF \$384,771.25 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$50,000.
SCHECK, DANNY LYLE	92-11	CFTC	5/29/01			COMMISSION ORDER	6/4/97 COMMISSION ORDER MODIFIED; SCHECK HAS LIMITED TRADING PRIVILEGES.
SCHECK, DANNY LYLE	SD-93-13	CFTC	5/29/01			COMMISSION ORDER	6/4/97 COMMISSION ORDER MODIFIED; SCHECK HAS LIMITED TRADING PRIVILEGES.
SCHENK, JOHN STEVEN	2:98CV00216J	CD UT	3/29/01	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(a) 4.24(a)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$18,000; DISGORGEMENT OF \$16,000; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM: 1) ACTING AS A FCM, CPO, CTA, IB, FB, FT OR AS AN AP; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH COMMISSION IN ANY CAPACITY; AND 3) FROM TRADING COMMODITY FUTURES CONTRACTS OR OPTIONS ON COMMODITY FUTURES CONTRACTS FOR THEIR OWN PERSONAL ACCOUNT OR HAVING ANY COMMODITY INTEREST TRADED ON THEIR BEHALF FOR A PERIOD OF TEN YEARS FROM ORDER DATE.
SCHENK, MARK	2:98CV00216J	CD UT	3/29/01	4b(a)(i) 4b(a)(ii) 4o(1)	4.21(a) 4.24(a)	PERMANENT INJUNCTION	STOP SOLICITATION; TRADING PROHIBITION; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$18,000; DISGORGEMENT OF \$16,000; PERMANENTLY RESTRAINED, ENJOINED & PROHIBITED FROM: 1) ACTING AS A FCM, CPO, CTA, IB, FB, FT OR AS AN AP; 2) SEEKING REGISTRATION OR EXEMPTION FROM REGISTRATION WITH

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							COMMISSION IN ANY CAPACITY; AND 3) FROM TRADING COMMODITY FUTURES CONTRACTS OR OPTIONS ON COMMODITY FUTURES CONTRACTS FOR THEIR OWN PERSONAL ACCOUNT OR HAVING ANY COMMODITY INTEREST TRADED ON THEIR BEHALF FOR A PERIOD OF TEN YEARS FROM ORDER DATE.
SCHULZE, RICHARD	92-041-LDG	D NV	06/26/01				ORDER APPROVING ACCOUNT REPORT AND DIRECTING PAYMENT OF EXPENSES, ATTORNEYS FEES AND PARTIAL PAYMENT OF CLAIMS.
SCOTT, RONALD G.	01-09	CFTC	6/6/01	4c(b)	33.10 166.3	COMPLAINT FILED	
SELBY, PHILIP	01-07	CFTC	1/10/01	4c(a)(A) 4c(a)(B) 4c(b) 4g(a)	1.35(d) 1.38 33.10	COMMISSION ORDER	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; TRADING PRIVILEGES & FB REGISTRATION EACH SUSPENDED FOR 6 MONTHS; JOINT OWED RESTITUTION OF \$14,700 AND \$5,200 RESPECTIVELY WITHIN 10 DAYS.
SHEFLER, DONALD N.	92-041-LDG	D NV	06/26/01				ORDER APPROVING ACCOUNT REPORT AND DIRECTING PAYMENT OF EXPENSES, ATTORNEYS FEES AND PARTIAL PAYMENT OF CLAIMS.
SION, JONATHAN A.	95-1	CFTC	3/22/01				MOTION TO REDUCE SANCTIONS IS DENIED BY COMMISSION.
SMITH, ART	SACV00940	CD CAL	2/28/01	4c(b) 4o(1)	4.41(a) 33.10	PERMANENT INJUNCTION	RESTITUTION OF \$384,771.25 PLUS PRE & POST JUDGMENT INTEREST; CIVIL MONETARY PENALTY OF \$50,000.
STRATEGIC TRADING GROUP, INC.	01-8350	SD FL	4/23/01			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED; GERALD B. WALD, ESQ. IS APPOINTED TEMPORARY RECEIVER.
SUNSTATE FX, INC.	01-8329	SD FL	4/30/01	4b(a)(i) 4b(a)(iii) 4o(1)	32.11 33.3(a)	PRELIMINARY INJUNCTION	PROTECT & ACCESS BOOKS & RECORDS.

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RESPONDENT NAME	DOCKET #	JURISDICTION	ACTION DATE	ACTS VIOLATED	REGS VIOLATED	DISPOSITION	DISPOSITION INFORMATION
				4c(b) 4m(1)			
SZACH, SCOTT N.	01-05	CFTC	1/8/01	4d(2) 4g(a) 6(c)	1.10(d) 1.12(h) 1.18(a) 1.20 166.3	COMMISSION ORDER	CEASE & DESIST ORDER; CONTINGENT CIVIL MONETARY PENALTY OF \$220,000; TRADING PRIVILEGES SUSPENDED FOR 10 YEARS; SHALL LIQUIDATE ALL FUTURES & OPTIONS HELD BY HIM OR ON HIS BEHALF BEFORE THE COMMENCEMENT OF THE DENIAL OF HIS TRADING PRIVILEGES; PERMANENTLY PROHIBITED FROM PRACTICING BEFORE THE COMMISSION.
TIME TRADERS, INC.	01-163-P-H	D MA	6/28/01			STATUTORY RESTRAINING ORDER	FREEZE OF ASSETS; PROTECT & ACCESS BOOKS & RECORDS; ACCOUNTING ORDERED.
TROUBADOUR, INC.	CV99-00653	D. HAW	2/21/01	4b(a)(i) 4b(a)(ii) 4b(a)(iii) 4c(b) 4m(1) 4o(1)	4.20(c) 4.41(a) 4.41(b)(i) 4.41(b)(ii) 33.10(a) 33.10(c)	PERMANENT INJUNCTION	PROTECT BOOKS & RECORDS; STOP SOLICITATION; TRADING PROHIBITION; PROHIBITED FROM SEEKING REGISTRATION WITH COMMISSION IN ANY CAPACITY; JOINTLY & SEVERALLY LIABLE FOR RESTITUTION OF \$2,246,043.24 PLUS POST JUDGEMENT INTEREST; NFA DESIGNATED AS MONITOR; SHALL PAY A CONTINGENT CIVIL MONETARY PENALTY OF \$700,000, WHICH IS JOINTLY & SEVERALLY OWED COMMENCING UPON THEIR FULFILLMENT OF RESTITUTION OBLIGATION.
VARNER, MICHAEL H.	01-08	CFTC	6/1/01	6(c)		COMPLAINT FILED	
WALTERS, MAX E.	99-15	CFTC	2/9/01			ALJ ORDER	CIVIL MONETARY PENALTY OF \$2,400,000; RESTITUTION OF \$1,641,005.86; RESPONDENT FILED NOTICE OF APPEAL ON 2/21/01.
WILSON, DONALD W.	97-9	CFTC	3/14/01	4c(a)(A)		ALJ INITIAL DECISION	CEASE & DESIST ORDER; CIVIL MONETARY PENALTY OF \$25,000; FB & AP REGISTRATION SUSPENDED FOR 6 MONTHS.