

RESPONDENTS DELETED DURING 01/01/2003 - 12/31/2003

ARNOLD, CURTIS MCNAIR -CFTC Docket No. 97-12

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NFA-ID No. 0183189

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse him trading privileges for a period of three (3) years through September 4, 2003.

BEACON HILL ASSET MANAGEMENT, LLC -CFTC Docket No. SD 03-01

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NFA-ID No. 0277301

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are suspended for a period of six (6) months through July 7, 2003.

BUDICAK, LISA ANN -CFTC Docket No. 99-17

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NFA-ID No. 0253307

-Shall comply with the undertaking not to directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission for a period of three (3) years through September 25, 2003.

-Shall comply with the undertaking not to directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission or over any person, whether required to be registered with the Commission or not, involved in the execution, allocation, writing, receipt, or transmission of orders for futures contracts or options on futures contracts for a period of three (3) years through September 25, 2003.

-Shall comply with the undertaking not to serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of three (3) years through September 25, 2003.

CHANDLER, HENRY F. -CFTC Docket No. 03-02

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NFA-ID No. 0043876

-Registration with the Commission as a floor broker is suspended for a period of six (6) months through June 30, 2003.

CHANDLER, HENRY F. -CFTC Docket No. 03-02(continued)
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-Prohibited from trading on or subject to the rules of any registered entity, and all registered entities shall refuse him privileges for a period of six (6) months through June 13, 2003; provided, however, he is permitted to trade off the floor of any registered entity for his own account beginning three (3) months after the Suspension Date, with such orders being executed only by other duly authorized persons.

COX, STEPHEN CHARLES -CFTC Docket No. 03-04
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NFA-ID No. 0269779

-Registration with the Commission as a commodity trading advisor is suspended for a period of three (3) months through March 24, 2003.

DEFRANCESCO, JOSEPH FRANK, JR. -CFTC Docket No. 02-09
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NFA-ID No. 0254240

-Registration with the Commission as a floor broker will be suspended for a period of six (6) months through January 29, 2003.

EBAUGH, CURTIS MITCHELL -CFTC Docket No. 03-16
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NFA-ID No. 0276290

-Registration with the Commission as a commodity trading advisor is suspended for a period of three (3) months through September 30, 2003.

FERRAIOLI, ROBERT JOSEPH -CFTC Docket No. 03-02
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NFA-ID No. 0280951

-Shall be barred from acting as a dual trader on or subject to the rules of any registered entity for a period of twelve (12) months through December 12, 2003.

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twelve (12) months through December 12, 2003.

FERRAIOLI, ROBERT JOSEPH -CFTC Docket No. 03-02(continued)
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-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission and shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twelve (12) months through December 12, 2003.

GRIFFIN, SHERALD, CPA. -CFTC Docket No. 98-12
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-Shall comply with undertaking not to apply for reinstatement with the Commission for a period of five (5) years through April 7, 2003.

GRISWOLD, MICHAEL T. -CFTC Docket No. 01-21
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-Prohibited from trading on or subject to the rules of any registered entity, as that term is defined by Section 1a(29) of the Act, as amended by the Commodity Futures Modernization Act of 2000, Appendix E, Pub. L. 106-554, 114 Stat. 2763 (2000), 7 U.S.C. Section 1a(29), and requires all registered entities to refuse him privileges thereon for a period of eighteen (18) months through February 21, 2003.

HAMMER, MICHAEL DAVID -CFTC Docket No. 03-02
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NFA-ID No. 0008660

-Shall be barred from acting as a dual trader on or subject to the rules of any registered entity for a period of twelve (12) months through December 12, 2003.

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twelve (12) months through December 12, 2003.

-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission; and shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twelve (12) months through December 12, 2003.

HENRY & HORNE, PLC -CFTC Docket No. 98-11

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-Shall comply with undertaking not to apply to the Commission for reinstatement for a period of five (5) years through October 20, 2003.

IZDEBSKI, RICHARD J. -CFTC Docket No. 88-18

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-Comply with undertaking not to apply for registration with the Commission for a period of fifteen(15) years, through June 7, 2003.

-Comply with undertaking not to become a principal of any entity that is required to be registered in any capacity under the Act for a period of fifteen(15) years, through June 7, 2003.

JOYCE, JOHN J. -CFTC Docket No. 02-13

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NFA-ID No. 0051517

-Registration with the Commission as a floor broker is suspended for a period of three (3) months through January 14, 2003.

KILBRIDE, RONALD FRANCIS -CFTC Docket No. 02-09

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NFA-ID No. 0255751

-Registration with the Commission as a floor broker is suspended for a period of six (6) months through August 3, 2003.

LAUBSCHER, DONNA, CPA. -CFTC Docket No. 98-12

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-Shall comply with undertaking not to apply for reinstatement with the Commission for a period of five (5) years through April 7, 2003.

LONDON FINANCIAL, INC. -CFTC Docket No. 97-12

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NFA-ID No. 0218145

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse its trading privileges for a period of three (3) years through September 4, 2003.

MARRON, PETER S. -CFTC Docket No. 86-6

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NFA-ID No. 0046011

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through April 2, 2003.

MEROLLA, PAUL ALFRED -CFTC Docket No. 01-07

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NFA-ID No. 0018808

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twenty-four (24) months through July 29, 2003.

-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission and he shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twenty-four (24) months through July 29, 2003.

MERSCH, FREDERIC J. -CFTC Docket No. 01-02

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-Prohibited from directly or indirectly trading on or subject to the rules of any registered entity, as defined in Section 1a(29) of the Act, 7 U.S.C. Section 1a(29), as amended by the Commodity Futures Modernization Act of 2000, Appendix E of Pub. L. No. 106-554, 114 Stat. 2763 (2000), for a period of two (2) years through September 23, 2003, and all registered entities shall refuse him privileges during that period.

-Shall comply with his undertaking not to directly or indirectly fund any other person's or entity's commodity futures or options trading during the two-year trading prohibition ordered above; (2) following the end of the two-year trading prohibition, never to enter orders for commodity futures or options accounts held in the name of any other person or entity without first receiving a written authorization and never to allow any other person or entity to enter orders for his account without first giving that person or entity a written authorization.

MOCK, DALE LUTHER -CFTC Docket No. 00-22

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NFA-ID No. 0087228

-Prohibited from trading on or subject to the rules of any contract market, and that all contract markets refuse him trading privileges for a period of two (2) years through October 28 2003, except that he is permitted to engage in bona fide hedging, as defined by Commission Regulation 1.3(z), in connection with a commercial enterprise that he owns or controls.

MURPHY, TIMOTHY J. -CFTC Docket No. 01-06

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NFA-ID No. 0047596

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twenty-four (24) months through November 14, 2003.

-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission and he shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twenty-four (24) months through November 14, 2003.

MURPHY, TIMOTHY R. -CFTC Docket No. 92-24

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NFA-ID No. 0075561 ; 0211836

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through February 2003.

MURPHY, WILLIAM J., III. -CFTC Docket No. 92-24

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NFA-ID No. 0015550

-Prohibited from trading or or subject to the rules of any contract market for a period of ten(10) years through February 17, 2003.

PENNY, ERNEST -CFTC Docket No. 03-02

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NFA-ID No. 0215698

PENNY, ERNEST -CFTC Docket No. 03-02(continued)
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-Registration with the Commission as a floor broker is suspended for a period of six (6) months through June 30, 2003.

-Prohibited from trading on or subject to the rules of any registered entity, and all registered entities shall refuse him privileges for a period of six (6) months through June 13, 2003; provided, however, he is permitted to trade off the floor of any registered entity for his own account beginning three months after the Suspension Date, with such orders being executed only by other duly authorized persons.

PIAZZA, BRUCE A. -CFTC Docket No. 86-6
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NFA-ID No. 0040888

-Prohibited from trading on or subject to the rules of any contract market for a period of ten(10) years, through April 2, 2003.

RUBEL, ROBERT JACK -CFTC Docket No. 98-15
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NFA-ID No. 0241377 ; 0270132

-Prohibited from trading for his own account or for any account in which he has a direct or indirect interest, on any contract market, and all contract markets shall refuse him trading privileges for a period of five (5) years through August 23, 2003.

SANDOVAL, TACHO MIGUEL -CFTC Docket No. 03-02
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NFA-ID No. 0271338

-Shall be barred from acting as a dual trader on or subject to the rules of any registered entity for a period of twelve (12) months through December 12, 2003.

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twelve (12) months through December 12, 2003.

SANDOVAL, TACHO MIGUEL -CFTC Docket No. 03-02(continued)
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-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission; and shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twelve (12) months through December 12, 2003.

SEELLENFREUND, STEPHEN PAUL -CFTC Docket No. 03-02
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NFA-ID No. 0228682

-Shall be barred from acting as a dual trader on or subject to the rules of any registered entity for a period of twelve (12) months through December 12, 2003.

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twelve (12) months through December 12, 2003.

-Shall not directly or indirectly act as a principal, partner, officer, or branch office manager of any entity registered or required to be registered with the Commission; and shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twelve (12) months through December 12, 2003.

SELBY, PHILIP DAVID -CFTC Docket No. 01-07
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NFA-ID No. 0267073

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twenty-four (24) months through July 29, 2003.

-Shall not directly or indirectly act as a principal, partner, officer or branch office manager of any entity registered or required to be registered with the Commission, and he shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission for a period of twenty-four (24) months through July 29, 2003.

THOMAS, MICHAEL HJALMAR -CFTC Docket No. 95-8

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NFA-ID No. 0197960

-Shall not reapply for registration in any capacity for a period of five (5) years through January 7, 2003.

THORNTON, BRIAN SCOTT -CFTC Docket No. 02-09

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NFA-ID No. 0246337

-Registration with the Commission as a floor broker is suspended for a period of three (3) months through August 26, 2003.

VAUGHN, MARK BERNARD -CFTC Docket No. 02-06

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NFA-ID No. 0067133

-Registration with the Commission as a floor broker or any other registration he may seek shall be restricted in that he is prohibited from acting in any supervisory capacity for a period of one (1) year through February 24, 2003.

WILSON, DONALD WAYNE -CFTC Docket No. 97-9

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NFA-ID No. 0007885

-Registrations with the Commission as an associated person and a floor broker are suspended for a period of six (6) months through December 18, 2003.

WOSNACK, WILLIAM GEORGE, III. -CFTC Docket No. 03-02

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NFA-ID No. 0096075

-Shall be barred from acting as a dual trader on or subject to the rules of any registered entity for a period of twelve (12) months through December 12, 2003.

-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization registered or subject to regulation by the Commission for a period of twelve (12) months through December 12, 2003.

WOSNACK, WILLIAM GEORGE, III. -CFTC Docket No. 03-02(continued)
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-Shall not directly or indirectly act as a principal,
partner, officer, or branch office manager of any entity
registered or required to be registered with the Commission
and shall not directly or indirectly act in any supervisory
capacity over anyone registered or required to be registered
with the Commission for a period of twelve (12) months
through December 12, 2003.

ZUCCARELLI, ERIC -CFTC Docket No. SD 97-3
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NFA-ID No. 0179087

-Registration with the Commission as a floor broker shall be
suspended for a period of six(6) months through February 5,
2003.