

SANCTIONS UPDATE LIST FROM JANUARY 01, 2006 TO NOVEMBER 30, 2006

- 1 -

	<u>RESPONDENT</u> -----	<u>JUDGEMENT</u> -----	<u>DOCKET NUMBER</u> -----
1.	BRICKELL KEY FINANCIAL, LLC Miami, FL Date Effective : 07/21/2006 NFA ID - 0319247	\$3,201.36 5.010% from 12/04/2002 \$125.00 Filing Fee Joint and Several	05-R021
2.	DENN, LORI ANN Del Ray Beach, FL Date Effective : 02/17/2006 NFA ID - 0297890	\$24,396.00 1.230% from 02/29/2000 \$125.00 Filing Fee Joint and Several	02-R050
3.	EDWARD MCKENZIE & CO., INC., Fort Lauderdale, FL Date Effective : 10/25/2006 NFA ID - 0330650	\$9,861.73 \$50.00 Filing Fee Joint and Several	06-R013
	Date Effective : 10/25/2006	\$18,950.90 \$50.00 Filing Fee Joint and Several	06-R024
4.	EXECUTIVE COMMODITY CORP. Pompano Beach, FL Date Effective : 11/20/2006 NFA ID - 0292976	\$24,319.00 5.020% from 06/04/2003 \$125.00 Filing Fee	06-R016
5.	FACT FINANCIAL, LLC San Diego, CA Date Effective : 02/27/2006 NFA ID - 0329131	\$5,025.00 4.320% from 09/25/2003 \$50.00 Filing Fee	05-R079
6.	FIRST CAPITAL MANAGEMENT CORP. Miami, FL Date Effective : 08/11/2006 NFA ID - 0292354	\$10,957.38 5.030% from 12/01/2004 \$185.00 Filing Fee Joint and Several	05-R066
7.	FIRST LIBERTY INVESTMENT SERVICES, INC. Fort Lauderdale, FL Date Effective : 04/07/2006 NFA ID - 0296774	\$12,513.00 4.430% from 03/06/2006 \$125.00 Filing Fee Joint and Several	05-R031
8.	FRIEDMAN, MARSHA ELEANOR Aventura, FL Date Effective : 10/16/2006 NFA ID - 0073348	\$32,942.06 1.300% from 03/11/2005 \$250.00 Filing Fee Joint and Several	05-R045

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- 2 -

	RESPONDENT -----	JUDGEMENT -----	DOCKET NUMBER -----
9.	GALLAGHER, MICHAEL NELSON San Clemente, CA Date Effective : 04/19/2006 NFA ID - 0324398	\$2,460.00 4.430% from 04/02/2004 \$125.00 Filing Fee	05-R046
10.	GLOBAL ATLANTIC MANAGEMENT, INC. Fort Lauderdale, FL Date Effective : 04/19/2006 NFA ID - 0336907	\$25,000.00 4.600% from 01/25/2004 \$125.00 Filing Fee	04-R082
11.	GONZALEZ, MARIO PATRICIO Miami, FL Date Effective : 08/11/2006 NFA ID - 0256410	\$10,957.38 5.030% from 12/01/2004 \$185.00 Filing Fee Joint and Several	05-R066
12.	GOODIE, CHARLES STEVEN San Diego, CA Date Effective : 02/27/2006 NFA ID - 0097155	\$5,025.00 4.320% from 09/25/2003 \$50.00 Filing Fee	05-R079
13.	INTERNATIONAL COMMODITY CLEARING Fort Lauderdale, FL Date Effective : 08/11/2006 NFA ID - 0342033	\$10,957.38 5.030% from 12/01/2004 \$185.00 Filing Fee Joint and Several	05-R066
14.	INVESTORS TRADING GROUP L C N. Miami, FL Date Effective : 02/17/2006 NFA ID - 0281321	\$24,396.00 1.230% from 02/29/2000 \$125.00 Filing Fee Joint and Several	02-R050
15.	JUNAID, THERESA ANN Coral Springs, FL Date Effective : 10/06/2006 NFA ID - 0303314	\$9,997.00 5.170% from 05/24/2004 \$50.00 Filing Fee	06-R038
16.	KENNEDY, THOMAS COURTLAND Tamarac, FL Date Effective : 11/17/2006 NFA ID - 0259073	\$56,500.00 5.030% from 08/12/2004 to 02/21/2006 and 5.030% interest on \$50,500.00 from 02/22/2006 to date of payment \$125.00 Filing Fee	05-R084

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- 3 -

	RESPONDENT	JUDGEMENT	DOCKET NUMBER
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17.	KNOWLES, STEVE DAVID Deerfield Beach, FL Date Effective : 05/08/2006 NFA ID - 0299126	\$12,845.07 4.700% from 03/06/2006 \$125.00 Filing Fee	05-R031
18.	McCALL, JOHN MERRILL Fort Lauderdale, FL Date Effective : 10/25/2006 NFA ID - 0263587	\$9,861.73 \$50.00 Filing Fee Joint and Several	06-R013
	Date Effective : 10/25/2006	\$18,950.90 \$50.00 Filing Fee Joint and Several	06-R024
19.	MOORE, STEPHEN RANDALL Newport Beach, CA Date Effective : 11/27/2006 NFA ID - 0286491	\$76,750.00 4.980% from 09/29/2003 \$250.00 Filing Fee Joint and Several	05-R086
20.	MURPHY, JAMES MARK Cypress, CA Date Effective : 09/18/2006 NFA ID - 0329288	\$2,953.94 \$50.00 Filing Fee	06-R002
21.	NERSIAN, MALINI Miami, FL Date Effective : 07/21/2006 NFA ID - 0322911	\$3,201.36 5.010% from 12/04/2002 \$125.00 Filing Fee Joint and Several	05-R021
22.	PLUNKETT, PAUL F. Deerfield, FL Date Effective : 09/05/2006 NFA ID - 0313975	\$12,697.00 5.130% from 05/25/2004 \$125.00 Filing Fee Joint and Several	05-R052
23.	Professional Market Brokerage, Inc. Chicago, IL Date Effective : 10/16/2006 NFA ID - 0268415	\$16,113.64 5.100% from 06/08/2004 \$125.00 Filing Fee	04-R065
24.	QUALIFIED LEVERAGE PROVIDERS, INC. Surfside, FL Date Effective : 10/23/2006 NFA ID - 0337534	\$86,550.00 1.300% from 02/01/2005 \$250.00 Filing Fee	06-R017

SANCTIONS UPDATE LIST FROM JANUARY 01, 2006 TO NOVEMBER 30, 2006

- 4 -

	RESPONDENT -----	JUDGEMENT -----	DOCKET NUMBER -----
25.	RANDALL WORLDWIDE INVESTMENTS D/B/A SIDABOYZ, INC. Scottsdale, AZ Date Effective : 07/31/2006 NFA ID - 0311196	\$76,750.00 4.980% from 09/29/2003 \$250.00 Filing Fee Joint and Several	05-R086
26.	REVOLUTION FINANCIAL SERVICES Delray Beach, FL Date Effective : 02/24/2006 NFA ID - 0338730	\$3,640.00 \$50.00 Filing Fee	05-R073
27.	ROSS, ANDREW DESMOND West Palm Beach, FL Date Effective : 09/05/2006 NFA ID - 0267199	\$12,697.00 5.130% from 05/25/2004 \$125.00 Filing Fee Joint and Several	05-R052
28.	SCHWARTZ, STUART F. Cooper City, FL Date Effective : 10/16/2006 NFA ID - 0305094	\$32,942.06 1.300% from 03/11/2005 \$250.00 Filing Fee Joint and Several	05-R045
29.	SOUTH COAST COMMODITIES INC., Pembroke Pines, FL Date Effective : 11/17/2006 NFA ID - 0346902	\$54,643.11 1.300% from 10/18/2004 \$50.00 Filing Fee Joint and Several	05-R061
	SOUTH COAST COMMODITIES, INC. Pembroke Pines, FL Date Effective : 10/16/2006 NFA ID - 0346902	\$32,942.06 1.300% from 03/11/2005 \$250.00 Filing Fee Joint and Several	05-R045
30.	SURIA, TOMAS ULISES Aventura, FL Date Effective : 02/20/2006 NFA ID - 0301003	\$8,120.00 4.340% from 06/16/2000 \$125.00 Filing Fee	01-R066
31.	TECH NET TRADING INC. Fort Lauderdale, FL Date Effective : 02/17/2006 NFA ID - 0292175	\$24,396.00 1.230% from 02/29/2000 \$125.00 Filing Fee Joint and Several	02-R050

SANCTIONS UPDATE LIST FROM JANUARY 01, 2006 TO NOVEMBER 30, 2006

- 5 -

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32.	UNITED INVESTORS GROUP Deerfield Beach, FL Date Effective : 06/07/2006 NFA ID - 0309217	\$12,697.00 4.770% from 05/25/2004 \$50.00 Filing Fee	05-R052
33.	UNIVERSAL FINANCIAL HOLDING CORP., Aventura, FL Date Effective : 11/17/2006 NFA ID - 0267903	\$54,643.11 1.300% from 10/18/2004 \$50.00 Filing Fee Joint and Several	05-R061
34.	WORLDWIDE COMMODITY CORPORATION Pembroke Pines, FL Date Effective : 10/16/2006 NFA ID - 0291471	\$32,942.06 1.300% from 03/11/2005 \$250.00 Filing Fee Joint and Several	05-R045
	Date Effective : 11/17/2006	\$54,643.11 1.300% from 10/18/2004 \$50.00 Filing Fee Joint and Several	05-R061