

ADMINISTRATIVE SANCTIONS IN EFFECT LIST

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

(Select a letter to move to that section.)

A & H FINANCIAL SERVICES, INC. -CFTC Docket No. 91-22
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NFA-ID No. 0213220

- Registration as a commodity pool operator revoked.
- Comply with undertakings never to seek registration with the Commission in any capacity and never to engage in any activity that would require such registration.

ABRAHAM AND SONS CAPITAL, INC -CFTC Docket No. 98-7
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NFA-ID No. 0262284

- Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse trading privileges.
- Shall never apply for registration with the Commission in any capacity, and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

ACKERMANN, JOHN FREDRICK -CFTC Docket No. 98-9
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NFA-ID No. 0198562

- Registration with the Commission as an associated person is revoked.
- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

ADKINS, DAVID -CFTC Docket No. 87-18
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- Prohibited from trading on or subject to the rules of any contract market.

AGRIDATA -CFTC Docket No. 76-21
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- Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor revoked.

AGRO COMMODITIES, INC. -CFTC Docket No. 79-30
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- Prohibited from trading on or subject to the rules of any contract market.

AKAR, EMIL A. -CFTC Docket No. 82-29

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-Application for registration as a commodity trading advisor denied.

ALBINO, GLORIA ANNE -CFTC Docket No. 95-11

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NFA-ID No. 0014607

-Registration with the Commission as an associated person is revoked.

-Shall comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

ALHAMBRA SUN HING BULLION LTD. -CFTC Docket No. 92-9

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-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

ALLEN, RICHARD C. -CFTC Docket No. 80-7

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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

ALLEN, ROBERT CARTER -CFTC Docket No. 76-19

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-Prohibited from trading on or subject to the rules of any contract market.

ALMGREN, CARLTON -CFTC Docket No. 78-48

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-Registration as an associated person of a futures commission merchant revoked.

ALTIERI, LINDA FRANCES -CFTC Docket No. 88-21

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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

AMERICAN COMMODITY GROUP CORPORATION -CFTC Docket No. 82-6
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets are ordered to refuse trading privileges.

AMERICAN FUTURES CORPORATION (AFC) -CFTC Docket No. 88-4
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-Registration with the Commission as a futures commission merchant revoked as of four(4) months from February 11, 1988, (June 11, 1988) or on the date, of any, on which AFC becomes registered with the Commission as an introducing broker, whichever occurs first.

AMERICAN FUTURES GROUP, INC. -CFTC Docket No. 95-15
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NFA-ID No. 0089434

-Prohibited from trading on all contract markets.

-Registrations with the Commission as a futures commission merchant, commodity pool operator and a commodity trading advisor are suspended automatically until AFG shows to the satisfaction of the Commission that payment of the full amount of required restitution with interest thereon has been made.

AMERICAN FX, LLC. -CFTC Docket No. 03-13
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NFA-ID No. 0332290

*-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse its privileges thereon for a period of five(5) years through June 5, 2008.

*-Shall not engage in, control, or participate in any manner or affiliate in any way with any individual or entity which involves the solicitation, acceptance of orders, transmission of orders, advice relating to foreign currency futures or options, trading or execution of foreign currency futures contracts, options on foreign currency futures contracts, or options on foreign currency as a counterparty or for or on behalf of any person or entity.

*-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of five(5) years through June 5, 2008.

AMERICAN FX, LLC. -CFTC Docket No. 03-13 (continued)
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*-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of five(5) years through June 5, 2008.

*-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission's Regulations for a period of five(5) years through June 5, 2008.

AMERICAN INTERNATIONAL TRADING COMPANY -CFTC Docket No. 76-20
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-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

AMUNDSON, LEE DONALD -CFTC Docket No. 98-4
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NFA-ID No. 0212144

-Shall undertake not to apply for registration with the Commission in any capacity and shall not engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission for a period of six (6) years through August 23, 2004.

ANDERSON, DEIDRE -CFTC Docket No. 02-14
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*-Permanently 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, and all registered entities shall refuse him privileges.

*-Shall never apply for registration or seek exemption from registration with the Commission in any capacity and shall never engage in activity requiring registration or exemption from registration with the Commission.

ANDREWS, CHARLES E. -CFTC Docket No. SD 95-13
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NFA-ID No. 0038982

-Registrations as a floor broker and an associated person are suspended and this order shall remain in effect until the Superseding Indictment in U.S. v. Mew et al., No. CR94-5246FDB (W.D. Wash. Sept. 14, 1994) is disposed of, or until this Order is terminated by the Commission.

ANDREWS, CHARLES E. -CFTC Docket No. SD 95-18

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NFA-ID No. 0038982

-Registrations with the Commission as a floor broker and an associated person are revoked.

ANDREWS, HAROLD L. -CFTC Docket No. 76-14

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-Application for registration as an associated person of a futures commission merchant denied.

ANGELL, GEORGE JOSEPH -CFTC Docket No. 02-08

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NFA-ID No. 0076118

-Shall not apply for registration or seek exemption from registration with the Commission in any capacity, and shall not engage in any activity requiring registration or exemption from registration, except as provided for in Commission Regulation 4.14(a)(9), 17 C.F.R. Section 4.41(a)(9); for a period of three (3) years through March 5, 2005.

-Shall not act, directly or indirectly, as a principal, officer, director, agent or employee of any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9) for a period of three (3) years through March 5, 2005.

-Shall not act, directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14 (a)(9) for a period of three (3) years through March 5, 2005.

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

ANTONACCI, GARY S. -CFTC Docket No. 98-8

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NFA-ID No. 0036040

ANTONACCI, GARY S. -CFTC Docket No. 98-8 (continued)
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-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall not act in any capacity as a commodity trading advisor or commodity pool operator, or as an agent or officer of any person registered or required to be registered as a commodity trading advisor or commodity pool operator.

ANTONACCI, GARY STEVEN -CFTC Docket No. 83-37
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NFA-ID No. 0036040
CFTC-ID No. 0051532

-Registration as a commodity pool operator and a commodity trading advisor are hereby revoked.

-Pending application for registration as an associated person of a futures commission merchant and as a commodity trading advisor are hereby denied.

ARABATZIS, STEVEN M. -CFTC Docket No. 78-52
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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

ARCHER, STEVEN DOYLE -CFTC Docket No. 78-32
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-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

ARNOLD, CURTIS MCNAIR -CFTC Docket No. 97-12
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NFA-ID No. 0183189

-Shall comply with the undertaking never to engage in any activity that requires registration with the Commission, including, but not limited to, directing any current or prospective client's commodity interest account; soliciting, accepting or receiving any funds, revenue, or other property from any person, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

ARNOLD, CURTIS MCNAIR -CFTC Docket No. 97-12 (continued)
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- Shall comply with the undertaking never to act as a principal, agent, or officer of any person registered, exempted from registration or required to be registered with the Commission.
- Shall comply with the undertaking never to apply for registration with the Commission in any capacity or to seek exemption from registration.

ARNOLD, EDWARD A. -CFTC Docket No. 79-35
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- Prohibited from trading on or subject to the rules of any contract market.
- Registration as floor broker revoked.

ARNOUX, MARK HARRY -CFTC Docket No. 86-22
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- Prohibited from trading on or subject to the rules of any contract market.

ASHMAN, BRADLEY STEVEN -CFTC Docket No. 91-17
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NFA-ID No. 0205271

- Permanently prohibited directly or indirectly from trading on or subject to the rules of any contract market, either for his own account or for the account of any other person interest or entity, and all contract markets are permanently required to refuse him trading privileges.

ASHTON & ST. JOHN'S, INC. -CFTC Docket No. 81-10
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- Registration as a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

ATHANSON, HARRY J. -CFTC Docket No. 86-15
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- Prohibited from trading on or subject to the rules of any contract market.

ATLANTIC FUTURES, INC. -CFTC Docket No. 85-1
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- Comply with its undertaking never to re-apply for registration with the Commission in any capacity at anytime in the future.

ATLANTIC MERCANTILE GROUP, INC. -CFTC Docket No. 92-23
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NFA-ID No. 0219013

- Registration as an introducing broker is revoked.
- Comply with undertaking never to seek registration with the Commission in any capacity.
- Comply with undertaking never to be an officer, director, principal, employee, or agent of any Commission registrant, and never perform work for, be associated with, or receive, either directly or indirectly, any form of compensation from any Commission registrant.

ATLANTIC TRADING COMPANY -CFTC Docket No. 80-9
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- Registration as a futures commission merchant revoked.

AUCELLA, DAVID J. -CFTC Docket No. 86-6
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NFA-ID No. 0044175
CFTC-ID No. 0056637

- Registration as a person associated with a futures commission merchant is revoked.
- Prohibited from trading on or subject to the rules of any contract market.

AUGELLO, VINCENT -CFTC Docket No. SD 96-1
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NFA-ID No. 0026870

- Registration with the Commission as a floor broker is revoked.

AUSTER, MORRIS -CFTC Docket No. 79-61
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- Registration as a commodity trading advisor and as an associated person revoked.
- Disqualified from registration with the Commission in any capacity.

AUSTER, MORRIS -CFTC Docket No. 83-39
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- Registration as a commodity trading advisor and as an associated person revoked.
- Disqualified from registration with the Commission in any capacity.

BABIO, JOSEPH, JR. -CFTC Docket No. 91-22
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-Comply with undertakings never to seek registration with the Commission in any capacity and never to engage in any activity that would require such registration.

BACHUS & STRATTON COMMODITIES, INC. -CFTC Docket No. 94-2
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NFA-ID No. 0197022

-Registrations with the Commission as a futures commission merchant and a commodity pool operator are revoked.

BAKER, JOHN M. -CFTC Docket No. 93-12
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NFA-ID No. 0018937

-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 seven (7) years through June 26, 2004.

-Registration with the Commission as a floor broker is revoked.

BAKER, ROBERT V. -CFTC Docket No. SD 89-2
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a/k/a BOB BAKER

NFA-ID No. 0029808

CFTC-ID No. 0958544

-Registration as a commodity pool operator revoked.

BAKSHEEFF, CONSTANTINE -CFTC Docket No. 78-48
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-Registration as an associated person of a futures commission merchant revoked.

BAKSHEEFF, CONSTANTINE -CFTC Docket No. 80-34
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-Application for registration as a commodity trading advisor denied.

BARATH, HARRY -CFTC Docket No. 79-3
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a/k/a HARRY BARRETT, H. BAROTH, H. BARRATTA

-Application for registration as an associated person of a futures commission merchant denied.

BARCAL, WILLIAM A. -CFTC Docket No. 91-16

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NFA-ID No. 0074893

-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.

BAREN, MARTIN R. -CFTC Docket No. SD 95-2

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NFA-ID No. 0249618

-Application for registration as a floor trader is denied.

BARNARD, ROSS A. -CFTC Docket No. 86-6

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NFA-ID No. 0028596

CFTC-ID No. 0065181

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

BARNES, DON F. -CFTC Docket No. 78-45

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-Registration as an associated person of a futures commission merchant revoked.

BARTONE BROKERAGE CORPORATION -CFTC Docket No. 88-34

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a/k/a SAFEGUARD BROKERAGE

-Registration as an introducing broker revoked.

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

BARTONE, WILLIAM A., JR. -CFTC Docket No. 88-34

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-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

BASHISTA, RONALD -CFTC Docket No. 78-48

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-Registration as an associated person of a futures
commission merchant revoked.

BAUER, FRANK J. -CFTC Docket No. 79-30

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-Prohibited from trading, directly or indirectly, on or
subject to the rules of any contract market.

-Registration as an associated person and as a commodity
pool operator revoked.

BAUMAN, BERNARD -CFTC Docket No. 79-1

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-Registration as an associated person of a futures
commission merchant revoked.

BAXTER INVESTMENTS, INC. -CFTC Docket No. 90-2

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NFA-ID No. 0205337

-Prohibited from trading on or subject to the rules of any
contract market.

-Registration as a futures commission merchant, commodity
trading advisor and a commodity pool operator revoked.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

BAY HARBOR TRADING COMPANY -CFTC Docket No. SD 02-03

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NFA-ID No. 0307332

-Registration with the Commission as an introducing broker
is revoked.

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

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NFA-ID No. 0277301

*-Shall not act as a commodity pool operator or a commodity
trading adviser, or engage in any activity requiring
registration, or exemption from registration, as a commodity
pool operator or a commodity trading adviser, for such
period of time following the conclusion of the suspension of
its registrations until the entry of a final order fully
disposing of all matters in Securities and Exchange
Commission v. Beacon Hill Asset Management, Case No.
02cv8855 (S.D.N.Y. filed Nov. 7, 2002).

BEARE, BRUCE R. -CFTC Docket No. 91-5
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NFA-ID No. 0017712
CFTC-ID No. 0071944

-Registrations with the Commission are revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

BEARE, DAVID C. -CFTC Docket No. 91-5
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NFA-ID No. 0020098
CFTC-ID No. 0071950

-Registration with the Commission as an associated person
revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

BECK, LAWRENCE A. -CFTC Docket No. 90-14
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NFA-ID No. 0193700

-Registration as a floor broker is revoked.

BELL, CRAIG H. -CFTC Docket No. 90-29
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NFA-ID No. 0069690
CFTC-ID No. 0075156

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Registration as a floor broker is revoked.

BELL, PAUL RICHARD -CFTC Docket No. 89-4
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NFA-ID No. 0022445

-Registration with the Commission as an associated person is
permanently revoked.

BELL, STANLEY B. & CO., INC -CFTC Docket No. 90-29
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-Comply with undertaking not to apply for registration with
the Commission in any capacity.

BELLO, ANDREW, JR. -CFTC Docket No. 91-22

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NFA-ID No. 0213225

-Registration as an associated person of a futures
commission merchant revoked.

-Comply with undertakings never to seek registration with
the Commission in any capacity and never to engage in any
activity that would require such registration.

BENGSON, TIMOTHY MICHAEL -CFTC Docket No. 00-21

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NFA-ID No. 0244274

-Permanently prohibited from trading on any contract market,
and all contract markets shall refuse him trading
privileges.

-Shall liquidate all futures and options positions held by
him or on his behalf, or in which he has beneficial
interest, before the commencement of the denial of his
trading privileges.

-Shall never apply for registration or seek exemption from
registraion with the Commission in any capacity, and shall
never engage in any activity requiring registration or
exemption from registration, except as provided for in
Section 4.14(a)(9) of the Commission's Regulations, 17
C.F.R. Section 4.14(a)(9), or act as a principal, agent,
officer or employee of any person registered, required to be
registered, or exempted from registration, unless such
exemption is pursuant to Section 4.14(a)(9) of the
Commission's Regulations, 17 C.F.R. Section 4.14(a)(9).

-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.

-Shall not directly or indirectly act in any supervisory
capacity over anyone registered or required to be registered
with the Commission.

BENJAMIN, MAURICE -CFTC Docket No. 82-23

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-Prohibited from trading on or subject to the rules of any
contract market.

BENNETT, RICHARD -CFTC Docket No. 78-48

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-Registration as an associated person of a futures
commission merchant revoked.

BENTLEY, DAVID L. -CFTC Docket No. 82-6
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a/k/a DAVID L. SMITH

-Registrations as an associated person, a commodity pool operator and a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets are ordered to refuse trading privileges.

BERGAMO, GARY RALPH -CFTC Docket No. 92-19
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NFA-ID No. 0032107

-Registration with the Commission as a floor broker is revoked.

BERGSTROM, CHARLES W. -CFTC Docket No. 91-15
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NFA-ID No. 0015444

-Registration as a floor broker revoked.

-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.

-Application for floor trader registration is denied.

BERGSTROM, CHARLES W. -CFTC Docket No. SD 93-15
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NFA-ID No. 0015444

-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.

-Application for floor trader registration is denied.

BERMAN, HAROLD -CFTC Docket No. 76-20
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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

BILLFUND, INC. -CFTC Docket No. 00-25

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NFA-ID No. 0215737

-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.

-Shall liquidate all futures and options held by Billfund, Inc. or on its behalf, or in which Billfund, Inc. has any beneficial interest, before commencement of the denial of its trading privileges.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission.

-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.

-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

BILLINGS, WILLIAM G. -CFTC Docket No. 00-25

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NFA-ID No. 0215739

-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall liquidate all futures and options held by him or on his behalf, or in which he has any beneficial interest, before commencement of the denial of his trading privileges.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission.

-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.

BILLINGS, WILLIAM G. -CFTC Docket No. 00-25 (continued)
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-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

BLESS, JACK -CFTC Docket No. 79-17
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-Application for registration as an associated person of a futures commission merchant denied.

BLITZ, DENNIS -CFTC Docket No. 00-34
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-Shall immediately comply with the undertaking that, while acting as an officer, director and/or principal of CTS, Blitz shall implement procedures reasonably designed to ensure that CTS complies with each of its undertakings set forth in the Commission's Order dated July 5, 2001.

BLOCH, HARVEY M. -CFTC Docket No. 83-18
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NFA-ID No. 0085474
CFTC-ID No. 0088723

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Never to trade any commodity interest account for any organization or for any person other than himself.

-Never to perform work for or receive any form of compensation from, either directly or indirectly, any Commission registrant in connection with its business as a Commission registrant.

BLUMENREICH, WILLIAM D. -CFTC Docket No. 89-28
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NFA-ID No. 0037690
CFTC-ID No. 0089850

-Comply with undertakings never to seek registration with the Commission in any capacity and never to act in the capacity of any classification of registrant under the Act, whether such action requires registration or not.

BLUMEYER-LECKAR, NANCY J. -CFTC Docket No. 83-1
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-Prohibited from trading on or subject to the rules of any contract market.

BOLT, JAMES W. -CFTC Docket No. 88-12
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-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

BOROSAK, DAVID G. -CFTC Docket No. 89-9
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NFA-ID No. 0083195
CFTC-ID No. 0094508

-Registration as an associated person of a futures commission merchant and an introducing broker are revoked.

-Prohibited from trading on or subject to the rules of any contract market.

BOSTON TRADING ADVISORS, LLC -CFTC Docket No. 04-03
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NFA-ID No. 0334829

*-Shall comply with the undertaking not to engage in any activity which requires registration with the Commission as a CPO, including receiving customer funds for the purpose of pooling the funds to trade in commodity futures contracts for the benefit of the pool participants until Boston complies with the conditions set forth in the Commission's Order dated October 27, 2003.

BRADSHAW, JAMES WILLIAM -CFTC Docket No. 98-6
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a/k/a NEURAL-TECH CAPITAL MANAGEMENT

NFA-ID No. 0264160

-Registration with the Commission as a commodity trading advisor is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse him all trading privileges.

BRANCH, DAVID C. -CFTC Docket No. 94-5
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NFA-ID No. 0215385

-Registration as an associated person is revoked.

BRANCH, DAVID C. -CFTC Docket No. 94-5 (continued)
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-Prohibited from trading on or subject to the rules of any designated contract market, and all contract markets shall refuse him trading privileges.

-Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

-Comply with undertaking never to be an officer, director, principal, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

BRANDVOLD, LLOYD T. -CFTC Docket No. 76-12
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-Registration as an associated person of a futures commission merchant denied.

-Registration as a commodity trading advisor revoked.

BRANIFF, THOMAS M. -CFTC Docket No. 89-12
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NFA-ID No. 0009058

-Registration as floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

BRENNER, STEVEN C. -CFTC Docket No. 00-08
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NFA-ID No. 0021614

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

BRINKS, HANS J. -CFTC Docket No. 94-14
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-Permanently prohibited from trading on or subject to the rules of any contract market.

BRITISH AMERICAN COMMODITY OPTIONS CORPORATION
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-CFTC Docket No. 77-3

-Applications for registration as a commodity trading advisor and a futures commission merchant denied.

CACERES, RICARDO FALLA -CFTC Docket No. 79-34
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

CALLAHAN, DONALD E. -CFTC Docket No. 90-3
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NFA-ID No. 0080420
CFTC-ID No. 0882264

-Registration with the Commission as a floor broker is hereby revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

CAMPBELL, J.S. & CO. -CFTC Docket No. 88-24
oooooooooooooooooooo

NFA-ID No. 0090278
CFTC-ID No. 1006427

-Prohibited from trading on any contract market for a period of twenty(20) years, through January 2, 2010.

CAMPBELL, JAMES S. -CFTC Docket No. 88-24
oooooooooooooooooooo

NFA-ID No. 0092582
CFTC-ID No. 1006433

-Prohibited for life from seeking registration with the Commission in any capacity.

-Prohibited from trading on any contract market for a period of twenty(20) years, through January 2, 2010.

CANTILLANO-ESTRADA, EDWIN DE JESUS -CFTC Docket No. 94-15
oooooooooooooooooooo

-Prohibited from trading directly or indirectly on or subject to the rules of any contract market for his own account or for the account of any persons, interest, or entity, and all contract markets are permanently required to refuse him trading privileges.

CAPITAL INSIGHT BROKERAGE, INC. -CFTC Docket No. SD 00-01
oooooooooooooooooooo

NFA-ID No. 0209548

-Registration with the Commission as an introducing broker is revoked.

CARRETTA, ROBERT F. -CFTC Docket No. 78-56
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

CARTER, JOHN W. -CFTC Docket No. 79-13
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

CARVER, RICHARD L. -CFTC Docket No. 84-38
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from soliciting or accepting money, securities
or property in connection with the purchase or sale of
illegal commodity options.

CASEY, PETER W. -CFTC Docket No. 90-24
oooooooooooooooooooo

NFA-ID No. 0052623 ; 0219945

-Prohibited from trading on or subject to the rules of any
contract market.

-Registration as a commodity trading advisor revoked.

CASTELLANO, ANTHONY M. -CFTC Docket No. SD 88-1
oooooooooooooooooooo

NFA-ID No. 0012692
CFTC-ID No. 0129426

-Registration as a floor broker revoked.

CASTELLANO, ANTHONY M. -CFTC Docket No. SD 94-11
oooooooooooooooooooo

NFA-ID No. 0012692

-Applications for registration as a floor broker or floor
trader are denied.

CATALFO, ANTHONY P. -CFTC Docket No. 94-10
oooooooooooooooooooo

-Prohibited from trading for his own account or for any
account in which he has a direct or indirect interest on any
contract market.

CATIZONE, RICHARD M. -CFTC Docket No. 82-18
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

CAYMAN ASSOCIATES, LTD. -CFTC Docket No. 79-16
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

CCFI, INC., A CALIFORNIA CORPORATION -CFTC Docket No. SD 96-2
oooooooooooooooooooo

a/k/a CALIFORNIA COMMODITY FUTURES INT'L

NFA-ID No. 0245019

-Registrations with the Commission as a commodity pool
operator and a commodity trading advisor are revoked.

CEF & COMPANY, INC. -CFTC Docket No. 91-7
oooooooooooooooooooo

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

CERCONE, LOUIS -CFTC Docket No. 79-43
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

CHAN, KING KEUNG -CFTC Docket No. 98-1
oooooooooooooooooooo

a/k/a EDDY CHAN, KING CHAN

-Permanently prohibited from trading on or subject to the
rules of any contract market.

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

NFA-ID No. 0043876

*-Prohibited from acting as a dual trader on or subject to
the rules of any registered entity for a period of twelve
(12) months through June 30, 2004.

*-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 June 30, 2005.

CHANDLER, HENRY F. -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 twenty-four (24) months through June 30, 2005.

CHAPMAN, CHRISTOPHER -CFTC Docket No. 03-08
oooooooooooooooooooo
NFA-ID No. 0330014

- *-Permanently 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, and all registered entities shall refuse him privileges.
- *-Shall never apply for registration or seek exemption from registration with the Commission in any capacity and shall never engage in activity requiring registration or exemption from registration with the Commission.

CHARLES-SCOTT AND COMPANY -CFTC Docket No. 81-18
oooooooooooooooooooo

- Registration as a commodity pool operator revoked (along with any other registrations it may hold).

CHARRIER, MICHAEL -CFTC Docket No. 83-19
oooooooooooooooooooo

- Prohibited from trading on or subject to the rules of any contract market.

CHESROW, EUGENE J., JR. -CFTC Docket No. 96-4
oooooooooooooooooooo

NFA-ID No. 0037275

- *-Shall be prohibited from trading on the floor of any exchange 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 floor trading privileges thereon; provided, however, he shall be permitted to trade off the floor, including electronically, of any contract market for his own account, including as a member, if duly admitted for a period of two (2) years through May 18, 2005.

CHESROW, EUGENE J., JR. -CFTC Docket No. 96-4 (continued)
oooooooooooooooooooooooooooo

- *-Shall not apply for registration or seek exemption from registration with the Commission in any capacity, and shall not engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9) for a period of two (2) years through April 28, 2005.

CHEUNG, JASON -CFTC Docket No. 92-9
oooooooooooooooooooo

- Prohibited from trading on or subject to the rules of any designated contract market.

CHICAGO DISCOUNT COMMODITY BROKERS, INC. -CFTC Docket No. 83-3
oo

- Lapsed registration as a futures commission merchant revoked.
- Shall comply with its undertaking never to re-apply for registration with the Commission in any capacity.
- Prohibited from trading for its own account or for any account in which it has a direct or indirect interest on any contract market.

CHICAGO DISCOUNT COMMODITY BROKERS, INC. -CFTC Docket No. 83-4
oo

- Lapsed registration as a futures commission merchant revoked.
- Shall comply with its undertaking never to re-apply for registration with the Commission in any capacity.
- Prohibited from trading for its own account or for any account in which it has a direct or indirect interest on any contract market.

CHILMARK COMMODITIES CORPORATION -CFTC Docket No. 88-25
oo

- Registration as an introducing broker revoked.
- Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

CHIRICOTTI, PHILLIP G. -CFTC Docket No. 92-14
oooooooooooooooooooo

NFA-ID No. 0191366

-Registration as a commodity trading advisor is revoked.

CHU, DAVID W.T. -CFTC Docket No. 92-9
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NFA-ID No. 0042805

CFTC-ID No. 0818128

-Prohibited from trading on or subject to the rules of any
designated contract market.

CHULIK, MARK E. -CFTC Docket No. SD 00-02
oooooooooooooooooooo

NFA-ID No. 0228838

-Registration with the Commission as a commodity trading
advisor is revoked.

CITADEL TRADING CO. OF CHICAGO, LTD. -CFTC Docket No. 77-8
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

CITADEL TRADING CO., LTD. -CFTC Docket No. 77-8
oooooooooooooooooooo

-Registration as a futures commission merchant and as a
commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

CLANCY, JAMES KENDALL -CFTC Docket No. 78-3
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

CLANCY, PAUL -CFTC Docket No. 87-14
oooooooooooo

-Registration as an associated person is revoked.

CLARK, MICHAEL J. -CFTC Docket No. SD 93-2
oooooooooooooooooooo

NFA-ID No. 0194029

-Registration with the Commission as a floor broker is
revoked.

CLEARY TRADING COMPANY, INC. -CFTC Docket No. 79-8
oooooooooooooooooooooooooooo

-Consents to entry of an order of the Commission which would require Cleary to comply with its undertakings not to engage in the business of or act in the capacity of a futures commission merchant, commodity trading advisor or commodity pool operator during the remainder of its current registrations.

-Never again to seek registration with the commission or engage in the business or act in the capacity of a futures commission merchant, commodity pool operator or commodity trading advisor.

CLEARY, JOHN THOMAS -CFTC Docket No. 81-8
oooooooooooooooooooooooooooo

-Application for registration as an associated person of a futures commission merchant denied.

CLOCKWORK TRADING CORPORATION -CFTC Docket No. SD 95-22
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NFA-ID No. 0259646

-Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked and Clockwork is statutorily disqualified from registration in any capacity.

CLOTHIER, DANIEL G. -CFTC Docket No. 93-27
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NFA-ID No. 0071481

-Registration with the Commission as an associated person is revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Comply with undertaking not to act in any capacity as a futures commission merchant, introducing broker, floor broker, floor trader, commodity trading advisor, commodity pool operator, leverage transaction merchant, associated person of any registrant under this Act, or affiliated person or agent of any of the foregoing, or to otherwise act in any capacity which causes or requires him to accept or hold customer funds.

CMB CAPITAL MANAGEMENT CORP. -CFTC Docket No. 98-10
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NFA-ID No. 0209388

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse all trading privileges.

CMB CAPITAL MANAGEMENT CORP. -CFTC Docket No. 98-10 (continued)
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-Registration with the Commission as a guaranteed
introducing broker is revoked.

COCHRAN, PAUL -CFTC Docket No. 02-01
oooooooooooo

-Permanently prohibited from trading for himself or others
on or subject to the rules of any registered entity, and
directs all registered entities to refuse all privileges.

-Shall never apply for registration or seek exemption from
registration with the Commission in any capacity, except as
provided for in Section 4.14(a)(9) of the Regulations, 17
C.F.R. Section 4.14(a)(9)(2001), and shall never engage in
any activity requiring registration or exemption from
registration, except as provided for in Section 4.14(a)(9)
of the Regulations, or act as a principal, agent or officer
of any person registered, exempted from registration or
required to be registered with the Commission, except as
provided for in Section 4.14(a)(9) of the Regulations.

COEN, M.J. -CFTC Docket No. 78-37
oooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

COFFEY, MICHAEL A. -CFTC Docket No. 86-6
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NFA-ID No. 0040470
CFTC-ID No. 0144149

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

COHEN, RICHARD ALAN -CFTC Docket No. 01-09
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NFA-ID No. 0240281

-Shall never apply for registration or claim exemption from
registration with the Commission in any capacity, and shall
never engage in any activity requiring registration or
exemption from registration, except as provided for in
Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R.
Section 4.14(a)(9).

-Shall not act as a principal, employee, agent or officer of
any person registered, exempted from registration or
required to be registered with the Commission, unless such
exemption is pursuant to Section 4.14 (a)(9) of the
Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

COHEN, RICHARD ALAN -CFTC Docket No. 01-09 (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.

-Shall not directly or indirectly act in any supervisory
capacity over anyone registered or required to be registered
with the Commission.

-Registration with the Commission as an associated person is
revoked.

-Prohibited from trading on or subject to the rules of any
registered entity, and all registered entities shall refuse
him all privileges.

COHEN, SEYMOUR -CFTC Docket No. 78-2
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-Application for registration as an associated person of a
futures commission merchant denied.

COHN, STUART -CFTC Docket No. 81-16
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

COLICCHIA, PETER D. -CFTC Docket No. SD 95-24
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NFA-ID No. 0093341

-Comply with undertaking to withdraw his application for
registration as a floor broker.

COLLINS COMMODITY BROKERAGE COMPANY, INC. -CFTC Docket No. 93-27
oo

NFA-ID No. 0176066

-Registrations with the Commission as an introducing broker
and as a commodity pool operator are revoked.

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Comply with undertaking not to act in any capacity as a
futures commission merchant, introducing broker, floor
broker, floor trader, commodity trading advisor, commodity
pool operator, leverage transaction merchant, associated
person of any registrant under the Act, or affiliated person
or agent of any person registered or required to be
registered under the Act, or to otherwise act in any
capacity which causes or requires it to accept or hold
customer funds.

COLLINS, HAROLD W. -CFTC Docket No. 77-15
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-Prohibited from trading on or subject to the rules of any contract market.

COLORADO COMPUTER SERVICE -CFTC Docket No. 84-48
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-Comply with undertaking not to seek registration with the Commission in any capacity.

COLORADO INDUSTRIAL BANK CORPORATION -CFTC Docket No. 84-48
oooooooooooooooooooo

-Comply with undertaking not to seek registration with the Commission in any capacity.

COM-TECH SYSTEM, LTD. -CFTC Docket No. 88-12
oooooooooooooooooooo

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

COMENZO, THOMAS A. -CFTC Docket No. SD 86-4
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-Registration as floor broker revoked.

COMMODITIES INTERNATIONAL CORPORATION -CFTC Docket No. 83-43
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NFA-ID No. 0001121

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

COMMODITIES INTERNATIONAL HOLDING CORP. -CFTC Docket No. 83-43
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-Application for registration with the Commission is denied.

COMMODITY SERVICES, INC. -CFTC Docket No. 80-15
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-Registration as a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

COMMODITY SPECIALIST CORP. -CFTC Docket No. 82-14
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-Applications for registration as a commodity pool operator and commodity trading advisor denied.

COMPUTREND, LTD. -CFTC Docket No. 78-42
oooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity pool operator revoked.

CONNOLLY, DAVID C. -CFTC Docket No. 86-6
oooooooooooooooooooo

NFA-ID No. 0052612

-Registration as an associated person revoked.

CONTICOMMODITY SERVICES, INC. -CFTC Docket No. 85-12
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-Shall not seek registration as a futures commission merchant or in any other capacity with the Commission.

-Shall not resume active business as a futures commission merchant, resume any business that would require its registration as a futures commission merchant, or otherwise under the Commodity Exchange Act, as amended, of the Commission Regulations.

CONTICOMMODITY SERVICES, INC. -CFTC Docket No. 86-36
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-Shall not seek registration as a futures commission merchant or in any other capacity with the Commission.

-Shall not resume active business as a futures commission merchant, resume any business that would require its registration as a futures commission merchant, or otherwise under the Commodity Exchange Act, as amended, of the Commission Regulations.

COTE, LARRY -CFTC Docket No. 83-4
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-Lapsed registration as a floor broker revoked.

COX, EDWARD A., III. -CFTC Docket No. 91-14
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NFA-ID No. 0090660

-Permanently 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.

-Registration with the Commission as a floor broker is revoked.

COX, STEPHEN CHARLES -CFTC Docket No. 03-04

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NFA-ID No. 0269779

-Shall not misrepresent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading method, system or advisory service.

-Shall not misrepresent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading method, system or advisory service.

CRAIG, JAMES P. -CFTC Docket No. 82-26

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-Prohibited from trading on or subject to the rules of any contract market.

CRILLY, RICHARD J. -CFTC Docket No. 86-30

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-Comply with his undertakings never to apply for, or to act in any capacity requiring registration with the Commission.

CROTHERS, WILLIAM R. -CFTC Docket No. 87-19

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NFA-ID No. 0047408

-Registration as an associated person revoked.

CROUCH, THOMAS A. -CFTC Docket No. 93-10

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NFA-ID No. 0038787

-Registration with the Commission as a floor broker is revoked.

CROWN COLONY COMMODITY OPTIONS, LTD. -CFTC Docket No. 79-1

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-Registration as a futures commission merchant and as a commodity trading advisor revoked.

CSA INVESTOR SERVICES, INC. -CFTC Docket No. 98-4

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NFA-ID No. 0226672

-Registration with the Commission as an introducing broker is revoked.

CTS FINANCIAL PUBLISHING INC. -CFTC Docket No. 00-34
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a/k/a FORMERLY COMMODITY TREND SERVICE, INC.

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including itself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

CULL, FRANK A. -CFTC Docket No. 91-7
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NFA-ID No. 0195564

-Registration as a floor broker revoked.

CUNNINGHAM, JOSEPH M. -CFTC Docket No. 94-7
oooooooooooooooooooo

NFA-ID No. 0200622

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

CUNNINGHAM, KEITH H. -CFTC Docket No. 97-14
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NFA-ID No. 0190787

-Shall not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission for a period of seven (7) years through August 12, 2004.

CURRENCY TRADING SYSTEMS -CFTC Docket No. 00-06
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-Shall not apply for registration or seek exemption from registration with the Commission in any capacity and engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9)(2001), or act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R Section 4.14(a)(9) (2001).

CUSTER, RUSSELL H. -CFTC Docket No. 92-27
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a/k/a HARLAN CUSTER ENTERPRISES, INC.

NFA-ID No. 0225572

-Comply with undertaking never to seek registration with the Commission in any capacity required to accept or to hold funds from other individuals for the purpose, in whole or in part, of purchasing or selling commodity futures contracts or options on commodity futures contracts, or to act in any capacity that would so require registration with the Commission.

-Comply with undertaking never to act as a principal of a firm or entity registered with the Commission in any capacity required to accept or to hold funds from other individuals for the purpose, in whole or in part, or purchasing or selling commodity futues contracts or options on commodity futures contracts, or a firm or entity acting in a capacity that would so require registration with the Commission.

CYBULSKI, GLENN -CFTC Docket No. 00-06
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-Shall not apply for registration or seek exemption from registration with the Commission in any capacity and engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9)(2001), or act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

DALEY, MORGAN J. CORPORATION -CFTC Docket No. 85-15
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

DALLAS BROKERAGE COMPANY, INC. -CFTC Docket No. 79-9
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-Registration as a futures commission merchant denied.

DALLAS BROKERAGE COMPANY, INC. -CFTC Docket No. 78-46
oooooooooooooooooooo

-Registration as a futures commission merchant denied.

DAMASO, DONALD P. -CFTC Docket No. 92-12
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NFA-ID No. 0188474

-Registration with the Commission as an associated person
revoked.

DANIELS, RICHARD -CFTC Docket No. 86-6
oooooooooooooooooooo

NFA-ID No. 0019800

-Registration as an associated person revoked.

DAVIS, HARRY L. -CFTC Docket No. 92-17
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NFA-ID No. 0049993

CFTC-ID No. 0171441

-Comply with undertaking never to apply for registration
with the Commission in any capacity and never to be a
principal of any registrant.

DECKELBAUM, MITCHELL -CFTC Docket No. 87-3
oooooooooooooooooooo

-Comply with undertaking not to seek registration with the
Commission or the National Futures Association in any
capacity.

-Prohibited from trading on or subject to the rules of any
contract market.

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

*-Prohibited from executing trades for customers on or
subject to the rules of any registered entity for a period
of five (5) years through January 29, 2008.

*-Shall not serve on any disciplinary committee, arbitration
panel, oversight panel or governing board of any
self-regulatory organization ("SRO") registered or subject
to regulation by the Commission for a period of twenty-four
(24) months through January 29, 2005.

*-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
for a period of twenty-four (24) months through January 29,
2005.

DEFRANCESCO, JOSEPH FRANK, JR. -CFTC Docket No. 02-09 (continued)
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*-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 January 29, 2005.

DEH FINANCIAL SERVICES, INC. -CFTC Docket No. 87-8
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-Comply with its undertaking never to re-apply for registration with the Commission in any capacity.

DELBRIDGE, DAVID S. -CFTC Docket No. 85-15
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-Registration as an associated person of a futures commission merchant revoked.

DEMHOFF CORPORATION -CFTC Docket No. 89-25
oooooooooooooooooooo

-Comply with undertaking never to apply for registration with the Commission in any capacity.

DEMPSEY, MARTIN J., JR. -CFTC Docket No. 91-13
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NFA-ID No. 0055554

-Prohibited directly or indirectly, from trading on or subject to the rules of any contract market, either for his own account or for the account of any other person, interest, or entity, and all contract markets are permanently required to refuse him any trading privileges.

DEMPSEY, RICHARD R. -CFTC Docket No. 89-25
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NFA-ID No. 0057993

-Registration as a floor broker revoked.

DEPRIZIO, DANIEL -CFTC Docket No. 79-42
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

DESALVO, NICHOLAS -CFTC Docket No. 92-19
oooooooooooooooooooo

NFA-ID No. 0063334

-Registration with the Commission as a floor broker is revoked

-Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through March 5, 2008.

DEWITTE, SCOTT ALLEN -CFTC Docket No. 00-35

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NFA-ID No. 0258642

-Permanently prohibited, directly or indirectly, from trading on or subject to the rules of any contract market, either for his own account or for the account of any persons, interest or equity, and all contract markets are permanently required to refuse his trading privileges.

DIAL, DONALD D. -CFTC Docket No. 80-19

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-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Pending applications for registration with the Commission be denied.

-Prohibited from trading on or subject to the rules of any contract market.

DIAL, SCOTT D. -CFTC Docket No. 81-3

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-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Any pending applications for registration with the Commission be denied.

DIAL, SCOTT D. -CFTC Docket No. 80-19

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-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Any pending applications for registration with the Commission be denied.

DICKSON, FREDERICK J. -CFTC Docket No. 84-5

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-Prohibited from trading on or subject to the rules of any contract market.

DICKSON, FREDERICK J. -CFTC Docket No. 83-62
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-Registration as floor broker revoked.

DICKSTEIN, MARK B. -CFTC Docket No. 90-29
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NFA-ID No. 0022101

-Registration with the Commission as a floor broker revoked.

DISPASQUALE, VINCENT A. -CFTC Docket No. 78-35
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-Registration as an associated person of a futures
commission merchant denied.

DIVERSIFIED MANAGEMENT SERVICES CORP. -CFTC Docket No. 90-16
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NFA-ID No. 0000275

CFTC-ID No. 0787345

-Prohibited from trading on or subject to the rules of any
contract market.

DIVERSIFIED TRADING SYSTEMS, INC. -CFTC Docket No. 94-5
oooooooooooooooooooo

NFA-ID No. 0219677

-Registration as an introducing broker is revoked.

-Prohibited from trading on or subject to the rules of any
designated contract market and all contract markets shall
refuse all trading privileges.

-Comply with undertaking never to seek registration with the
Commission in any capacity or act in any capacity which
requires registration with the Commission.

DOHERTY, JOHN FRANCIS -CFTC Docket No. 83-23
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NFA-ID No. 0007271

CFTC-ID No. 0187121

-Prohibited from trading on or subject to the rules of any
contract market.

DOLPHIN COMMODITIES, INC. -CFTC Docket No. 80-33
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

DOMBROSKI, WALTER -CFTC Docket No. 88-20
oooooooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

DONNEY SECURITIES, LTD. -CFTC Docket No. 79-42
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- Registration as a futures commission merchant and as a commodity trading advisor revoked.
- Prohibited from trading on or subject to the rules of any contract market.

DOYLE, JAMES J. -CFTC Docket No. 79-11
oooooooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.

DRURY & ASSOCIATES, INC. -CFTC Docket No. 88-2
oooooooooooooooooooo

- Comply with its undertaking never to reapply for registration with the Commission in any capacity.
- Prohibited from trading on or subject to the rules of any contract market.

DUNHILL FINANCIAL GROUP, INC. -CFTC Docket No. 99-7
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NFA-ID No. 0266146

- Registrations with the Commission as an introducing broker, commodity pool advisor and a commodity trading advisor are revoked.
- Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.
- Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

DUNHILL INVESTMENTS CORPORATION -CFTC Docket No. 90-25
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a/k/a OXFORD INVESTMENTS

NFA-ID No. 0212041

-Registration as an introducing broker hereby revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

DURKIN & ASSOCIATES, INC. -CFTC Docket No. 88-12
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-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

DURKIN, JOHN F. -CFTC Docket No. 88-12
oooooooooooooooooooo

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

DURKIN, JOHN F. & CO., INC. -CFTC Docket No. 82-43
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

DURKIN, TIMOTHY E., SR. -CFTC Docket No. 88-12
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-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

DUVERGLASS, LESLIE -CFTC Docket No. 77-18
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

E.D.P. COMMODITY, INC. -CFTC Docket No. 82-8
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-Prohibited from trading on or subject to the rules of any contract market until further notice of the Commission.

EAGAN & COMPANY, INC. -CFTC Docket No. 92-20
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NFA-ID No. 0086367

-Registration as an introducing broker revoked.

EAGAN, JAMES R. -CFTC Docket No. 92-20
oooooooooooooooooooo

NFA-ID No. 0052539

-Registration as an associated person revoked.

EBAUGH, CURTIS MITCHELL -CFTC Docket No. 03-16
oooooooooooooooooooo

NFA-ID No. 0276290

*-Shall not misrepresent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading method, method or advisory service.

*-Shall not misrepresent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading method, method or advisory service.

ECKLES, OLIVER B. -CFTC Docket No. 93-22
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NFA-ID No. 0084772

-Comply with undertaking not to apply for registration with the Commission in any capacity, and not to act in any capacity as a CPO, or as an agent of any person registered or required to be registered as a CPO, or to otherwise accept or hold customer funds.

ECONOMIC MANAGEMENT, INC. -CFTC Docket No. 87-20
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-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity at any time in the future.

EDCO MANAGEMENT CORPORATION -CFTC Docket No. 89-4
oooooooooooooooooooo

NFA-ID No. 0185536

-Registration with the Commission as an introducing broker is revoked.

EDWARD MARTIN D/B/A BLACK GOLD INTERNATIONAL
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-CFTC Docket No. 00-30

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

EFFRON, CRAIG W. -CFTC Docket No. 93-2
oooooooooooooooooooo

NFA-ID No. 0043988

-Registration with the Commission as a floor trader is revoked.

EGAN, THOMAS M. -CFTC Docket No. 93-18
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NFA-ID No. 0019491

-Comply with undertaking not to apply for registration with the Commission in any capacity at any time.

-Comply with undertaking not to act in any capacity as an associated person, futures commission merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or as a principal of any person registered or required to be registered under the Act, or as an agent or employee of any person registered or required to be registered under the Act engaging in any activity within the Commission's jurisdiction, at any time.

-Comply with undertaking not to make or place orders for trades on any contract market, except for placing orders with duly registered persons for his own and his wife's accounts, at any time.

EGGUM, JOHN N. -CFTC Docket No. 89-13
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NFA-ID No. 0018086

-Registration with the Commission as a floor broker is hereby revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

EINSTEIN-CISVEST, INC. -CFTC Docket No. 94-9

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a/k/a EINSTEIN FUTURES GROUP

NFA-ID No. 0194816

-Registration with the Commission as a commodity trading advisor is revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

EISENBERG, MURRAY -CFTC Docket No. 80-23

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a/k/a COMMODITY INVESTMENTS COUNSELORS

-Registrations of Murray Eisenberg as an associated person of a futures commission merchant, commodity pool operator and commodity trading advisor revoked.

-Registrations of Murray Eisenberg d/b/a Commodity Investment Counselors as a commodity pool operator and commodity trading advisor revoked.

EMANUEL CAPITAL ADMINISTRATORS -CFTC Docket No. 87-1

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-Comply with undertaking not to apply for registration with the Commission in any capacity.

ENGEL, CHRISTOPHER E. -CFTC Docket No. 93-5

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NFA-ID No. 0074751

-Registration with the Commission shall be revoked.

ERICKSON, GAYE L. -CFTC Docket No. 84-41

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-Prohibited from trading on or subject to the rules of any contract market.

EXCELLENT USA, INC. -CFTC Docket No. SD 01-01

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NFA-ID No. 0230482

-Registration with the Commission as a futures commission merchant is revoked.

FAHR, GEORGE P. -CFTC Docket No. 82-31
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-Registration as an associated person of a futures
commission merchant revoked.

FAIRCHILD, ARABATZIS & SMITH, INC. -CFTC Docket No. 78-52
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-Registrations as a futures commission merchant, commodity
trading advisor and commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

FALKOWITZ, MICHAEL JACOBS -CFTC Docket No. 81-19
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-Application for registration as an associated person of a
futures commission merchant denied.

FARLEY, KATHLEEN A. -CFTC Docket No. 91-3
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NFA-ID No. 0080101

-Registration with the Commission as a floor broker revoked.

FARRELL, THOMAS J. -CFTC Docket No. 92-22
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NFA-ID No. 0046692

-Registration with the Commission as a floor broker is
revoked.

-Comply with undertaking never to reapply for registration
with the Commission as a floor broker.

FASON, STEWART E. -CFTC Docket No. 77-8
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-Registration as an associated person of a futures
commission merchant and a commodity trading advisor revoked.

FEDERAL GOLD & SILVER, INC. -CFTC Docket No. 80-36
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-Registration as a futures commission merchant and as a
commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

FEDERBUSH, CHARLES E. -CFTC Docket No. 91-7
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NFA-ID No. 0213380 ; 0053351

-Comply with undertaking never to seek registration with the
Commission in any capacity.

FEDERBUSH, CHARLES E. -CFTC Docket No. 91-7 (continued)
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-Registration as a commodity trading advisor revoked.

-Registration as a floor broker revoked.

FEINTUCH, STEVEN -CFTC Docket No. 78-36
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-Registration as an associated person of a futures
commission merchant denied.

FELSEN, MURRAY P. -CFTC Docket No. 89-23
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NFA-ID No. 0191589

-Registration as a person associated person with an
introducing broker revoked.

-Shall comply with the undertaking never to seek
registration with the Commission in any capacity.

FERRAGAMO, RONALD -CFTC Docket No. 86-32
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NFA-ID No. 0020412

CFTC-ID No. 0218376

-Registration with the Commission as an associated person
revoked.

FERRARA, LOUIS -CFTC Docket No. 76-20
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-Registration as a floor broker revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

FETCHENHIER, JOEL JEAN -CFTC Docket No. 91-12 & SD 93-14
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NFA-ID No. 0224597

-Application for registration with the Commission as a floor
trader is denied.

-Prohibited from trading directly or indirectly on or
subject to the rules of any contract market either for his
own account or for any account of any other person, interest
or entity and all contract markets shall refuse him trading
privileges for a period of ten (10) years through November
30, 2007.

FEUILLEBOIS, ROBERT F. -CFTC Docket No. 78-52

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-Application for registration as an associated person of a futures commission merchant denied.

FIELD, JOHN A., IV. -CFTC Docket No. SD 95-22

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NFA-ID No. 0234902

-Registration with the Commission as an associated person is revoked and Field is statutorily disqualified from registration in any capacity.

FIENGA, JOSEPH -CFTC Docket No. 82-4

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-Prohibited from trading on or subject to the rules of any contract market.

FINANCIAL ALTERNATIVES, INC. -CFTC Docket No. 83-44

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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

FINANCIAL SERVICES GROUP, INC. -CFTC Docket No. 88-1

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-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Registration as an introducing broker revoked.

FIRST COMMERCIAL FINANCIAL GROUP, INC. -CFTC Docket No. 95-10

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NFA-ID No. 0197718

-Registration with the Commission as a futures commission merchant is revoked.

FIRST COMMODITY CORPORATION OF BOSTON -CFTC Docket No. 86-6

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NFA-ID No. 0002574

CFTC-ID No. 0012156

-Registration as a futures commission merchant revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

FIRST FINANCIAL TRADING, INC. -CFTC Docket No. 00-35
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NFA-ID No. 0289813

-Registration with the Commission as an introducing broker
is revoked.

-Permanently prohibited, directly or indirectly, from
trading on or subject to the rules of any contract market,
either for its own account or for the account of any person,
interest or equity, and all contract markets are permanently
required to refuse its trading privileges.

FIRST FUTURES GROUP, INC. -CFTC Docket No. SD 98-1
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NFA-ID No. 0254371

-Registrations with the Commission as an introducing broker
and a commodity pool operator are revoked.

FIRST MANHATAN COMMODITIES CORPORATION -CFTC Docket No. 84-42
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-Registration as a commodity trading advisor and a commodity
pool operator revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

FIRST NATIONAL TRADING CORPORATION -CFTC Docket No. 90-28
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NFA-ID No. 0000604

-Registration with the Commission as a futures commission
merchant revoked.

FIRST NATIONAL TRADING CORPORATION -CFTC Docket No. 92-17
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NFA-ID No. 0000604

-Registration with the Commission as a futures commission
merchant revoked.

FIRST PULLEN COMMODITY SERVICES, INC. -CFTC Docket No. 89-20
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-Registration as an introducing broker revoked.

FIRST REPUBLIC FINANCIAL CORPORATION -CFTC Docket No. 94-14
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NFA-ID No. 0224593

-Permanently prohibited from trading on or subject to the
rules of any contract market

FIRST REPUBLIC TRADING CORP. -CFTC Docket No. 94-14
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NFA-ID No. 0205392

-Permanently prohibited from trading on or subject to the rules of any contract market.

-Registration with the Commission as an introducing broker is revoked.

FISCHER, ALEXANDER -CFTC Docket No. 78-20
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-Application for registration as an associated person of a futures commission merchant denied.

FISCHER, HAIG -CFTC Docket No. 86-6
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NFA-ID No. 0062589

-Registration as an associated person revoked.

FISHBACK BROKERAGE SERVICES, INC. -CFTC Docket No. 01-03
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NFA-ID No. 0291631

-Shall initiate the withdrawal of registration as an introducing broker with the Commission.

FISHBACK, DONALD M., COMPANY, INC., THE -CFTC Docket No. 01-03
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NFA-ID No. 0287198

-Shall not apply for registration or seek exemption from registration with the Commission in any capacity for a period of five (5) years through July 5, 2006.

-Shall not engage in any activity requiring registration or exemption from registration, except as provided for in Commission Regulation 4.14(a)(9), 17 C.F.R. Section 4.14(a)(9), for a period of five (5) years through July 5, 2006.

-Shall not act directly or indirectly, as a principal, officer, director, agent or employee of any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9) for a period of five (5) years through July 5, 2006.

FISHBACK, DONALD M., COMPANY, INC., THE
oo

-CFTC Docket No. 01-03 (continued)

-Shall not act directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9) for a period of five (5) years through July 5, 2006.

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including themselves, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

-Shall initiate the withdrawal of registration as a commodity trading advisor with the Commission.

FISHBACK, DONALD MCNUTT, JR. -CFTC Docket No. 01-03
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NFA-ID No. 0188941

-Shall not apply for registration or seek exemption from registration or seek exemption from registration with the Commission in any capacity for a period of five (5) years through July 5, 2006.

-Shall not engage in any activity requiring registration or exemption from registration, except as provided for in Commission Regulation 4.14(a)(9), 17 C.F.R. Section 4.14(a)(9) for a period of five (5) years through July 5, 2006.

-Shall not act, directly or indirectly, as a principal, officer, director, agent or employee of any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9) for a period of five (5) years through July 5, 2006.

-Shall not act, directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9) for a period of five (5) years through July 5, 2006.

FISHBACK, DONALD MCNUTT, JR. -CFTC Docket No. 01-03 (continued)
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-Shall not misrepresent or represent, expressly or by implication, the performance, profits or results achieved by, or the results that can be achieved by, users, including themselves, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication, the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

-Shall initiate the withdrawal of registration as an associated person with the Commission.

FLAVELL, BERNADETTE THERESE -CFTC Docket No. 00-27
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a/k/a BERNADETTE VIELE

NFA-ID No. 0278162

-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse her all privileges thereon for a period of two (2) years through July 10, 2004.

-Registration with the Commission as a commodity trading advisor is revoked.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity and shall never engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

-Shall never act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

FLEYSHMAKHER, ISAAC -CFTC Docket No. 01-04
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-Permanently prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

FLEYSHPAKHER, ISAAC -CFTC Docket No. 01-04 (continued)
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-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, or act as a principal, agent or officer of any person registered, required to be registered, or exempted from registration; this includes but is not limited to, soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

FOGAL, RONALD R. -CFTC Docket No. 87-14
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-Comply with undertaking not to seek registration with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

FOX, GEORGE J., JR. -CFTC Docket No. 90-29
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NFA-ID No. 0203679

-Registration as a floor broker is revoked.

FOX, OWEN, JR. -CFTC Docket No. 78-58
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-Registration as an associated person of a futures commission merchant denied.

FRANKLAND COMMODITIES CORP. -CFTC Docket No. 78-45
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-Registration as a futures commission merchant revoked.

FRIEDMAN, DOUGLAS M. -CFTC Docket No. 90-14
oooooooooooooooooooo

NFA-ID No. 0194455

-Registration with the Commission as a floor broker revoked.

FRIEDMAN, HOWARD -CFTC Docket No. 80-15
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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

FRIEDMAN, RAY E. -CFTC Docket No. 90-21
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NFA-ID No. 0052706
CFTC-ID No. 0236279

-Registration as a floor broker is revoked.

FRIEDMAN, ROBERT I. -CFTC Docket No. 83-60
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-Registration as a floor broker revoked.

FRITH, ROBERT E., JR. -CFTC Docket No. 97-14
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NFA-ID No. 0190785

-Shall not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission for a period of seven (7) years through August 12, 2004.

FRITTS, JAMES GARY -CFTC Docket No. 94-12
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NFA-ID No. 0192051

-Prohibited from trading directly or indirectly on or subject to the rules of any contract market for his own account or for the account of any persons, interest, or entity, and all contract markets are permanently required to refuse him trading privileges.

FSI FUTURES, INC. -CFTC Docket No. 95-8
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NFA-ID No. 0002717

-Shall undertake to withdraw its registration as a futures commission merchant.

-Shall undertake not to apply for registration with the Commission in any capacity, other than as an introducing broker, never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

FSI FUTURES, INC. -CFTC Docket No. 95-9
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NFA-ID No. 0002717

-Shall undertake to withdraw its registration as a futures commission merchant.

FSI FUTURES, INC. -CFTC Docket No. 95-9 (continued)
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-Shall undertake not to apply for registration with the Commission in any capacity, other than as an introducing broker, never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

FUHRMAN, MARK E. -CFTC Docket No. 89-14
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NFA-ID No. 0017396

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

FURLETT, NORMAN K. -CFTC Docket No. 89-1
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-Registration as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GAIBER, SELWYN "SY" -CFTC Docket No. 99-8
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-Shall comply with undertaking never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

GALE, WILLIAM A. -CFTC Docket No. 94-16
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NFA-ID No. 0202192

-Comply with undertaking not to reapply for registration with the Commission in any capacity and never to engage in any activity requiring registration, or act as an agent or officer of any person registered with the Commission.

-Prohibited from trading on or subject to the rules of any contract market, and directs all contract markets to refuse him trading privileges.

GALGANO, THOMAS S. -CFTC Docket No. 85-23
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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GANDOLFO, JOHN PETER -CFTC Docket No. 93-2

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NFA-ID No. 0009781

-Registration with the Commission as a floor broker is
revoked.

GANGEMI, PAUL J. -CFTC Docket No. 97-14

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NFA-ID No. 0190786

-Shall not accept any position or duties which involve the
supervision of persons who trade for other persons, or
persons who solicit customers, or persons who offer advice,
in connection with commodity interest accounts, derivatives,
or other instruments regulated by the Commission for a
period of seven (7) years through August 12, 2004.

GARCIA, BERTHA B. -CFTC Docket No. 86-26

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-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading for her own account or for any
account in which she has an interest, direct or indirect, on
or subject to the rules of any contract market.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

GARFIELD SUN HING BULLION LTD. -CFTC Docket No. 92-9

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-Prohibited from trading on or subject to the rules of any
designated contract market.

-Comply with its undertaking never to seek registration with
the Commission in any capacity.

GATH, DANIEL MICHAEL. -CFTC Docket No. SD 94-12

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NFA-ID No. 0241975

-Application for full and unconditional registration as a
floor trader is denied.

GELBSTEIN, STEVEN JAY -CFTC Docket No. 92-21

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NFA-ID No. 0248523

-Prohibited from trading on or subject to the rules of any
contract market for a period of ten (10) years through
January 19, 2010.

GIARLETTA, PAUL A. -CFTC Docket No. 91-7

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NFA-ID No. 0021009

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Registration as floor broker revoked.

GIARRITANO, JOSEPH -CFTC Docket No. SD 86-3

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-Registration as floor broker revoked.

GILKERSON, HARVEY T. -CFTC Docket No. 01-12

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a/k/a BFW ENTERPRISES AND MAVERICK PARADOX ENTERPRISES

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, except as provided for in Section 4.14(a)(9) of the Regulations, 17 C.F.R. Section 4.14(a)(9) (2001), and shall never engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14 (a)(9) of the Regulations, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission, except as provided for in Section 4.14 (a)(9) of the Regulations; this includes, but is not limited to soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

GIMBEL, STUART N. -CFTC Docket No. 84-20

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NFA-ID No. 0030375

CFTC-ID No. 0253239

-Prohibited from trading on or subject to the rules of any contract market.

GLADSTONE, ALFRED A.L. -CFTC Docket No. 01-24

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NFA-ID No. 0190591

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

GLADSTONE, ALFRED A.L. -CFTC Docket No. 01-24 (continued)
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-Shall never act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

-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.

-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

GLASS, GARY -CFTC Docket No. 93-4
oooooooooooo

NFA-ID No. 0023525

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

GLASS, GARY -CFTC Docket No. 80-28 & 80-31
oooooooooooo

NFA-ID No. 0023525

-Registration as a floor broker is revoked.

GLOBAL CAPITAL INVESTMENT, LLC -CFTC Docket No. 02-07
oooooooooooooooooooo

-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of five (5) years through February 26, 2007.

-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of five (5) years through February 26, 2007.

-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission's Regulations for a period of five (5) years through February 26, 2007.

GLOBAL LINK MIAMI CORPORATION -CFTC Docket No. 98-1
oooooooooooooooooooooooooooo

-Permanently prohibited from trading on or subject to the rules of any contract market.

GLOVER, THOMAS, II. -CFTC Docket No. 00-35
oooooooooooooooooooooooooooo

-Permanently prohibited, directly or indirectly, from trading on or subject to the rules of any contract market, either for his own account or for the account of any persons, interest or equity, and all contract markets are permanently required to refuse him trading privileges.

GNAIZDA, DAVID -CFTC Docket No. 84-30
oooooooooooooooooooo

a/k/a GANN, DAVID

-Registration as an associated person of a futures commission merchant revoked.

GNP COMMODITIES, INC. -CFTC Docket No. 89-1
oooooooooooooooooooooooooooo

NFA-ID No. 0000074

-Registration as a futures commission merchant revoked.

GOBERSTEIN, HOWARD J. -CFTC Docket No. 90-17
oooooooooooooooooooooooooooo

NFA-ID No. 0194550

-Registration as a floor broker revoked.

-Comply with undertaking not to apply for registration with the Commission in any capacity.

GODRES, ROSS -CFTC Docket No. 99-13
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall liquidate all futures and options held by him or on his behalf, or in which he has any beneficial interest, before commencement of the denial of his trading privileges.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as an agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

GOLD, PHILLIP H. -CFTC Docket No. 84-33

oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

GOLD, PHILLIP H. -CFTC Docket No. 85-11

oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

GOLDMAN, SALLYE E. -CFTC Docket No. 80-15

oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

GOLEMBESKI, ROBERT W. -CFTC Docket No. 84-1

oooooooooooooooooooo

-Registration as a commodity trading advisor revoked.

GOLLIN, LAWRENCE -CFTC Docket No. 89-21

oooooooooooooooooooo

NFA-ID No. 0177595

-Prohibited from trading on or subject to the rules of any
contract market.

-Registration as an associated person of a futures
commission merchant revoked.

GOOSSEN, JERRY -CFTC Docket No. SD 86-1

oooooooooooooooooooo

a/k/a JEROME D. GOOSSEN

-Registration as a commodity trading advisor revoked.

GORDON, SIDNEY S. -CFTC Docket No. 78-51

oooooooooooooooooooo

-Application for registration as an associated person of a
futures commission merchant denied.

GORECKI, MICHAEL -CFTC Docket No. 78-61
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

GOREN, STEPHEN R. -CFTC Docket No. 78-4
oooooooooooooooooooo

-Application for registration as an associated person of a
futures commission merchant denied.

GOURLAY WOLFF FUTURES LTD. -CFTC Docket No. 92-1
oooooooooooooooooooo

-Exemption from registration issued pursuant to Part 30 of
the Commission's Regulations revoked.

GOURLAY WOLFF FUTURES LTD. (DUBLIN) -CFTC Docket No. 92-1
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

GRAMALEGUI, GREGORY L. -CFTC Docket No. 01-16
oooooooooooooooooooo

a/k/a S & P SAFE CO.

-Shall not misrepresent or represent, expressly or by
implication, the performance, profits or results achieved
by, or the results that can be achieved by, users, including
himself, of any commodity futures or options trading system
or advisory service.

-Shall not misrepresent or represent, expressly or by
implication, the risks associated with trading pursuant to
any commodity futures or options trading system or advisory
service.

GRAMER, GEORGE W. -CFTC Docket No. 84-36
oooooooooooooooooooo

-Registration as an associated person and a commodity
trading advisor revoked.

-Prohibited from soliciting or accepting money, securities
or property in connection with the purchase or sale of
illegal commodity options.

GRANDVIEW HOLDING CORPORATION -CFTC Docket No. 95-9
oooooooooooooooooooo

NFA-ID No. 0090133

-Registration with the Commission as an introducing broker
is revoked.

GRANDVIEW HOLDING CORPORATION -CFTC Docket No. 95-9 (continued)
oooooooooooooooooooooooooooo

-Shall undertake never to apply for registration with the Commission in any capacity, and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

GREAT AMERICAN COMMODITIES, INC. -CFTC Docket No. 88-30
oooooooooooooooooooooooooooo

NFA-ID No. 0190158

-Registration in any capacity revoked.

GREEN, DAVID -CFTC Docket No. 99-1
oooooooooooo

-Shall comply with the undertaking not to engage in trading commodities for future delivery or options thereon other than on behalf of himself, his spouse or his children.

GREENBERG, DAVID S. -CFTC Docket No. SD 88-3
oooooooooooooooooooo

-Registration as floor broker revoked.

GREENBERG, GARY -CFTC Docket No. 80-28 & 80-31
oooooooooooooooooooo

NFA-ID No. 0056344

-Registration as a floor broker is revoked.

GREENBERG, ROBERT -CFTC Docket No. 82-28
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

GREENSPON, IRA P. -CFTC Docket No. 89-1
oooooooooooooooooooo

-Registration as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

GROSSFELD, KENNETH R. -CFTC Docket No. 89-23
oooooooooooooooooooo

NFA-ID No. 0023030

-Registration with the Commission as an associated person is permanently revoked.

GROSSMAN, AARON T. -CFTC Docket No. 83-36
oooooooooooooooooooo

-Application for registration as an associated person of a
futures commission merchant denied.

GRUBERG, STEVEN MARK -CFTC Docket No. 79-50
oooooooooooooooooooo

-Application for registration as an associated person of a
futures commission merchant denied.

GUDINO, ROBERT M. -CFTC Docket No. 03-17
oooooooooooooooooooo

NFA-ID No. 0333445

*-Shall not misrepresent, expressly or by implication the
performance, profits or results achieved by, or the results
that can be achieved by, users, including himself, of any
commodity futures or options trading method, method or
advisory service.

*-Shall not misrepresent, expressly or by implication the
risks associated with trading pursuant to any commodity
futures or options trading method, method or advisory
service.

GUGLIARO, JOSEPH M. -CFTC Docket No. 02-13
oooooooooooooooooooo

NFA-ID No. 0028091

*-Prohibited from executing trades for customers on or
subject to the rules of any registered entity.

GUTSIN, SIDNEY -CFTC Docket No. 95-4
oooooooooooooooooooo

-Comply with undertaking never to seek registration with the
Commission in any capacity and never to engage in any
activity requiring registration, or act as an agent or
officer of any person registered or required to be
registered with the Commission.

GUTTMAN, ZOLTAN -CFTC Docket No. 93-4
oooooooooooooooooooo

NFA-ID No. 0194466

-Registration with the Commission as a floor broker is
revoked.

-Permanently prohibited from trading on or subject to the
rules of any contract market.

HABERBUSH, ARTHUR G. -CFTC Docket No. 78-10A

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-Prohibited from trading on or subject to the rules of any contract market.

HAGAN, LAMBERT J. -CFTC Docket No. SD 85-12

oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

HALL, PAUL -CFTC Docket No. 78-55

oooooooooooo

-Shall not seek registration with the Commission in any capacity.

HALPER, ROBERT S. -CFTC Docket No. 92-21

oooooooooooooooooooo

NFA-ID No. 0004342

-Registration as a floor broker revoked.

HAMLET, EDWARD TRUMP, JR. -CFTC Docket No. 94-14

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NFA-ID No. 0226085

-Comply with undertaking never to apply for registration in any capacity under the Act and never to engage in any activity requiring such registration.

HANEMAN, JACK W. -CFTC Docket No. 86-25

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-Registration as an associated person of a futures commission merchant revoked.

HANEMAN, WILLIAM F. -CFTC Docket No. 88-29

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NFA-ID No. 0071312

CFTC-ID No. 0283555

-Comply with undertaking never to seek registration with the Commission in any capacity, and not to engage in any activity which would require such registration.

-Prohibited from trading, directly or indirectly, on or subject to the rules of any contract market.

HARDWICK & WELLS COMMODITIES, INC. -CFTC Docket No. 83-19

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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HARDWICK, WELLS & WINTHROP, INC. -CFTC Docket No. 83-19
oooooooooooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HARELIK, BRIAN H. -CFTC Docket No. 80-15
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HARLEY, STANLEY C. -CFTC Docket No. 00-20
oooooooooooooooooooo

-Shall comply with the undertaking not to engage in any activity which requires registration with the Commission as a commodity trading advisor, including directing any current or prospective client's commodity interest account or guiding any current or prospective client's commodity interest trading subject to certain conditions.

HARLOW, DAVID E. -CFTC Docket No. 87-8
oooooooooooooooooooo

-Comply with his undertaking never to reapply for registration with the Commission in any capacity.

HARRIS, RONALD -CFTC Docket No. 77-4
oooooooooooooooooooo

-Application for registration as an associated person of a futures commission merchant denied.

HARRIS, WILLIAM B. -CFTC Docket No. 88-18
oooooooooooooooooooo

NFA-ID No. 0054055
CFTC-ID No. 0772170

-Registration with the Commission revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HARRISON, GEORGE R. -CFTC Docket No. 82-26
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Prohibited from selling or trading off exchange instruments regulated by the Commission.

HARRISON, GEORGE RODNEY -CFTC Docket No. 04-04

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NFA-ID No. 0182986

- *-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by users, including himself, of any commodity futures or options trading method, method or advisory service.
- *-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading method, method or advisory service.

HARTOG, JAMES DEN -CFTC Docket No. 00-07

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-Prohibited from directly or indirectly trading on or subject to the rules of any contract market on behalf of himself or others and all contract markets shall refuse him all trading privileges thereon, except that Den Hartog is permitted to engage in bona fide hedging, as defined by Commission Regulation 1.3(z), to hedge price risks associated with his business as a hog breeder.

-Comply with undertaking never to apply for registration or seek exemption from registration with the Commission in any capacity and never to engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempt from registration or required to be registered with the Commission.

HARVEY, THOMAS T. -CFTC Docket No. 80-15

oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HAYES, RICHARD C. -CFTC Docket No. SD 95-5

oooooooooooooooooooo

NFA-ID No. 0036888

-Registration with the Commission as a floor broker is revoked.

HEATH, JOYCE V. -CFTC Docket No. 88-15

oooooooooooooooooooo

NFA-ID No. 0047983

-Registration as an associated person of a futures commission merchant is revoked.

HEMPEL, MICHAEL E. -CFTC Docket No. 82-24

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-Prohibited from trading on or subject to the rules of any contract market.

HENCH, NEVINE V. -CFTC Docket No. 80-36

oooooooooooooooooooo

a/k/a CEA DOCKET NO. 230

-Shall never apply for registration with the Commission in any capacity.

HENDRICKS, DANIEL A. -CFTC Docket No. 82-2

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-Application for registration as a commodity trading advisor denied.

HENRIKSEN, RICHARD -CFTC Docket No. 91-3

oooooooooooooooooooo

NFA-ID No. 0008885

-Registration with the Commission as a floor broker is revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through August 27, 2007.

HEREDIA, JOHN C. -CFTC Docket No. SD 85-4

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-Registration as an associated person of a futures commission merchant revoked.

HERMANSON, JOHN A. -CFTC Docket No. 95-10

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NFA-ID No. 0197227

-Registrations with the Commission as an associated person and a commodity trading advisor are revoked.

HERNANDEZ, ROBERT PHILIP -CFTC Docket No. 86-2

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-Prohibited from trading on or subject to the rules of any contract market.

HERNANDEZ, SAMUEL J. -CFTC Docket No. 90-2

oooooooooooooooooooo

NFA-ID No. 0205342

-Prohibited from trading on or subject to the rules of any contract market.

HERNANDEZ, SAMUEL J. -CFTC Docket No. 90-2 (continued)
oooooooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.
- Comply with undertaking not to seek registration with the Commission in any capacity.

HERR, ALAN -CFTC Docket No. 83-5
oooooooooooo

- Registration as a commodity trading advisor and a commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HERR, HERB -CFTC Docket No. 83-5
oooooooooooo

- Prohibited from trading on or subject to the rules of any contract market.

HERZBERG, MELVIN -CFTC Docket No. 82-23
oooooooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HESSEE, KEVIN L. -CFTC Docket No. 94-3
oooooooooooooooooooo

NFA-ID No. 0232939

- Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.
- Comply with undertaking never to be an officer, director, principal or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

HEWITT, PAUL J. -CFTC Docket No. SD-90-5
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NFA-ID No. 0073362

CFTC-ID No. 0302371

- Registration as a commodity trading advisor is revoked.

HILBURN, RODGER -CFTC Docket No. 80-1
oooooooooooooooo

a/k/a PACIFIC PRECIOUS METALS

-Prohibited from trading on or subject to the rules of any contract market.

HILL, JOSEPH T. -CFTC Docket No. 78-14
oooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

HINSHAW, DOUGLAS D. -CFTC Docket No. 88-18
oooooooooooooooo

NFA-ID No. 0059146
CFTC-ID No. 0305884

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

HIRSCHBERG, JUDD BLAIR. -CFTC Docket No. SD 91-7
oooooooooooooooo

NFA-ID No. 0193768

-Registration with the Commission as a floor broker is revoked.

HIX, JOHN D. -CFTC Docket No. 78-47
oooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

HOFFMAN KAVANAUGH COMMODITY CORP -CFTC Docket No. 80-2
oooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

HOFFMAN, CHARLES, JR. -CFTC Docket No. 78-59
oooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

HOFFMAN, PETER D. -CFTC Docket No. 99-9
oooooooooooooooo

-Shall undertake never to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration or act as an agent or officer of any person registered or required to be registered with the Commission.

HOLLANDER, FREDERICK N. -CFTC Docket No. 94-11

oooooooooooooooooooo

NFA-ID No. 0114057

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission, never to be an officer, director, principal, or employee or agent of, or perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant; and to cooperate fully with the Commission in the investigation and litigation of these or related proceedings.

HOROWITZ, ALAN L. -CFTC Docket No. 91-23

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NFA-ID No. 0187804

-Registration as an associated person of a futures commission merchant is revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity, and never to engage in any activity which would require such registration.

HOUGE, RICHARD -CFTC Docket No. 99-6

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-Shall comply with undertaking not to apply for registration or seek exemption from registration with the Commission in any capacity under the Act, and not to engage in any activity for which registration or exemption from registration with the Commission is required under the Act or act as a principal, employee, officer or agent of any person registered, exempted from registration or required to be registered under the Act.

HOUSTON SYSTEM TRADING, LLC -CFTC Docket No. 00-24

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-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission; this includes, but is not limited to soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

HOWE, WILLIAM A. -CFTC Docket No. 83-44
oooooooooooooooo

- Registration as a commodity trading advisor revoked.
- Prohibited from trading on or subject to the rules of any contract market.

HSU, DAVID -CFTC Docket No. 92-9
oooooooooooo

NFA-ID No. 0211545

- Prohibited from trading on or subject to the rules of any designated contract market.

HSU, GRACE -CFTC Docket No. 98-10
oooooooooooo

NFA-ID No. 0262835

- Prohibited from trading on or subject to the rules of any contract market, and all contract markets are directed to refuse all trading privileges.
- Registration with the Commission as an associated person is revoked.

HSU, RUBY -CFTC Docket No. 92-9
oooooooooooo

a/k/a CHENG, RUBY

NFA-ID No. 0213459

- Prohibited from trading on or subject to the rules of any designated contract market.

HUGHES, SHELDON -CFTC Docket No. 77-2
oooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.

HUMPREYS, VAUGHN E. -CFTC Docket No. 79-25
oooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.
- Comply with undertaking not to seek registration with the Commission in any capacity.

HUNT, NELSON B. -CFTC Docket No. 85-12
oooooooooooooooo

NFA-ID No. 0223653

HUTCHERSON, MARK STEPHEN -CFTC Docket No. 99-7 (continued)
oooooooooooooooooooo

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

HYMAN, ALBERT -CFTC Docket No. 78-40
oooooooooooo

-Registration as an associated person of a futures commission merchant denied.

IACIOFANO, DOMENIC F. -CFTC Docket No. 79-51
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

ILK, MARK R. -CFTC Docket No. 90-32
oooooooooooo

NFA-ID No. 0061269

-Comply with undertaking not to apply for registration with the Commission in any capacity.

IMPERIAL OPTIONS, LTD -CFTC Docket No. 77-7
oooooooooooooooooooo

-Applications for registration as a commodity trading advisor and a futures commission merchant denied.

INCOMCO, INC. -CFTC Docket No. 82-20
oooooooooooo

-Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator are revoked.

-Prohibited from trading on or subject to the rules of any contract market.

INDEX, INC. -CFTC Docket No. 85-23
oooooooooooo

-Registration as a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market.

INGWERSON, MICHAEL -CFTC Docket No. 03-19
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NFA-ID No. 0333618

INGWERSON, MICHAEL -CFTC Docket No. 03-19 (continued)
oooooooooooooooooooo

- *-Shall not apply for registration with the Commission or seek exemption from registration with the Commission in any capacity, and shall not engage in any activity requiring registration or exemption from registration, except as provided for in Commission Regulation 4.14(a)(9), 17 C.F.R. Section 4.41(a)(9).
- *-Shall not act, directly or indirectly, as a principal, officer, director, agent or employee of any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9).
- *-Shall not act, directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation 4.14(a)(9).
- *-Shall not misrepresent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.
- *-Shall not misrepresent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

INSTITUTO NACIONAL DEL CAFE -CFTC Docket No. 79-34
oooooooooooooooooooo

a/k/a INCAFE

-Prohibited from speculative trading on or subject to the rules of any contract market.

INTERNATIONAL COMMODITY ADVISORS, INC. -CFTC Docket No. 76-19
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

INTERNATIONAL COMMODITY CORP. -CFTC Docket No. 79-7
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

INTERNATIONAL COMMODITY OPTIONS, LTD. -CFTC Docket No. 78-2
oooooooooooooooooooooooooooooooooooo

-Application for registration as a futures commission
merchant denied.

INTERNATIONAL DYNAMICS, INC. -CFTC Docket No. 84-29
oooooooooooooooooooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

INTERNATIONAL FUTURES CORP. -CFTC Docket No. 98-16
oooooooooooooooooooooooooooooooooooo

NFA-ID No. 0251676

-Registration with the Commission as an introducing broker
is revoked.

INTERNATIONAL METALS INVESTMENT CO., LTD. -CFTC Docket No. 85-12
oooooooooooooooooooooooooooooooooooo

NFA-ID No. 0236655

-Prohibited from trading on or subject to the rules of any
contract market.

INTERNATIONAL TRADING GROUP OF IOWA -CFTC Docket No. 90-9
oooooooooooooooooooooooooooooooooooo

a/k/a NORTH STAR FINANCIAL GROUP, LTD.

NFA-ID No. 0213615

-Registration as an introducing broker revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

-Comply with the undertaking never to seek registration with
the Commission in any capacity.

INTERNATIONAL TRADING GROUP, LTD. -CFTC Docket No. 91-5
oooooooooooooooooooooooooooooooooooo

NFA-ID No. 0002912

CFTC-ID No. 0017356

-Registrations with the Commission are revoked.

-Comply with its undertaking never to apply for registration
with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any
contract market.

INTERNATIONAL TRADING SYSTEMS AUSTRALIA PTY LIMITED
oo

-CFTC Docket No. 00-28

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

-Prohibited from trading on all contract markets until International Trading Systems Australia PTY Limited shows to the satisfaction of the Commission that payment of the full amount of the civil penalty with interest thereon to the date of payment has been made.

INTERNATIONAL TRADING SYSTEMS, LTD -CFTC Docket No. 00-28
oo

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

-Prohibited from trading on all contract markets until International Trading Systems, Ltd. shows to the satisfaction of the Commission that payment of the full amount of the civil penalty with interest thereon to the date of payment has been made.

INTERVEST COMMODITIES, INC. -CFTC Docket No. 81-11
oo

-Respondent shall not in the future apply to the Commission to be registered as a futures commission merchant or in any other capacity.

INVESTORS INTERNATIONAL, INC. -CFTC Docket No. 78-64
oo

-Applications for registration as a commodity pool operator and commodity trading advisor denied.

IP, YUN SANG -CFTC Docket No. 92-9
oooooooooooo

a/k/a IP, SAMMY

NFA-ID No. 0197981

-Prohibited from trading on or subject to the rules of any designated contract market.

-Registration with the Commission as an associated person revoked.

ITZKOWITZ, DAVID -CFTC Docket No. SD 00-03
oooooooooooo

NFA-ID No. 0054684

-Registration with the Commission as a floor broker is revoked.

IV GREAT RIVER CORP. -CFTC Docket No. 98-5
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.

J.P.M. INDUSTRIES, INC. -CFTC Docket No. SD-87-3
oooooooooooo

NFA-ID No. 0090103

CFTC-ID No. 1026390

-Registration as a commodity pool operator is revoked.

J.P.M. TRADING COMPANY, INC. -CFTC Docket No. SD-87-3
oooooooooooo

a/k/a J.P.M. FUND I

NFA-ID No. 0001296

CFTC-ID No. 0764369

-Registrations as an introducing broker and a commodity trading advisor are revoked.

JACKAM, KEVIN -CFTC Docket No. 93-2
oooooooooooo

NFA-ID No. 0259031

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

JACKAM, KEVIN -CFTC Docket No. 93-2 (continued)
oooooooooooo

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

JADERBORG, RONALD T. -CFTC Docket No. 79-6
oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

JANKOWSKI, CHRISTOPHER -CFTC Docket No. 79-16
oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

JARBOE, JAMES P., JR. -CFTC Docket No. 80-19
oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

JCC, INC. -CFTC Docket No. 89-4
oooooooooooo

NFA-ID No. 0001612

-Registration with the Commission as a futures commission merchant is permanently revoked.

JENSEN, DANIEL ELLIS -CFTC Docket No. SD 94-9
oooooooooooo

NFA-ID No. 0040458

-Application as a floor broker is denied.

JEWETT, EUGENE LYON, II. -CFTC Docket No. 97-7
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him all trading privileges for a period of ten (10) years through June 8, 2007, or until he has made full restitution to each of the customers described in the complaint, as ordered, whichever period is longer.

JOHANNING, JEROME B. -CFTC Docket No. 87-13
oooooooooooo

-Registration as a floor broker revoked.

JOHNSON, COREY PETER -CFTC Docket No. 00-35

oooooooooooooooooooo

NFA-ID No. 0252965

-Permanently prohibited, directly or indirectly, from trading on or subject to the rules of any contract market, either for his own account or for the account of any persons, interest or equity, and all contract markets are permanently required to refuse his trading privileges.

JOHNSON, DAVID G. -CFTC Docket No. SD 03-03

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NFA-ID No. 0003750

*-Registrations with the Commission as an introducing broker and associated person are revoked.

JOINER, WILLIAM H. -CFTC Docket No. 84-37

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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from soliciting or accepting money, securities or property in connection with the purchase or sale of illegal commodity options.

JONES, TERRY EDWARD -CFTC Docket No. 03-15

oooooooooooooooooooo

NFA-ID No. 0333038

*-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse his privileges thereon for a period of two (2) years through June 29, 2005.

*-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of two (2) years through June 29, 2005.

*-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of two (2) years through June 29, 2005.

JOYCE, PAUL F. -CFTC Docket No. 93-21

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NFA-ID No. 0220138

-Registration as an associated person revoked.

JOYCE, PAUL F. -CFTC Docket No. 93-21 (continued)
oooooooooooooooo

- Prohibited from trading on or subject to the rules of any contract market.
- Comply with undertaking never to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.
- Comply with undertaking never to be an officer, director, principal, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

JUSTUS ENTERPRISES, INC. -CFTC Docket No. 01-01
oooooooooooooooo

- *-Prohibited directly or indirectly, from trading on or subject to the rules of any contract market, either for its own account or for the account of any persons, interest or equity and all contract markets are directed to refuse its trading privileges for a period of ten (10) years through August 24, 2013.

KAHN, ELLIS K. -CFTC Docket No. 83-43
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NFA-ID No. 0064297 ; 0002493

- Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked.

KAHN, ELLIS K. -CFTC Docket No. 89-4
oooooooooooooooo

NFA-ID No. 0064297

- Registrations with the Commission as an associated person and a floor broker are revoked.

KALUS, ELLIOT -CFTC Docket No. 78-55
oooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.

KAMERDIN, JOHN T. -CFTC Docket No. 85-50
oooooooooooooooo

- Prohibited from trading on or subject to the rules of any contract market.

KAMINSKI, KENNETH W. -CFTC Docket No. 80-36
oooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.

KAMINSKI, KENNETH W. -CFTC Docket No. 80-36 (continued)
oooooooooooooooooooo

-Prohibited from trading for the period of his incarceration plus six months - if not incarcerated for three years all contract markets should refuse trading privileges.

KANNO, GEORGE -CFTC Docket No. 79-59
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

KAPLAN, MURRAY F. -CFTC Docket No. SD 95-6
oooooooooooooooooooo

NFA-ID No. 0247400

-Application for registration as a floor broker is denied.

KATES, KEVIN DAVID -CFTC Docket No. 00-27
oooooooooooooooooooo

NFA-ID No. 0261691

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity and shall never engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

-Shall never act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

-Permanently prohibited from trading on or subject to the rules of any registered entity, as that term is defined by Section 1(a)(29) of the Act, and all registered entities shall refuse him all privileges thereon.

KAUFMAN, MILTON -CFTC Docket No. 91-7
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NFA-ID No. 0082894

-Registration as a floor broker revoked.

KAUFMAN, MILTON -CFTC Docket No. SD 94-2
oooooooooooooooooooo

NFA-ID No. 0082894

KAUFMAN, MILTON -CFTC Docket No. SD 94-2 (continued)
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-May not act as a floor trader as defined under Section 1.3(x) of the Commission Regulations, 17 CFR Section 1.3(x), unless his activities as a floor trader are subject to a Supplemental Sponsor Certification Statement in the specified form, executed and submitted to the Commission by an officer of his clearing member, if such officer is a registrant or a principal of a registrant, or by the chief operating officer of a contract market on which he has trading privileges.

KAWAKAMI, LEO T. -CFTC Docket No. 82-41
oooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

KAY, JAMES W. -CFTC Docket No. 78-28
oooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

KELLOGG, MICHAEL A. -CFTC Docket No. 80-6
oooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

KELLY, MICHAEL J. -CFTC Docket No. 79-54
oooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

KELSON, GARY -CFTC Docket No. 76-20
oooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

KEMP, ELIZABETH MISKUS -CFTC Docket No. 03-06
oooooooooooooooo

NFA-ID No. 0326988

*-Shall not engage in, control, or participate in any manner in the solicitation, trading, transmission or execution of commodity futures contracts, options on commodity futures contracts, or options on foreign currency as a counterparty or for or on behalf of any person or entity.

*-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations.

KEMP, ELIZABETH MISKUS -CFTC Docket No. 03-06 (continued)
oooooooooooooooooooo

- *-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations.
- *-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission's Regulations.
- *-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse her all privileges thereon.

KENNEY, THOMAS P. -CFTC Docket No. 91-11
oooooooooooooooooooo

NFA-ID No. 0014747

- Registration as a floor broker is revoked.
- Permanently 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.

KERZINGER, WILLY -CFTC Docket No. 97-15
oooooooooooooooooooo

- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.
- Comply with undertaking never to seek registration or exemption from registration with the Commission in any capacity, and never to engage in any activity requiring registration or exemption from registration, or act as an agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

KETCHAM, RAYMOND H. -CFTC Docket No. 84-42
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- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.
- Shall not seek registration with the Commission in any capacity.

KETCHAM, THERESA A. -CFTC Docket No. 84-42
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- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.
- Shall not seek registration with the Commission in any capacity.

KILANDI, PAUL -CFTC Docket No. 80-1
oooooooooooooooooooo

- Prohibited from trading on or subject to the rules of any contract market.

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

NFA-ID No. 0255751

- *-Prohibited from executing trades for customers on or subject to the rules of any contract market for a period of three (3) years through August 3, 2006.
- *-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 eighteen (18) months through February 4, 2005.
- *-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 for a period of eighteen (18) months through February 4, 2005.
- *-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 eighteen (18) months through February 4, 2005.

KIM, SEUNGHO -CFTC Docket No. 00-24
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KIM, SEUNGHO -CFTC Docket No. 00-24 (continued)
oooooooooooo

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent, officer or employee of any person registered, exempted from registration or required to be registered with the Commission; this includes, but is not limited to soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

KING, J. MICHAEL -CFTC Docket No. 95-9
oooooooooooo

NFA-ID No. 0072960

-Registration with the Commission as an associated person revoked.

-Shall undertake never to apply for registration with the Commission in any capacity, or never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

KING, JOHN J. -CFTC Docket No. 90-14
oooooooooooo

NFA-ID No. 0195296

-Registration with the Commission is revoked.

KING, JOHN L. -CFTC Docket No. 87-20
oooooooooooo

-Registration as a commodity trading advisor revoked.

-Comply with undertaking not to seek registration with the Commission or the National Futures Association at any time in the future.

KING, MICHAEL A. -CFTC Docket No. 92-17
oooooooooooo

NFA-ID No. 0060490

-Comply with undertaking never to apply for registration with the Commission in any capacity.

KIRK, PAUL -CFTC Docket No. 86-2
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

KITCHENER, GARY -CFTC Docket No. 78-55
oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

KLINE, JAYSON S. -CFTC Docket No. 94-8
oooooooooooo

NFA-ID No. 0207051

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

KNACK, ROBERT L. -CFTC Docket No. 84-9
oooooooooooo

-Registration as a floor broker revoked.

KOERNER, WILLIAM B. -CFTC Docket No. 98-5
oooooooooooo

NFA-ID No. 0059066

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

KOHLER, JAMES THOMAS, JR. -CFTC Docket No. 78-16
oooooooooooo

-Registration as an associated person of a futures commission merchant denied.

KORSEN, STEVEN -CFTC Docket No. 81-14
oooooooooooo

-Permitted to withdraw pending application for registration as an associated person.

KOSAR, MELANIE R. -CFTC Docket No. 90-6
oooooooooooo

NFA-ID No. 0194638

-Registration as a floor broker revoked.

-Comply with her undertaking not to apply for registration with the Commission in any capacity.

KOTANSKY, RAYMOND D. -CFTC Docket No. 79-40

oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

KRHOVJAK, CLAY -CFTC Docket No. 02-01

oooooooooooooooooooo

-Permanently prohibited from trading for himself or others
on or subject to the rules of any registered entity, and
directs all registered entities to refuse all privileges.

-Shall never apply for registration or seek exemption from
registration with the Commission in any capacity, except as
provided for in Section 4.14(a)(9) of the Regulations, 17
C.F.R. Section 4.14(a)(9)(2001), and shall never engage in
any activity requiring registration or exemption from
registration, except as provided for in Section 4.14(a)(9)
of the Regulations, or act as a principal, agent or officer
of any person registered, exempted from registration or
required to be registered with the Commission, except as
provided for in Section 4.14(a)(9) of the Regulations.

KRISTUFEK, ROBERT SCOTT -CFTC Docket No. 01-23

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NFA-ID No. 0266035

-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 for a period of
twenty-four (24) months through September 11, 2004.

KRON, DAN -CFTC Docket No. 85-26

oooooooooooo

NFA-ID No. 0000294

CFTC-ID No. 0838235

-Lapsed registrations as commodity pool operator and
commodity trading advisor revoked.

KYLE, JOHN N., II. -CFTC Docket No. 88-22

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NFA-ID No. 0057313

CFTC-ID No. 0851233

-Registration as a person associated with an introducing
broker is revoked.

KYLE, JOHN N., II. -CFTC Docket No. 88-22 (continued)
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

LA MANTIA, SAM H. -CFTC Docket No. 79-52
oooooooooooooooooooo

-Registration as floor broker revoked.

LAI, PETER T. -CFTC Docket No. 97-5
oooooooooooooooooooo

NFA-ID No. 0243721

-Prohibited from trading on or subject to the rules of any designated contract market for a period of five(5) years through February 10, 2004.

LAKEN, GLENN BRADLEY -CFTC Docket No. SD 00-05
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NFA-ID No. 0097841

-Registration with the Commission as a floor broker is temporarily suspended.

LAMBORN, GEORGE DANIEL FLYNN -CFTC Docket No. 02-14
oooooooooooooooooooo

NFA-ID No. 0018732

*-Shall not act in a supervisory capacity for any activities regarding the trading of commodity futures and/or options for a period of two(2) years through June 5, 2005.

LANDIN, ALFRED -CFTC Docket No. 78-31
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

LANDIN, ALFRED -CFTC Docket No. 78-55
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

LANDIN, ALFRED -CFTC Docket No. 79-48
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

LANE, GEORGE C. -CFTC Docket No. 92-26
oooooooooooooooooooo

NFA-ID No. 0065624 ; 0002571

-Registration as a commodity trading advisor is revoked.

LANI, RICHARD ANTHONY, SR. -CFTC Docket No. 02-14
oooooooooooooooooooo

NFA-ID No. 0101840

- *-Shall not act in a supervisory capacity for any activities regarding the trading of commodity futures and/or options for a period of two(2) years through June 5, 2005.
- *-Prohibited from trading on all contract markets and, if he is registered with the Commission, such registration shall be automatically suspended until he shows to the satisfaction of the Commission that payment of the full amount of the penalty imposed against him with interest thereon to the date of payment has been made.

LAVENDER, IRA M. -CFTC Docket No. 00-23
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- Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall deny his trading privileges.
- Shall comply with the undertaking never to apply for registration with the Commission in any capacity or to seek exemption from registration.
- Shall comply with the undertaking never to engage in any activity requiring registration with the Commission, including, but not limited to, directing any current or prospective client's commodity interest account; soliciting, accepting or receiving any funds, revenue, or other property from any person; or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.
- Shall comply with the undertaking never to act as a principal, agent, or officer of any person registered, exempted from registration or required to be registered with the Commission.

LAWTON, GRANT -CFTC Docket No. 98-1
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- Permanently prohibited from trading on or subject to the rules of any contract market.

LE CLAIRE, DAVID B. -CFTC Docket No. SD 93-18
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NFA-ID No. 0014645

- Comply with undertaking to withdraw his application for registration as a floor trader.

LEE, ANDREW M. -CFTC Docket No. 92-9
oooooooooooo

-Prohibited from trading on or subject to the rules of any designated contract market.

LEONARD, BETTY -CFTC Docket No. 94-13
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse her trading privileges.

LEONARD, ROBERT K. -CFTC Docket No. 94-13
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

LERMAN, LAWRENCE S. -CFTC Docket No. 92-22
oooooooooooo

NFA-ID No. 0012784

-Comply with undertaking not to apply for registration with the Commission in any capacity.

LERNER, EDWARD -CFTC Docket No. 89-4
oooooooooooo

NFA-ID No. 0056477

-Registration with the Commission as an associated person is permanently revoked.

LEVASSEUR, JOHN -CFTC Docket No. 79-36
oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

LEVINE, SCOTT J. -CFTC Docket No. 92-23
oooooooooooo

NFA-ID No. 0187972

-Registration as an associated person revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity.

-Comply with undertaking never to be an officer, director, principal, employee, or agent of any Commission registrant, and never perform work for, be associated with, or receive, either directly or indirectly, any form of compensation from any Commission registrant.

LIPPSE, RODNEY ALAN -CFTC Docket No. 78-67
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-Application for registration as an associated person of a
futures commission merchant denied.

LIPTON, DANIEL B. -CFTC Docket No. 02-14
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NFA-ID No. 0224884

-Shall not serve on any disciplinary committee, arbitration
panel, oversight panel or governing board of any
self-regulatory organization subject to regulation by the
Commission for a period of two (2) years through October 24,
2004.

LIU, JUSTIN S. -CFTC Docket No. 94-6
oooooooooooooooooooo

NFA-ID No. 0006063

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Comply with undertaking not to act in any capacity as a
commodity trading advisor, commodity pool operator, futures
commission merchant, leverage transaction merchant,
introducing broker, floor broker, or floor trader, or as an
associated person or agent of any of the foregoing, or to
otherwise solicit, accept or receive from others funds,
securities or property, either directly or indirectly, or
through any entity, for the purposes of trading in any
futures or commodity options contract.

LLOYD & CARR FINANCIAL CO. -CFTC Docket No. 77-6
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-Registration as a commodity trading advisor revoked.

LLOYD, CARR & COMPANY -CFTC Docket No. 77-6
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-Application for registration as a futures commission
merchant is denied.

LOEWINGER, ROBERT -CFTC Docket No. 81-5
oooooooooooooooooooo

-Application for registration as an associated person of a
futures commission merchant denied.

LONDON COMMODITY HOUSE, INC. -CFTC Docket No. 77-4
oooooooooooooooooooo

-Application for registration as a futures commission
merchant denied.

-Registration as a commodity trading advisor revoked.

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

NFA-ID No. 0218145

-Shall comply with the undertaking never to apply for registration with the Commission in any capacity or to seek exemption from registration.

-Shall comply with the undertaking never to engage in any activity that requires registration with the Commission, including, but not limited to, directing any current or prospective client's commodity interest account; soliciting, accepting or receiving any funds, revenue, or other property from any person, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

-Shall comply with the undertaking never to act as a principal, agent, or officer of any person registered, exempted from registration or required to be registered with the Commission.

LOPEZ, RAY P. -CFTC Docket No. 79-41
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-Registration as an associated person of a futures commission merchant revoked.

LOVE, RICHARD S. -CFTC Docket No. 94-2
oooooooooooo

NFA-ID No. 0131934 ; 0209170

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

LOWRANCE, RICHARD M. -CFTC Docket No. SD 91-8
oooooooooooo

-Registration with the Commission as a floor broker revoked.

LUGER, DAVID ALAN -CFTC Docket No. 97-4
oooooooooooo

NFA-ID No. 0098009

-Registration with the Commission as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

LUGER, DAVID ALAN -CFTC Docket No. 97-4 (continued)
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-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

LYNCH, NORBERT C. -CFTC Docket No. 81-15
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-Registration as an associated person of a futures commission merchant revoked.

-All pending applications for registration in any capacity denied.

-Prohibited from trading on or subject to the rules of any contract market.

LYNNEWOOD EXPORT CORPORATION -CFTC Docket No. 77-15
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

MACLEOD, WINFORD -CFTC Docket No. 87-12
oooooooooooooooooooo

NFA-ID No. 0070011

-Comply with undertaking not to seek registration with the Commission in any capacity.

MADISON FINANCIAL GROUP, LLC. -CFTC Docket No. 01-09
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NFA-ID No. 0287038

-Registration with the Commission as an introducing broker is revoked.

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

-Shall never act as a principal, employee, agent or officer of any person registered, exempted from registration or required to be registered with the Commission, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

MADISON FINANCIAL GROUP, LLC. -CFTC Docket No. 01-09 (continued)
oooooooooooooooooooooooooooo

-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.

-Shall not directly or indirectly act in any supervisory
capacity over anyone registered or required to be registered
with the Commission.

MAHAN, CAROLYN SUE -CFTC Docket No. 79-9
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-Registration as an associated person of a futures
commission merchant denied.

MAHAN, CAROLYN SUE -CFTC Docket No. 78-46
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

MAKRIS, GEORGE F. -CFTC Docket No. 78-23
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

MARCH, ARIC H. -CFTC Docket No. 91-4
oooooooooooooooooooo

NFA-ID No. 0082477

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Registration with the Commission as a floor broker is
revoked.

MARISTELA, MARIA CECILLE -CFTC Docket No. 03-12
oooooooooooooooooooo

NFA-ID No. 0308583

*-Prohibited from trading on or subject to the rules of any
registered entity and all registered entities shall refuse
her trading privileges for a period of two (2) years through
June 5, 2005.

*-Shall not apply for registration, seek exemption from
registration, engage in any activity requiring registration
or exemption from registration, except as provided in
Section 4.14(a)(9) of the Commission Regulations for a
period of two (2) years through June 5, 2005.

MARISTELA, MARIA CECILLE -CFTC Docket No. 03-12 (continued)
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*-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided in Section 4.14(a)(9) of the Commission Regulations for a period of two (2) years through June 5, 2005.

*-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission Regulations; provided that she may continue to act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration in trading foreign currency futures or options for retail customers for a period of two (2) years through June 5, 2005.

MARKS, LOUIS H. -CFTC Docket No. 87-11
oooooooooooooooooooo

-Comply with undertaking not to seek registration with the Commission in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

MARREN, JAMES MICHAEL -CFTC Docket No. 93-16
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NFA-ID No. 0029204

-Registration with the Commission as a floor broker is revoked.

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

NFA-ID No. 0046011

-Registration as an associated person revoked.

MARSHBURN, KEVIN ARTHUR -CFTC Docket No. 97-8
oooooooooooooooooooo

NFA-ID No. 0011123

*-Shall be prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through December 7, 2013.

MARSHBURN, KEVIN ARTHUR -CFTC Docket No. 97-8 (continued)
oooooooooooooooooooo

- *-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

- *-Shall not act, directly or indirectly, as a principal, officer or director of any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations.

- *-Shall not act, directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations.

MASSARO, JAMES W. -CFTC Docket No. 83-34
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

MATHAS, PAUL E. -CFTC Docket No. 79-45
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

MATRIX, STEVEN -CFTC Docket No. 04-01
oooooooooooooooooooo

NFA-ID No. 0336249

- *-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by users, including himself, of any commodity futures or options trading method, system or advisory service.

- *-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading method, system or advisory service.

MATROS, STUART -CFTC Docket No. 76-20
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MATTHEWS, JOHN -CFTC Docket No. 94-13
oooooooooooooooo

- Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.
- Comply with undertaking not to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.
- Comply with undertaking never to seek or accept authority to direct and never to direct, the commodity interest trading of another.

MATTOX, MARCUS -CFTC Docket No. 76-20
oooooooooooooooo

- Registration as an associated person of a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

MAYE COMMODITIES CORP. -CFTC Docket No. 92-21
oooooooooooooooooooooooooooo

- Permanently prohibited from trading on or subject to the rules of any contract market.

MAYER, BARRY -CFTC Docket No. 92-21
oooooooooooooooo

NFA-ID No. 0013342

- Registration with the Commission as a floor broker is revoked.
- Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through January 19, 2010.

MAYER, LEON -CFTC Docket No. 78-60
oooooooooooo

- Registration as a floor broker revoked.

MAYER, SOLOMON -CFTC Docket No. 92-21
oooooooooooooooo

NFA-ID No. 0059045

- Registration with the Commission as a floor broker is revoked.
- Permanently prohibited from trading on or subject to the rules of any contract market.

MAYERS, TERI LYNN -CFTC Docket No. 89-25

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NFA-ID No. 0231808

-Comply with undertaking never to apply for registration with the Commission in any capacity.

MAYRSOHN, CASPER -CFTC Docket No. 77-15

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-Prohibited from trading on or subject to the rules of any contract market.

MAZZARA, FRANK JOHN -CFTC Docket No. 93-2

oooooooooooooooooooo

NFA-ID No. 0085104

-Registration with the Commission as a floor broker is revoked.

MCCAFFERY, GEORGE -CFTC Docket No. 77-4

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-Application for registration as an associated person of a futures commission merchant denied.

MCCOLLUM, JOHN J. -CFTC Docket No. 97-14

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NFA-ID No. 0190783

-Shall not accept any position or duties which involve the supervision of persons who trade for other persons, or persons who solicit customers, or persons who offer advice, in connection with commodity interest accounts, derivatives, or other instruments regulated by the Commission for a period of seven (7) years through August 12, 2004.

MCCORKELL, GARY LYN -CFTC Docket No. 94-12

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NFA-ID No. 0036754

-Prohibited from trading directly or indirectly on or subject to the rules of any contract market for his own account or for the account of any persons, interest, or entity, and all contract markets are permanently required to refuse him trading privileges.

MCDINE & ASSOCIATES -CFTC Docket No. SD 94-8

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NFA-ID No. 0223905

-Registrations with the Commission as a commodity trading advisor and commodity pool operator are revoked.

MCDINE, DAVID D. -CFTC Docket No. SD 94-8

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NFA-ID No. 0223906

-Registration with the Commission as an associated person is
revoked.

MCFARLIN, JOHN K., JR. -CFTC Docket No. 92-8

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a/k/a MCFARLIN TRADING COMPANY

-Prohibited from trading for his own account or for any
account in which he has a direct or indirect interest, on
any contract market.

-Comply with his undertaking never to apply for registration
with the Commission in any capacity.

MCGEE, KAI K. -CFTC Docket No. SD 92-4

oooooooooooooooooooo

a/k/a MCGEE, DON R.

NFA-ID No. 0196578 ; 0225254

-Registrations as a commodity trading advisor, commodity
pool operator and as an associated person revoked.

MCGHEE, FRANK H. -CFTC Docket No. 83-4

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-Comply with his undertaking never to re-apply for
registration with the Commission in any capacity.

MCGIVNEY, JOSEPH P. -CFTC Docket No. SD-87-3

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NFA-ID No. 0056568

CFTC-ID No. 0764353

-Registration as an associated person of a futures
commission merchant and as a commodity pool operator are
revoked.

MCGOLDRICK, NEIL T. -CFTC Docket No. 91-3

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NFA-ID No. 0034448

-Registration with the Commission as a floor broker is
revoked.

-Prohibited from trading on or subject to the rules of any
contract market and all contract markets shall refuse him
trading privileges for a period of ten (10) years through
August 27, 2007.

MCGUINNESS, EVELYN M. -CFTC Docket No. 78-34
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-Registration as an associated person of a futures
commission merchant denied.

MCPHERSON, JOHN A. -CFTC Docket No. 99-6
oooooooooooooooooooo

-Shall comply with undertaking not to apply for registration
or seek exemption from registration with the Commission in
any capacity under the Act, and not to engage in any
activity for which registration or exemption from
registration with the Commission is required under the Act
or act as a principal, employee, officer or agent of any
person registered, exempted from registration or required to
be registered under the Act.

MEGATECH FINANCIAL SERVICES, INC. -CFTC Docket No. 85-26
oooooooooooooooooooo

-Lapsed registrations as a commodity pool operator and
commodity trading advisor revoked.

MENKES, MICHAEL S. -CFTC Docket No. 78-41
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-Registration as an associated person of a futures
commission merchant revoked.

MENKES, MICHAEL S. -CFTC Docket No. 80-15
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

MERWIN, JOHN -CFTC Docket No. 76-20
oooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

MICHELETTO, JAMES D. -CFTC Docket No. SD 90-1
oooooooooooooooooooo

NFA-ID No. 0220086

-Application for registration as a floor broker denied.

MICHNO, KAZIMIR -CFTC Docket No. 82-27
oooooooooooooooooooo

a/k/a KAZIMIR MISHNO, K. MICHNO, C. MICHNO

-Registration as an associated person of a futures
commission merchant revoked.

MICHNO, KAZIMIR -CFTC Docket No. 90-16
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NFA-ID No. 0052427
CFTC-ID No. 0448202

-Prohibited from trading on or subject to the rules of any contract market.

MIDLAND EURO, INC. -CFTC Docket No. SD 02-01
oooooooooooooooooooo

NFA-ID No. 0202319

-Registration with the Commission is suspended until it shows that it is no longer subject to statutory disqualification.

MIDWEST COMMODITY CORP. -CFTC Docket No. 83-40
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MILLBRAE SUN HING BULLION LTD. -CFTC Docket No. 92-9
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

MILLER, HOWARD MAYER -CFTC Docket No. 92-4
oooooooooooooooooooo

NFA-ID No. 0036191

-Registration with the Commission as an associated person is revoked.

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

MILLER, THOMAS T. -CFTC Docket No. SD 03-04
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NFA-ID No. 0030218

*-Registration with the Commission as an associated person is revoked.

MIMS, GERALD D. -CFTC Docket No. 93-7
oooooooooooooooo

-Comply with undertaking never to seek registration with the Commission in any capacity, and never to act as a principal, officer or director of a firm or entity either registered with the Commission or acting in a capacity that would require registration with the Commission.

MISHRICK, SHUKRY -CFTC Docket No. 83-55
oooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

MITSOPOULOS, CONSTANTINE -CFTC Docket No. 99-17
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NFA-ID No. 0193304

-Shall comply with the undertaking never to apply for registration or claim exemption from registration with the Commission in any capacity.

-Shall comply with the undertaking never to engage in any activity requiring such registration or exemption from registration.

-Shall comply with the undertaking never to act as a principal, officer or employee of any person registered, exempt from registration or required to be registered with the Commission.

-Shall comply with the undertaking never to act in any capacity, whether or not registration with the Commission is required, which involves the execution, allocation, writing, receipt or transmission of orders or completion or processing of order tickets for futures or options on futures contracts (other than for Mitsopoulos' own account).

MITTELSTADT, BRUCE W. -CFTC Docket No. 92-7
oooooooooooooooo

NFA-ID No. 0030428

-Registration with the Commission as a floor broker is hereby revoked.

MIZRAHI, SAM -CFTC Docket No. 83-7
oooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to apply for registration in any capacity in the future.

MIZRAHI, SAM -CFTC Docket No. 82-39
oooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Comply with undertaking not to apply for registration in
any capacity in the future.

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

NFA-ID No. 0087228

-Shall never apply for registration or claim exemption from
registration with the Commission in any capacity, and shall
never engage in any activity requiring registration or
exemption from registration, except as provided for in
Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R.
Section 4.14(a)(9); or act as a principal, agent or officer
of any person registered, exempted from registration or
required to be registered with the Commission, unless such
exemption is pursuant to Section 4.14(a)(9) of the
Commission Regulations, 17 C.F.R Section 4.14(a)(9).

-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.

-Shall not directly or indirectly act in any supervisory
capacity over anyone registered or required to be registered
with the Commission.

MONIESON, BRIAN P. -CFTC Docket No. 89-1
oooooooooooo

NFA-ID No. 0042528

-Registration as a floor broker revoked.

MONTFORT, JAMES B. -CFTC Docket No. SD 91-4
oooooooooooo

NFA-ID No. 0230560

-Comply with undertaking to withdraw its registration as a
commodity trading advisor.

MONTFORT, JAMES B., III. -CFTC Docket No. SD 91-4
oooooooooooo

NFA-ID No. 0195608

-Comply with undertaking to withdraw his registration as an
associated person.

MOORE, STANLEY EDWARD -CFTC Docket No. 00-31

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NFA-ID No. 0270054

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

MORAN, JOHN -CFTC Docket No. 82-4

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-Registration as an associated person and a commodity trading advisor revoked.

-Prohibited from trading on or subject to the rules of any contract market.

MOSKOWITZ, RICHARD ALLEN -CFTC Docket No. SD 90-3

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NFA-ID No. 0062830

-Registration as a floor broker revoked.

MOSKOWITZ, RICHARD ALLEN -CFTC Docket No. SD 94-7

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NFA-ID No. 0062830

-Application for registration as a floor broker is denied.

MOSKY, ROBERT DAVID -CFTC Docket No. 91-19

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NFA-ID No. 0070010

-Registration as a floor broker is revoked.

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

MOSKY, ROBERT DAVID -CFTC Docket No. SD 93-16

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NFA-ID No. 0070010

-Comply with undertaking to withdraw his application for registration as a floor trader and to take all appropriate steps to ensure that the no action status conferred on him is terminated.

MOUNT, STEPHEN E. -CFTC Docket No. 80-30
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-Registration as an associated person of a futures
commission merchant revoked.

-Shall never apply for registration with the Commission in
any capacity.

MOUNT, STEPHEN E. -CFTC Docket No. 80-36
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

MSP TRADING, INC. -CFTC Docket No. 90-14
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NFA-ID No. 0090321
CFTC-ID No. 1079270

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

MULLER, JOHN J. -CFTC Docket No. 77-22
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-Registration as an associated person of a futures
commission merchant revoked.

MULLER, JOHN J. & ASSOCIATES, INC. -CFTC Docket No. 77-22
oo

-Registration as a futures commission merchant denied.

MULLIGAN, SUSAN -CFTC Docket No. 89-10
oooooooooooooooooooo

NFA-ID No. 0182849

-Comply with undertaking not to seek registration with the
Commission in any capacity and not henceforth act in the
capacity of any classification of registrant under the Act,
whether such action requires registration or not.

MULTI-NATIONAL HOLDING CORPORATION -CFTC Docket No. 83-5
oo

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

MULTI-STATE ADVISORY CORPORATION -CFTC Docket No. 82-4
oooooooooooooooooooooooooooo

-Registration as a commodity trading advisor revoked.

MULTIVEST OPTIONS, INC. -CFTC Docket No. 90-11
oooooooooooooooooooooooooooo

NFA-ID No. 0001646

CFTC-ID No. 0017617

-Comply with undertaking never to seek registration with the
Commission in any capacity.

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

MUNSON, JOHN -CFTC Docket No. 77-4
oooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Registration as a commodity trading advisor revoked.

MURPHY, JAMES T. -CFTC Docket No. 82-22
oooooooooooooooooooo

-Registration as a commodity trading advisor revoked.

-Prohibited from registering with the Commission in any
capacity.

MURPHY, MICHAEL P. -CFTC Docket No. 92-24
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NFA-ID No. 0210415

-Registration as an associated person revoked.

-Comply with undertaking never to apply for registration
with the Commission in any capacity and never to engage in
any activity requiring such registration.

MURPHY, TIMOTHY R. -CFTC Docket No. 92-24
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NFA-ID No. 0075561 ; 0211836

-Registrations as an associated person and a commodity
trading advisor revoked.

-Comply with undertaking never to apply for registration
with the Commission in any capacity and never to engage in
any activity requiring such registration.

MURPHY, WILLIAM J., III. -CFTC Docket No. 92-24
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NFA-ID No. 0015550

-Registration as an associated person revoked.

-Comply with undertaking never to apply for registration
with the Commission in any capacity and never to engage in
any activity requiring such registration.

MYSKOWSKI, JOHN J. -CFTC Docket No. 90-12
oooooooooooooooooooooooooooo

NFA-ID No. 0198994

-Registration as a floor broker is revoked.

-Comply with the undertaking not to apply for registration
with the Commission in any capacity.

NAGY, ROBERT A. -CFTC Docket No. 84-28
oooooooooooooooooooooooooooo

-Expired registration as an associated person of a futures
commission merchant revoked.

NANAY, MICHAEL A. -CFTC Docket No. 88-14
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-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

NATIONAL CENTURY FINANCIAL CORPORATION -CFTC Docket No. 83-48
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-Registration as a commodity trading advisor and a commodity
pool operator revoked.

NATIONAL COMMODITY EXCHANGE OF NORTH AMERICA, INC.
oooooooooooooooooooooooooooooooooooo

-CFTC Docket No. 80-36

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

NATIONAL MONETARY FUND, INC. -CFTC Docket No. 85-17
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-Registration as a commodity trading advisor and a commodity
pool operator revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

NATIONAL MONETARY FUND, INC. -CFTC Docket No. 85-17 (continued)
oooooooooooooooooooooooooooo

-Comply with undertaking not to seek registration with the
Commission in any capacity.

NAULIN, DAVID O. -CFTC Docket No. 92-6
oooooooooooooooooooo

NFA-ID No. 0211589

-Comply with undertaking never to seek registration with the
Commission in any capacity.

-Prohibited from trading on or subject to the rules of any
contract market.

NELSON, GEORGE PHILIP -CFTC Docket No. 81-13
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-Registration as an associated person of a futures
commission merchant revoked.

NELSON, GHUN & ASSOCIATES -CFTC Docket No. 81-13
oooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

NESBIT, H. PAUL -CFTC Docket No. 81-9
oooooooooooooooooooo

-Application for registration as an associated person of a
futures commission merchant denied.

NESBIT, H. PAUL -CFTC Docket No. 81-17
oooooooooooooooooooo

-Application for registration as a commodity trading advisor
denied.

NESBIT, H. PAUL -CFTC Docket No. 81-21
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

NORTHERN FINANCIAL CORPORATION -CFTC Docket No. 77-2
oooooooooooooooooooooooooooo

-Registration as a futures commission merchant revoked.

NORTHERN, LOVELL B., III. -CFTC Docket No. 93-3
oooooooooooooooooooo

NFA-ID No. 0034558

NORTHERN, LOVELL B., III. -CFTC Docket No. 93-3 (continued)
oooooooooooooooooooo

-Comply with undertaking not to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

-Comply with undertaking not to act in any capacity as an associated person, futures commission merchant, leverage transaction merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or as an agent or officer of any person registered or required to be registered as an associated person, futures commission merchant, leverage transaction merchant, commodity pool operator, commodity trading advisor, introducing broker, floor trader, or floor broker, or to otherwise act in any capacity which causes him to accept or hold customer funds.

NORWELL TRADE WINDS, LTD. -CFTC Docket No. 82-1
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-Prohibited permanently from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor and a commodity pool operator revoked.

NOWAK, JAMES D. -CFTC Docket No. 91-1
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NFA-ID No. 0072441

-Comply with undertaking not to apply for registration with the Commission in any capacity.

-Registration as a floor broker is revoked.

O'BRIEN, FRANCIS J. -CFTC Docket No. 84-8
oooooooooooooooooooo

-Registration as a floor broker revoked.

O'CONNOR, PHILIP M. -CFTC Docket No. 83-59
oooooooooooooooooooo

NFA-ID No. 0056760

CFTC-ID No. 0487399

-Registration as a floor broker is revoked.

O'HERRON, JOHN F. -CFTC Docket No. SD 03-02
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NFA-ID No. 0219906 ; 0219905

*-Registrations with the Commission as a commodity trading advisor and an associated person are revoked.

O'MALLEY, STAR LYNN -CFTC Docket No. 84-41

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-Prohibited from trading on or subject to the rules of any contract market.

OAKWOOD ASSET MANAGEMENT, INC. -CFTC Docket No. SD 95-16

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NFA-ID No. 0218447

-Registrations with the commission as a commodity trading advisor and as a commodity pool operator are revoked.

OLEXSAK, STEPHEN J. -CFTC Docket No. SD 88-5

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NFA-ID No. 0049854

CFTC-ID No. 0884317

-Registration as a floor broker denied.

OSADCHY, ANATOLY, CPA. -CFTC Docket No. 99-2

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NFA-ID No. 0220104 ; 0220101

-Shall comply with undertaking not to apply to the Commission for reinstatement.

OSLER, DARRYL MCKENNON -CFTC Docket No. 00-05

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NFA-ID No. 0258470

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission; this includes, but is not limited to, soliciting, accepting or receiving any funds, revenue, or other property from any person, giving advice for compensation, or soliciting prospective customers, related to the purchase or sale of any commodity futures or options on commodity futures contracts.

-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.

-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

PACIFIC COMMODITIES EXCHANGE, INC. -CFTC Docket No. 76-17
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-All contract market designations heretofore granted
respondent by the Commission, or its predecessors
administering the Commodity Exchange Act, revoked with
respondent's consent.

PALERMO FINANCIAL SYNDICATE -CFTC Docket No. 85-9
oooooooooooooooooooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

PARAGON FUTURES ASSOCIATION -CFTC Docket No. 88-18
oooooooooooooooooooooooooooooooooooo

-Comply with undertaking never to seek registration with the
Commission in any capacity.

-Prohibited from trading on or subject to the rules of any
contract market.

PARDES, ABRAHAM -CFTC Docket No. 79-2
oooooooooooooooooooo

a/k/a MIKE PARDES

-Application for registration as an associated person of a
futures commission merchant denied.

PARK, JOHN KI -CFTC Docket No. 00-24
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NFA-ID No. 0278960

-Shall not directly or indirectly act in 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 five (5) years through June 28, 2005.

-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 five (5) years through
June 28, 2005.

PARUCH, JAMES C. -CFTC Docket No. 85-25
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NFA-ID No. 0053884

-Registration as a floor broker is hereby revoked.

PARZ, DANIEL M. -CFTC Docket No. 90-13
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NFA-ID No. 0033263

-Registration as a floor broker revoked.

PARZ, DANIEL M. -CFTC Docket No. 90-13 (continued)
oooooooooooooooo

-Comply with undertaking not to apply for registration with the Commission in any capacity.

PASHBY, TERRY -CFTC Docket No. 76-20
oooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

PATE, MICHAEL GENE -CFTC Docket No. 03-13
oooooooooooooooo

NFA-ID No. 0332289

- *-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse his privileges for a period of five(5) years through June 5, 2008.
- *-Shall not engage in, control, or participate in any manner or affiliate in any way with any individual or entity which involves the solicitation, acceptance of orders, transmission of orders, advice relating to foreign currency futures or options, trading or execution of foreign currency futures contracts, options on foreign currency futures contracts, or options on foreign currency as a counterparty or for or on behalf of any person or entity.
- *-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of five (5) years through June 5, 2008.
- *-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of five(5) years through June 5, 2008.
- *-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission's Regulations for a period of five(5) years through June 5, 2008.

PATTEN, HARRY O., III. -CFTC Docket No. 89-16

oooooooooooooooooooo

NFA-ID No. 0005280

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

PEABODY TRADING CORPORATION OF BOSTON -CFTC Docket No. 81-15

oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registrations as a commodity trading advisor and as a commodity pool operator revoked.

-Any pending applications for registration in any capacity are denied.

PEARSON, LAWRENCE F. -CFTC Docket No. 83-63

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-Registration as a floor broker revoked.

PELLAS, S.F. & COMPANY -CFTC Docket No. 78-62

oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

PELTON STREET PUBLISHING, INC. -CFTC Docket No. SD 00-06

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NFA-ID No. 0290154

-Registration with the Commission as a commodity trading advisor is revoked.

PENNY, ERNEST -CFTC Docket No. 03-02

oooooooooooooooooooo

NFA-ID No. 0215698

*-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 June 30, 2005.

*-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 twenty-four (24) months through June 30, 2005.

PENNY, ERNEST -CFTC Docket No. 03-02 (continued)
oooooooooooo

*-Prohibited from acting as a dual trader on or subject to the rules of any registered entity for a period of twelve (12) months through June 30, 2004.

PENTECOSTE, JOSEPH C. -CFTC Docket No. 87-4
oooooooooooo

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Comply with undertaking never to be an officer, director, shareholder, employee or agent of, perform work for, or be affiliated with or receive any form of compensation, either directly or indirectly, from any Commission registrant.

PERK, GEORGE J., JR. -CFTC Docket No. 95-15
oooooooooooo

NFA-ID No. 0062924

-Prohibited from trading on all contract markets.

-Registration with the Commission as an associated person is suspended automatically until Perk shows to the satisfaction of the Commission that payment of the full amount of required restitution with interest thereon has been made.

PERLMUTTER, ALFRED -CFTC Docket No. 79-33
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

PESEK, MICHAEL J. -CFTC Docket No. 87-13
oooooooooooo

NFA-ID No. 0025910

CFTC-ID No. 0510231

-Prohibited from trading on or subject to the rules of any contract market.

PESKIN, MICHAEL R. -CFTC Docket No. 89-1(A)
oooooooooooo

NFA-ID No. 0037939

-Registration with the Commission as a commodity trading advisor and as an associated person are revoked.

-Prohibited from trading on or subject to the rules of any contract market.

PIERCE, STEPHEN ALAN -CFTC Docket No. 02-15 (continued)
oooooooooooooooooooo

*-Shall not misrepresent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

PIETSCH, EUGENE HAROLD, JR. -CFTC Docket No. 82-40
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to file an application for registration with the Commission in any capacity.

PLATONOFF, VICTOR -CFTC Docket No. 78-48
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

PLOSHNICK, GARY RODGER -CFTC Docket No. 84-23
oooooooooooooooooooo

a/k/a GARY BRUCE

-Registration as an associated person of a futures commission merchant revoked.

POLIVNICK, MARVIN JULIUS -CFTC Docket No. 81-25
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

POLLAK, HENRY A. -CFTC Docket No. 80-32
oooooooooooooooooooo

-Permanently prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking never to apply for registration with the Commission in any capacity.

POLLAK, HENRY A. & CO. -CFTC Docket No. 80-32
oooooooooooooooooooo

-Permanently prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking never to apply for registration with the Commission in any capacity.

POMERANTZ, MICHAEL S. -CFTC Docket No. 90-14
oooooooooooooooooooo

NFA-ID No. 0009803

CFTC-ID No. 0520173

POMERANTZ, MICHAEL S. -CFTC Docket No. 90-14 (continued)
oooooooooooooooooooo

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Registration with the Commission is revoked.

PRATT, RICHARD J. -CFTC Docket No. 78-42
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

PRECIOUS METALS ASSOCIATES, INC. -CFTC Docket No. 79-13
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

PRESTON, ANDREW W. -CFTC Docket No. 04-03
oooooooooooooooooooo

NFA-ID No. 0332741

*-Shall comply with the undertaking not to engage in any
activity which requires registration with the Commission as
an associated person of a CPO until Preston is registered as
an associated person of a CPO pursuant to Section 4k(2) of
the Act, 7 U.S.C. Section 6k(2).

PRINCETON COMMODITY CORP. -CFTC Docket No. 82-3
oooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

PROFESSIONAL MARKET BROKERAGE, INC -CFTC Docket No. 03-14
oooooooooooooooooooo

a/k/a USS ONLINE, INC. AN ILLINOIS CORP.

NFA-ID No. 0268415

*-Registration with the Commission as a futures commission
merchant is revoked.

PUGLIESE, MICHAEL -CFTC Docket No. 86-34
oooooooooooooooooooo

NFA-ID No. 0013063

CFTC-ID No. 0750560

-Registration as an associated person of a futures
commission merchant is revoked.

PUGLIESE, MICHAEL -CFTC Docket No. 86-34 (continued)
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

PULLEN, LARRY W. -CFTC Docket No. 89-20
oooooooooooooooooooo

NFA-ID No. 0178764

-Registration as an associated person of a futures commission merchant revoked.

PULLMAN, JAMES -CFTC Docket No. 76-20
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

PUNCERELLI, KENNETH J. -CFTC Docket No. 84-27
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

PYNE COMMODITIES CORP. -CFTC Docket No. 82-23
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a futures commission merchant revoked.

QUINN & COMPANY, INC. -CFTC Docket No. 83-41
oooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

QUINN, TERRANCE -CFTC Docket No. 83-41
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

QUITER, RICHARD J., II. -CFTC Docket No. 92-26
oooooooooooooooooooo

NFA-ID No. 0015635

-Comply with undertaking not to apply for registration with the Commission in any capacity at any time.

QUITER, RICHARD J., II. -CFTC Docket No. 92-26 (continued)
oooooooooooooooooooo

-Comply with undertaking not to act in any capacity as a futures commission merchant ("FCM") or a commodity pool operator ("CPO"), or as an agent of any person registered or required to be registered as an FCM or a CPO, or to otherwise act in any capacity which causes or requires him to accept or hold customer funds.

RADCLIFFE, MICHAEL VAN -CFTC Docket No. 02-04
oooooooooooooooooooo

NFA-ID No. 0307071

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including himself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication, the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

-Shall not apply for registration or seek exemption from registration with the Commission in any capacity nor engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9).

-Shall not act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14 (a)(9).

RAPAPORT, DAVID J. -CFTC Docket No. 84-31
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

REDDICK, CHARLES -CFTC Docket No. 76-20
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

REDDY, STEPHEN FRANCIS -CFTC Docket No. 92-19

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NFA-ID No. 0046079

-Prohibited from trading on or subject to the rules of any contract market for a period of ten (10) years through January 19, 2010.

-Registration with the Commission as a floor broker is revoked.

REEVES, THOMAS G. -CFTC Docket No. 95-15

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NFA-ID No. 0027585

-Prohibited from trading on all contract markets.

-Registration with the Commission as an associated person is suspended until Reeves shows to the satisfaction of the Commission that payment of the full amount of required restitution with interest thereon has been made.

REFLEX ASSET MANAGEMENT CORP. -CFTC Docket No. SD 99-8

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NFA-ID No. 0266576

-Registrations with the Commission as a commodity pool operator and a commodity trading advisor are revoked.

REHN, MARK E. -CFTC Docket No. 95-10

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NFA-ID No. 0215413

-Registration with the Commission as an associated person is revoked.

REIDY, WILLIAM J. -CFTC Docket No. 91-3

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NFA-ID No. 0064091

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through August 27, 2007.

REIS, SEYMOUR -CFTC Docket No. 90-25

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NFA-ID No. 0095285

CFTC-ID No. 1093022

-Registration with the Commission as an associated person be revoked.

REIS, SEYMOUR -CFTC Docket No. 90-25 (continued)
oooooooooooo

-Comply with undertaking not to seek registration with the Commission in any capacity or act in any capacity which requires registration with the Commission.

RELIANT GLOBAL MARKETS, LLC -CFTC Docket No. 03-12
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NFA-ID No. 0308582

- *-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse its trading privileges for a period of two(2) years through June 5, 2005.
- *-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided in Section 4.14(a)(9) of the Commission Regulations for a period of two (2) years through June 5, 2005.
- *-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided in Section 4.14(a)(9) of the Commission Regulations for a period of two (2) years through June 5, 2005.
- *-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission Regulations; provided that it may continue to act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration in trading foreign currency futures or options for retail customers for a period of two (2) years through June 5, 2005.

REPUBLIC NEW YORK SECURITIES CORPORATION -CFTC Docket No. 02-03
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NFA-ID No. 0246842

- Registrations with the Commission as a futures commission merchant and a commodity trading advisor are revoked.
- Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

REPUBLIC NEW YORK SECURITIES CORPORATION
oo

-CFTC Docket No. 02-03 (continued)

-Shall never act, directly or indirectly as a principal, officer or director of any person registered, exempted from registration or required to be registered with the Commission, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

-Shall never act, directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations.

REYNOLDS, RICKEY W. -CFTC Docket No. 87-4
oo

-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Never to trade a commodity interest account for any organization or for any person other than himself.

-Never to be an officer, director, shareholder, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

REYNOLDS, RICKEY W. -CFTC Docket No. 87-19
oo

-Comply with undertaking never to seek registration of any kind with either the Commission or with the National Futures Association.

-Comply with the undertaking never to trade a commodity interest account for any organization or for any person other than himself.

-Comply with undertaking never to be an officer, director, shareholder, or employee or agent of, perform work for, be associated with, or receive any form of compensation, either directly or indirectly, from any Commission registrant.

RHEE, ANDREW DAVID -CFTC Docket No. SD 99-8
oo

NFA-ID No. 0266577

-Registration with the Commission as an associated person is revoked.

RHOADES, DONALD -CFTC Docket No. 85-17
oooooooooooooooooooo

-Registrations as an associated person of a futures
commission merchant, a commodity pool operator and a
commodity trading advisor are revoked.

-Prohibited from trading on or subject to the rules of any
contract market other than for his own account, unless
registration is granted him by the Commission as an
associated person.

RICHARDS, THOMAS H. -CFTC Docket No. 95-12
oooooooooooooooooooo

NFA-ID No. 0218448

-Registration with the Commission as an associated person is
revoked.

-Comply with undertaking not to apply for registration with
the Commission in any capacity for a period of ten(10) years
through June 5, 2005.

RICHMAN, JEFF S. -CFTC Docket No. 92-23
oooooooooooooooooooo

NFA-ID No. 0195576

-Registration as an associated person revoked.

-Comply with undertaking never to seek registration with the
Commission in any capacity.

-Comply with undertaking never to be an officer, director,
principal, employee, or agent of any Commission registrant,
and never perform work for, be associated with, or receive,
either directly or indirectly, any form of compensation from
any Commission registrant.

RICHMAN, JEROME -CFTC Docket No. 78-12
oooooooooooooooooooo

a/k/a JEROME RICHMOND

-Registration as an associated person of a futures
commission merchant denied.

RICHTER, ALFRED ROBERT -CFTC Docket No. 81-12
oooooooooooooooooooo

-Application for registration as a commodity trading advisor
denied.

RIETZ, CHARLES -CFTC Docket No. 81-18
oooooooooooooooo

-Any registrations he holds with the Commission are revoked
and that he withdraw any and all applications pending with
the Commission.

RILEY, DANIEL P. -CFTC Docket No. SD 98-4
oooooooooooooooo

NFA-ID No. 0231667

-Application to become registered with the Commission as a
floor broker is denied.

RILEY, MARTIN J., JR. -CFTC Docket No. SD 93-10
oooooooooooooooo

NFA-ID No. 0194187

-Registration with the Commission as a floor broker revoked.

RILEY, THE EARL K. COMPANY -CFTC Docket No. 78-42
oooooooooooooooo

-Registration as a futures commission merchant revoked.

RISSE, ANDREW F. -CFTC Docket No. 78-5
oooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

RITTER, THOMAS H. -CFTC Docket No. 77-8
oooooooooooooooo

-Lapsed floor broker registration revoked and his pending
application for registration as a floor broker denied.

RITTER, THOMAS H. -CFTC Docket No. 80-11
oooooooooooooooo

-Lapsed floor broker registration revoked and his pending
application for registration as a floor broker denied.

RODGER & SPARKS, INC. -CFTC Docket No. SD 92-7
oooooooooooooooo

NFA-ID No. 0201912 ; 0089356

-Registration as an introducing broker revoked.

RODGER, REID L. -CFTC Docket No. SD 92-7
oooooooooooooooo

NFA-ID No. 0020546

-Registration as an associated person revoked.

RODIN, ALAN H. -CFTC Docket No. 76-2
oooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

RODRIGUEZ, ROBIN C. -CFTC Docket No. 95-9
oooooooooooo
NFA-ID No. 0048693

-Shall undertake to withdraw his registration as an
associated person, and to apply for registration as an
associated person except as an associated person of an
introducing broker.

-Shall undertake not to act in any capacity as a principal,
associated person, or as an, agent or officer of any person
and/or entity registered or required to be registered as an
futures commission merchant.

RODRIGUEZ, ROBIN C. -CFTC Docket No. 95-8
oooooooooooo
NFA-ID No. 0048693

-Shall undertake to withdraw his registration as an
associated person, and not to apply for registration as an
associated person except as an associated person of an
introducing broker.

-Shall undertake not to act in any capacity as a principal,
associated person, or as an agent or officer of any person
and/or entity registered or required to be registered as a
futures commission merchant.

ROEDER, JOYCE -CFTC Docket No. 00-06
oooooooooooo
a/k/a JOYCE VALDEZ

-Permanently prohibited from trading on or subject to the
rules of any contract market and all contract markets shall
refuse her trading privileges.

-Shall not apply for registration or seek exemption from
registration with the Commission in any capacity and engage
in any activity requiring such registration or exemption
from registration, except as provided for in Section
4.14(a)(9) of the Commission's Regulations, 17 C.F.R.
Section 4.14(a)(9)(2001), or act as a principal, agent,
officer or employee of any person registered, required to be
registered, or exempted from registration, unless such
exemption is pursuant to Section 4.14(a)(9) of the
Commission's Regulations, 17 C.F.R. Section
4.14(a)(9)(2001).

ROGERS, DAVID E. -CFTC Docket No. 80-3

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-Registration as a commodity trading advisor and a commodity pool operator revoked.

ROGERS, RICHARD S., JR. -CFTC Docket No. 89-7

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NFA-ID No. 0078210

CFTC-ID No. 0550944

-Comply with his undertakings not to henceforth seek registration with the Commission in any capacity or to act in the capacity of any classification of registrant under the Act, whether such action requires registration or not.

ROMERO, FRED A. -CFTC Docket No. 84-30

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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

ROSE, JAMES H. -CFTC Docket No. 79-49

oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

ROSEN, ALAN -CFTC Docket No. 80-15

oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

ROTHLIN, ROBERT M. -CFTC Docket No. 78-54

oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

ROTTMAN, SEYMOUR -CFTC Docket No. 78-43

oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

ROUSSO, DAVID LOUIS -CFTC Docket No. 91-3

oooooooooooooooooooo

NFA-ID No. 0049099

-Registration with the Commission as a floor broker is revoked.

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through August 27, 2007.

ROWELL, ARTHUR DOUGLAS -CFTC Docket No. 04-02

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NFA-ID No. 0336673

- *-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse all privileges for a period of two (2) years through October 14, 2005.
- *-Shall not engage in, control, or participate in any manner or affiliate in any way with any individual or entity which involves the solicitation, acceptance of orders, transmission of orders, advice relating to foreign currency futures or options, trading or execution of foreign currency futures contracts, options on foreign currency futures contracts, or options on foreign currency as a counterparty or for or on behalf of any person or entity for a period of two (2) years through October 14, 2005.
- *-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of two (2) years through October 14, 2005.
- *-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations for a period of two (2) years through October 14, 2005.
- *-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission's Regulations for a period of two (2) years through October 14, 2005.

RUBEL, ROBERT JACK -CFTC Docket No. 98-15

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NFA-ID No. 0241377 ; 0270132

-Registrations with the Commission as an associated person and as a commodity trading advisor under the name of Robert J. Rubel, C.T.A. d/b/a Mt. Olympus Trading are revoked.

RUDMAN, KEITH M. -CFTC Docket No. 89-5

oooooooooooooooooooo

NFA-ID No. 0083046

-Registration as a floor broker revoked.

RUROEDE, KARL F. -CFTC Docket No. 78-66
oooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

RYAN, JOHN HAWLEY -CFTC Docket No. 91-10 & SD 93-17
oooooooooooooooo
NFA-ID No. 0076228

-Registration as a floor broker is revoked.

-Application for registration with the Commission as a floor
trader is denied.

RYAN, ROBERT -CFTC Docket No. 02-02
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-Permanently prohibited from trading on or subject to the
rules of any registered entity, as that term is defined by
Section 1(a)(29) of the Act, and all registered entities
shall refuse him privileges.

-Shall never apply for registration or seek exemption from
registration with the Commission in any capacity, except as
provided for in Section 4.14(a)(9) of the Regulations, 17
C.F.R. Section 4.14(a)(9) (2001), and shall never engage in
any activity requiring such registration or exemption from
registration, except as provided for in Section 4.14(a)(9)
of the Regulations, or act as a principal, agent, officer or
employee of any person registered, exempted from
registration or required to be registered with the
Commission, except as provided for in Section 4.14(a)(9) of
the Regulations; this includes, but is not limited to
soliciting, accepting or receiving any funds, revenue, or
other property from any person, giving advice for
compensation, or soliciting prospective customers, related
to the purchase or sale of any commodity futures or options
on commodity futures contracts.

SAHAROFF, PAUL -CFTC Docket No. 78-48
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-Registration as an associated person of a futures
commission merchant revoked.

SALMON, HORACE G. -CFTC Docket No. 80-19
oooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

SALVAGE, MINDY S. -CFTC Docket No. 82-27
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

SAMEROFF, PHILIP A. -CFTC Docket No. 78-63
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

SAN FRANCISCO SUN HING BULLION LTD. -CFTC Docket No. 92-9
oo

-Prohibited from trading on or subject to the rules of any
designated contract market.

-Comply with its undertaking never to seek registration with
the Commission in any capacity.

SANDERS, CHARLES A. -CFTC Docket No. 83-40
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Comply with agreement not to seek registration with the
Commission or the National Futures Association in any
capacity.

SARABASA, KATHRYN IRION -CFTC Docket No. 97-8
oooooooooooooooooooo

NFA-ID No. 0224624

*-Shall not apply for registration or seek exemption from
registration with the Commission in any capacity for a
period of two (2) years through September 23, 2005.

*-Shall not engage in any activity requiring registration or
exemption from registration, except as provided for in
Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R.
Section 4.14(a)(9) for a period of two (2) years through
September 23, 2005.

SARMAD, SYED -CFTC Docket No. 84-39
oooooooooooo

-Registration as an associated person of a futures
commission merchant denied.

SARMIENTO, HENRY -CFTC Docket No. 78-18
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

SARNOFF, PAUL -CFTC Docket No. 88-32

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NFA-ID No. 0038434

CFTC-ID No. 0569054

-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 permanently refuse Sarnoff trading privileges.

-Comply with undertaking never to seek registration with the Commission in any capacity.

SAVAGE, JACK W. -CFTC Docket No. 76-1

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-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

SAVAGE, JACK W. -CFTC Docket No. 76-20

oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

SAVAGE, JACK W. -CFTC Docket No. 82-23

oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as a commodity trading advisor denied.

SAVICZ, JERRY L. -CFTC Docket No. 88-18

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NFA-ID No. 0072288

CFTC-ID No. 0570251

-Registration as an associated person of a futures commission merchant revoked.

SAVILLE, HERSCHELL -CFTC Docket No. 78-31

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-Registration as an associated person of a futures commission merchant revoked.

SAVILLE, HERSCHELL -CFTC Docket No. 78-55

oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

SAVILLE, HERSCHELL -CFTC Docket No. 79-48

oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

SAWYER, STEVEN J. -CFTC Docket No. 83-18

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NFA-ID No. 0034326

CFTC-ID No. 0570506

-Prohibited from trading on or subject to the rules of any
contract market and all contract markets shall refuse him
all trading privileges thereon.

SAWYER, STEVEN LEE -CFTC Docket No. 79-37

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-Registration as an associated person of a futures
commission merchant revoked.

SAXENA, SANJAY -CFTC Docket No. SD 96-11

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NFA-ID No. 0258706

-Registration with the Commission as an associated person is
revoked.

SBARBATI, VINCENT J. -CFTC Docket No. 77-7

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-Application for registration as an associated person of a
futures commission merchant denied.

SCHAEFFER, EUGENE E., JR. -CFTC Docket No. 76-5

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-Registration as an associated person of a futures
commission merchant denied.

SCHECK, DANNY L. -CFTC Docket No. 92-11 & SD 93-13

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NFA-ID No. 0032904

-Application for registration with the Commission as a floor
trader is denied.

SCHIERL, R. GARY -CFTC Docket No. 87-18

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-Prohibited from trading on or subject to the rules of any
contract market.

SCHILLACI, ROBERT L. -CFTC Docket No. SD 89-1

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NFA-ID No. 0079595

CFTC-ID No. 0574091

-Registration as a floor broker revoked.

SCHILLACI, ROBERT L. -CFTC Docket No. SD 95-3

oooooooooooooooooooo

NFA-ID No. 0079595

-Application for registration as a floor broker is denied.

SCHILLER, RONALD M. -CFTC Docket No. 96-4

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NFA-ID No. 0066120

*-Shall be prohibited from trading on the floor of any exchange 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 his floor trading privileges thereon; provided, however, he shall be permitted to trade off the floor, including electronically, of any contract market for his own account, including as a member, if duly admitted.

*-Registration with the Commission as a floor broker is revoked.

SCHLEICHER, DONALD R. -CFTC Docket No. 86-6

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NFA-ID No. 0013268

CFTC-ID No. 0574635

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertakings never henceforth to seek registration with the Commission in any capacity, never henceforth to act in the capacity of any classification of registrant under the Act, whether such action requires registration or not, and never to be officers, directors, or employees of any Commission registrant.

SCHLEICHER, RICHARD A. -CFTC Docket No. 86-6

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NFA-ID No. 0015678

CFTC-ID No. 0574641

-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertakings never henceforth to seek registration with the Commission in any capacity, never henceforth to act in the capacity of any classification of registrant under to Act, whether such action requires registration or not, and never to be officers, directors, or employees of any Commission registrant.

SCHMIDT, STEPHEN A. -CFTC Docket No. 02-10

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NFA-ID No. 0320495

-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by users, including themselves, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

SCHNEIDER, SHELDON H. -CFTC Docket No. 91-9

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NFA-ID No. 0084733

-Registration with the Commission as a floor broker is revoked.

-Permanently 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 all trading privileges.

SCHNEIDER, SHELDON H. -CFTC Docket No. SD 93-12

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NFA-ID No. 0084733

-Comply with his undertaking to withdraw his application for registration as a floor trader.

SCHONDORF, JEFFREY -CFTC Docket No. 93-6

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NFA-ID No. 0015390

-Registration with the Commission as a floor broker revoked.

-Comply with undertaking never to seek registration with the Commission as a floor broker and never engage in any activity requiring such registration.

SCHRIEBER, CLAUS-PETER F. -CFTC Docket No. 78-8

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-Registration as an associated person of a futures commission merchant denied.

SCHRIEBER, NORMAN -CFTC Docket No. 78-18
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

SCHWARTZ, MARK S. -CFTC Docket No. 88-26
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NFA-ID No. 0080591
CFTC-ID No. 0581147

-Prohibited from trading on or subject to the rules of any contract market.

-Comply with undertaking never to again apply for registration or for an exemption from registration, with the Commission in any capacity.

SCOTT, CHARLES DENNIS -CFTC Docket No. 88-13
oooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

SCOTT, PETER JAMES -CFTC Docket No. SD 02-03
oooooooooooooooooooo

NFA-ID No. 0307333

-Registration with the Commission as an associated person is revoked.

SCOTT, RONALD GEORGE -CFTC Docket No. 01-09
oooooooooooooooooooo

NFA-ID No. 0030376

- *-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).
- *-Shall never act as a principal, employee, agent or officer of any person registered, exempted from registration or required to be registered with the Commission, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).
- *-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.
- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission.

SCOTT, RONALD GEORGE -CFTC Docket No. 01-09 (continued)
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*-Registration with the Commission as an associated person is
revoked.

*-Prohibited from trading on or subject to the rules of any
registered entity, and all registered entities shall refuse
him all privileges.

SCUDIERO, ANDREW -CFTC Docket No. 97-5
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NFA-ID No. 0265948

-Prohibited from trading on or subject to the rules of any
designated contract market for a period of five(5) years
through February 10, 2004.

SECURITIES AND COMMODITIES CORP. -CFTC Docket No. 89-26
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NFA-ID No. 0002287
CFTC-ID No. 0029874

-Comply with undertaking not to apply for registration, or
exemption from registration with the Commission in any
capacity, and not to engage in any activity which would
require such registration or exemption from registration.

-Prohibited from trading on or subject to the rules of any
contract market.

SELECT SECTOR RESEARCH & MANAGEMENT, INC.
oooooooooooooooooooo

-CFTC Docket No. SD 96-11

NFA-ID No. 0258704

-Registrations with the Commission as a commodity trading
advisor and a commodity pool operator are revoked.

SEMEL & COMPANY -CFTC Docket No. 91-7
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NFA-ID No. 0227864

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

-Prohibited from trading for its own account or for any
account in which it has a direct or indirect interest, and
all contract markets shall refuse trading privileges.

SEMEL, PRESTON -CFTC Docket No. 91-7
oooooooooooo

NFA-ID No. 0014703

-Registration as a floor broker revoked.

-Comply with undertaking never to apply for registration
with the Commission in any capacity.

SERFLING & ASSOCIATES, INC. -CFTC Docket No. 90-24
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NFA-ID No. 0090451

CFTC-ID No. 1020457

-Prohibited from trading on or subject to the rules of any
contract market.

SERFLING, SCOTT R. -CFTC Docket No. 90-24
oooooooooooo

NFA-ID No. 0081413

CFTC-ID No. 0778479

-Prohibited from trading on or subject to the rules of any
contract market.

SETO, ROBERT G. -CFTC Docket No. 91-7
oooooooooooo

NFA-ID No. 0193643

-Registration as a floor broker revoked.

SHACKETT, ALAN J. -CFTC Docket No. 78-39
oooooooooooo

-Prohibited from trading on or subject to the rules of any
contract market.

-Registration as an associated person of a futures
commission merchant revoked.

SHANER TRADING PARTNERS, INC. -CFTC Docket No. SD 97-8
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NFA-ID No. 0230216

-Registrations with the Commission as an introducing broker
and a commodity pool operator are revoked.

SHANER, MARK STEPHEN -CFTC Docket No. SD 97-8
oooooooooooo

NFA-ID No. 0203455

-Registration with the Commission as an associated person is
revoked.

SHATNER, DONALD G. -CFTC Docket No. 85-30

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a/k/a DONALD G. CRUMB

-Prohibited from trading on or subject to the rules of any contract market.

SHB COMMODITIES, INC. -CFTC Docket No. 92-21

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NFA-ID No. 0090363

-Registration with the Commission as a futures commission merchant is revoked.

-Permanently prohibited from trading on or subject to the rules of any contract market.

SHEEHAN, MICHAEL E. -CFTC Docket No. 78-26

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-Application for registration as an associated person of a futures commission merchant denied.

SHELTON, HOPE S. -CFTC Docket No. 88-23

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NFA-ID No. 0048685

-Registration as an associated person revoked.

SHERGIN, WALTER -CFTC Docket No. 78-48

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-Registration as an associated person of a futures commission merchant revoked.

SHORE, LON W. -CFTC Docket No. 78-38

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-Registration as an associated person of a futures commission merchant denied.

SHUNG, LEUNG KA -CFTC Docket No. 98-1

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a/k/a STEPHEN LEUNG, STEPHEN LAING, STEPHEN LIANG

-Permanently prohibited from trading on or subject to the rules of any contract market.

SHUSTER, MICHAEL -CFTC Docket No. 82-36

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-Registration as an associated person of a futures commission merchant denied.

SIEGEL, DAVID -CFTC Docket No. 80-20
oooooooooooo

-Respondent shall never apply for registration with the Commission in any capacity, either individually or on behalf of any corporation, partnership, or other entity.

-Refused registration with the Commission as an associated person of a futures commission merchant.

SIGLER, MITCHELL J. -CFTC Docket No. 86-33
oooooooooooo

NFA-ID No. 0030119

-Registration as an associated person of a futures commission merchant revoked.

SILVERMAN, JEFFREY L. -CFTC Docket No. 76-18
oooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

SILVERS, MEL -CFTC Docket No. 94-9
oooooooooooo

NFA-ID No. 0057883

-Registration as an associated person is revoked.

-Comply with undertaking never to seek registration with the Commission in any capacity or to act in any capacity which requires registration with the Commission.

SINGER, MARK LEE -CFTC Docket No. 97-4
oooooooooooo

NFA-ID No. 0205059

-Registration with the Commission as an associated person is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse him trading privileges.

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

SINGER, MICHAEL E. -CFTC Docket No. 93-2
oooooooooooooooooooo

NFA-ID No. 0015887 ; 0015887

-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 September 12, 2004.

-Shall liquidate all futures and options positions held by him or on his behalf, or in which he has any beneficial interest, before the commencement of the denial of his trading privileges.

-Registration with the Commission as a floor broker is revoked.

-Shall not apply for registration, or claim exemption from registration with the Commission, or act in any capacity requiring registration, or exemption from registration with the Commission.

SITZMANN COMMODITIES, INC -CFTC Docket No. 96-5
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NFA-ID No. 0087164

-Registration with the Commission as an introducing broker is revoked.

SITZMANN, DAVID EDWARD -CFTC Docket No. 96-5
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NFA-ID No. 0053632

-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges.

-Registration with the Commission as an associated person is revoked.

SITZMANN, MARK JOSEPH -CFTC Docket No. 96-5
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NFA-ID No. 0089464

-Prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten(10) years through March 16, 2007.

SITZMANN, MARK JOSEPH -CFTC Docket No. 96-5 (continued)
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-Shall comply with the undertaking not to apply for registration with the Commission in any capacity and never to engage in any activity requiring such registration, or act as an agent or officer of any person registered or required to be registered with the Commission.

SK'S FOREX INTERNATIONAL, INC. -CFTC Docket No. 03-06
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NFA-ID No. 0327513

- *-Shall not engage in, control, or participate in any manner in the solicitation, trading, transmission or execution of commodity futures contracts, options on commodity futures contracts, or options on foreign currency as a counterparty or for or on behalf of any person or entity.
- *-Shall not apply for registration, seek exemption from registration, engage in any activity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations.
- *-Shall not act in any capacity or affiliate in any way with any individual or entity that is registered, is required to be registered, or is exempt from registration with the Commission, except as provided for in Section 4.14(a)(9) of the Commission's Regulations.
- *-Shall not act in any capacity requiring registration with the Commission or exempt from registration, except as provided in Section 4.14(a)(9) of the Commission's Regulations.
- *-Prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse its privileges thereon.

SKRABLE, MICHAEL RALPH -CFTC Docket No. 01-01
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NFA-ID No. 0234369

-Prohibited from trading on or subject to the rules of any registered entity as that term is defined by Section 1(a)(29) of the Act, and all registered entities shall refuse him trading privileges for a period of two (2) years and six(6) months through January 25, 2005.

SKRABLE, MICHAEL RALPH -CFTC Docket No. 01-01 (continued)
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-Shall not apply for registration or seek exemption from registration with the Commission in any capacity, and shall not engage in any capacity requiring registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14 (a)(9) (2001) for a period of five (5) years through July 25, 2007.

-Shall not act, directly or indirectly as a principal, agent, officer or employee of any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Commission Regulation Section 4.14(a)(9) for a period of five (5) years through July 25, 2007.

SKRODZKI, DAVID J. -CFTC Docket No. 89-17
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NFA-ID No. 0063425

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

SLEDZ, BRIAN E. -CFTC Docket No. 89-18
oooooooooooooooooooo

NFA-ID No. 0084963

CFTC-ID No. 0924333

-Registration as a floor broker revoked.

-Comply with undertaking not to seek registration with the Commission in any capacity.

SLEDZ, JAMES G. -CFTC Docket No. 89-19
oooooooooooooooooooo

NFA-ID No. 0224599

-Comply with undertaking not to seek registration with the Commission in any capacity.

SLUSSER, JERRY W. -CFTC Docket No. 94-14
oooooooooooooooooooo

NFA-ID No. 0225612

-Permanently prohibited from trading on or subject to the rules of any contract market.

-Registration with the Commission as an associated person is revoked.

SMALL, LEANDER M. -CFTC Docket No. 78-43
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-Registration as an associated person of a futures
commission merchant revoked.

SMITH, GEORGE C. -CFTC Docket No. 93-26
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NFA-ID No. 0000221

-Registrations with the Commission as a commodity trading
advisor and as a commodity pool operator are revoked.

-Comply with undertaking not to reapply for registration
with the Commission in any capacity.

SMITH, MICHAEL DAVID -CFTC Docket No. 93-9
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NFA-ID No. 0026490

-Registration with the Commission as a floor broker is
revoked.

SOCHA, RICHARD S. -CFTC Docket No. 83-40
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-Registrations as a commodity pool operator, commodity
trading advisor and associated person revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

SONNENBERG, JAMES J. -CFTC Docket No. SD 88-2
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-Registration as floor broker revoked.

SORKIN, HAROLD -CFTC Docket No. 84-29
oooooooooooooooooooo

a/k/a INTERNATIONAL DYNAMICS, INC., HAROLD
SORKIN AGENCY

-Prohibited from trading on or subject to the rules of any
contract market.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

SORKVIST, JOHN WESLEY -CFTC Docket No. 92-19
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NFA-ID No. 0005360

-Registration with the Commission as a floor broker is
revoked.

SORKVIST, JOHN WESLEY -CFTC Docket No. 92-19 (continued)
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-Prohibited from trading on or subject to the rules of any contract market for a period of five (5) years through January 19, 2005.

SPECTRA, LTD. -CFTC Docket No. 84-29
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

SPIEGEL, ROY D. -CFTC Docket No. 85-19
oooooooooooooooooooo

-Registration in any capacity be revoked.

SPINNER, DAVID H. -CFTC Docket No. 91-18
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NFA-ID No. 0088802
CFTC-ID No. 1053014

-Comply with undertaking set forth in Part III of his offer not to seek registration with the Commission in any capacity, and not to engage in any activity which would require such registration.

-Registration as an associated person of a futures commission merchant is revoked.

SPINNER, STEVEN A. -CFTC Docket No. 91-18
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NFA-ID No. 0013316
CFTC-ID No. 0905692

-Comply with undertaking set forth in Part III of his offer not to seek registration with the Commission in any capacity and not to engage in any activity which would require such registration.

-Registration as an associated person of a futures commission merchant is revoked.

SPITZER, RALPH -CFTC Docket No. 79-42
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

STABILE, JOSEPH M. -CFTC Docket No. 77-8
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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

STABILE, JOSEPH M. -CFTC Docket No. 80-11
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

STEIGERWALD, TONY W. -CFTC Docket No. 90-25
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NFA-ID No. 0021163
CFTC-ID No. 0821812

-Comply with undertaking not to seek registration with the
Commission in any capacity or act in any capacity which
requires registration with the Commission.

STEIN, MURRAY L. -CFTC Docket No. 89-23
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NFA-ID No. 0176153

-Registration with the Commission as an associated person be
permanently revoked.

STEINER, JOEL -CFTC Docket No. 89-21
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NFA-ID No. 0221322

-Prohibited from trading on or subject to the rules of any
contract market.

-Comply with the undertaking never to seek registration with
the Commission in any capacity and never to be an officer,
director, shareholder, employee or agent of, to perform work
for, to be associated with, or to receive any form of
compensation from, either directly or indirectly, any
Commission registrant.

STEINER, LESLIE -CFTC Docket No. 89-21
oooooooooooooooooooo

NFA-ID No. 0225741

-Prohibited from trading on or subject to the rules of any
contract market.

-Comply with undertaking never to seek registration with the
Commission in any capacity and never to be an officer,
director, shareholder, employee or agent of, to perform work
for, to be associated with, or to receive any form of
compensation from, either directly or indirectly, any
Commission registrant.

STEINERT, STEVEN I. -CFTC Docket No. 84-30
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

STENBERG, JOHN RANDLE -CFTC Docket No. 03-01
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NFA-ID No. 0094045

-Shall not misrepresent, expressly or by implication the
performance, profits or results achieved by, or the results
that can be achieved by, users, including himself, of any
commodity futures or options trading system or advisory
service.

-Shall not misrepresent, expressly or by implication the
risks associated with trading pursuant to any commodity
futures or options trading system or advisory service.

STEPHENS, E. DAVID COMMODITIES CORP. -CFTC Docket No. 91-18
oooooooooooooooooooo

NFA-ID No. 0086898

-Comply with undertaking set forth in Part III of its offer
not to seek registration with the Commission in any capacity
and not to engage in any activity which would require such
registration.

-Registration as an introducing broker and a commodity pool
operator are revoked.

STEPHENS, WILLIAM M. -CFTC Docket No. SD 00-04
oooooooooooooooooooo

NFA-ID No. 0291188

-Registration with the Commission as an associated person is
suspended until disposition of the charges against him in
the indictment or until the suspension is terminated before
such disposition by the Commission.

STERLING INVESTMENTS OF AMERICA A/K/A STERLING INVESTMENTS
oooooooooooooooooooo

-CFTC Docket No. 98-9

NFA-ID No. 0257300

-Permanently prohibited from trading on or subject to the
rules of any contract market and all contract market shall
refuse trading privileges.

STERLING INVESTMENTS OF AMERICA, INC. AN OREGON CORPORATION
oo

-CFTC Docket No. 98-9

NFA-ID No. 0257299

-Registration with the Commission as an introducing broker
is revoked.

-Permanently prohibited from trading on or subject to the
rules of any contract market and all contract markets shall
refuse trading priveleges.

STERLING INVESTMENTS OF AMERICA, INC., A FLORIDA CORPORATION
oo

-CFTC Docket No. 98-9

NFA-ID No. 0252354

-Registration with the Commission as an introducing broker
is revoked.

-Permanently prohibited from trading on or subject to the
rules of any contract market and all contract markets shall
refuse trading privileges.

STEVENS, RAUL P. -CFTC Docket No. SD 85-1
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-Registration as an associated person of a futures
commission merchant denied.

STEWART, G. & ASSOCIATES, INC. -CFTC Docket No. 78-43
oooooooooooooooooooooooooooo

-Registration as a commodity pool operator revoked.

STEWART, MICHAEL -CFTC Docket No. 00-06
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-Shall not apply for registration or seek exemption from
registration with the Commission in any capacity and engage
in any activity requiring such registration or exemption
from registration, except as provided for in Section
4.14(a)(9) of the Commission's Regulations, 17 C.F.R Section
4.14(a)(9)(2001), or act as a principal, agent, officer or
employee of any person registered, required to be
registered, or exempted from registration, unless such
exemption is pursuant to Section 4.14(a)(9) of the
Commission's Regulations, 17 C.F.R Section 4.14(a)(9)(2001).

STOTLER AND COMPANY -CFTC Docket No. 90-18
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NFA-ID No. 0000853

CFTC-ID No. 0031881

STOTLER AND COMPANY -CFTC Docket No. 90-18 (continued)
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-Prohibited from trading on or subject to the rules of any contract market.

-All current registrations shall be revoked.

STOUT, LAWRENCE WAYNE -CFTC Docket No. 81-4
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-Application for registration as an associated person of a futures commission merchant denied.

STOVALL & STOVALL, INC. -CFTC Docket No. 75-7
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

STOVALL, RAWLIN L. -CFTC Docket No. 75-7
oooooooooooooooooooo

-Registration as a floor broker revoked.

STRULLE, RONALD H. -CFTC Docket No. 80-13
oooooooooooooooooooo

a/k/a RONALD H. DESTRULLE

-Registration as an associated person of a futures commission merchant revoked.

SUBA, THOMAS -CFTC Docket No. 83-4
oooooooooooo

-Prohibited from trading on or subject to the rules of any contract market.

SUN HING BULLION INVESTMENT LTD. -CFTC Docket No. 92-9
oooooooooooooooooooooooooooooooooooo

-Prohibited from trading on or subject to the rules of any designated contract market.

-Comply with its undertaking never to seek registration with the Commission in any capacity.

SUNDHEIMER, STEPHEN M. -CFTC Docket No. 79-22
oooooooooooooooooooo

-Registration as a floor broker revoked.

SUTER, RICHARD W. -CFTC Docket No. 80-24
oooooooooooooooooooo

-Registration as a commodity trading advisor revoked.

SUTTON ROSS & ASSOCIATES, INC. -CFTC Docket No. 82-22
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-Registration as a commodity trading advisor and a commodity pool operator revoked and is prohibited from registering with the Commission in any capacity.

SVAGDIS, EDWARD J. -CFTC Docket No. 82-1
oooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited permanently from trading on or subject to the rules of any contract market.

SWANNELL, RICHARD -CFTC Docket No. 00-28
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-Shall not misrepresent or represent, expressly or by implication the performance, profits or results achieved by, or the results that can be achieved by, users, including him/herself, of any commodity futures or options trading system or advisory service.

-Shall not misrepresent or represent, expressly or by implication the risks associated with trading pursuant to any commodity futures or options trading system or advisory service.

-Prohibited from trading on all contract markets until Swannell shows to the satisfaction of the Commission that payment of the full amount of the civil penalty with interest thereon to the date of payment has been made.

SWARTZLANDER, PHILIP J. -CFTC Docket No. 83-57
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-Prohibited from trading on or subject to the rules of any contract market for twenty(20) years, through June 4, 2004.

SWEENEY & ASSOCIATES -CFTC Docket No. 82-19
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Prohibited from trading on or subject to the rules of any contract market.

SWEENEY, JAMES J. -CFTC Docket No. 82-19
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-Prohibited from trading on or subject to the rules of any contract market.

SYSTEMS OF SUCCESS-WINDOW TO PROFIT -CFTC Docket No. 00-27
oooooooooooooooooooooooooooooooooooo

-Permanently prohibited from trading on or subject to the rules of any registered entity and all registered entities shall refuse all privileges thereon.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity and shall never engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

-Shall never act as a principal, agent, officer or employee of any person registered, required to be registered, or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations, 17 C.F.R. Section 4.14(a)(9) (2001).

SZACH, SCOTT N. -CFTC Docket No. 01-05
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-Permanently prohibited from trading on or subject to the rules of any contract market and all contract markets shall refuse him trading privileges for a period of ten (10) years through January 28, 2011.

-Shall be permanently prohibited from practicing before the Commission pursuant to Commission Regulation 14.8, 17 C.F.R. 14.8.

-Shall liquidate all futures and options held by him or on his behalf, or in which he has any beneficial interest, before commencement of the denial of his trading privileges.

-Shall never apply for registration or seek exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, except as provided for in Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

-Shall never act, directly or indirectly as a principal, officer or director of any person registered, exempted from registration or required to be registered with the Commission, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission Regulations, 17 C.F.R. Section 4.14(a)(9).

-Shall never act, directly or indirectly, in a supervisory capacity over any person employed by any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations.

SZACH, SCOTT N. -CFTC Docket No. 01-05 (continued)
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-Shall be prohibited from being employed, directly or indirectly and in any capacity, with any person registered, required to be registered or exempted from registration, unless such exemption is pursuant to Section 4.14(a)(9) of the Commission's Regulations for a period of ten (10) years through January 7, 2011.

-Shall never apply to the Commission for reinstatement pursuant to Commission Regulation 14.10, 17 C.F.R. Section 14.10.

T & D MANAGEMENT COMPANY -CFTC Docket No. 82-12
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-Registration as a commodity trading advisor and a commodity pool operator revoked.

-Respondent shall not seek registration at any time in the future in any capacity.

TAN, DENNIS K. -CFTC Docket No. 88-31
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-Registration as an associated person of a futures commission merchant revoked.

-Comply with undertaking not to apply for registration with the Commission or the National Futures Association in any capacity at any time in the future.

-Comply with undertaking never again to become a principal of any entity that is required to be registered in any capacity under the Act.

-Prohibited from trading on or subject to the rules of any contract market.

TARA SECURITIES, INC. -CFTC Docket No. 89-21
oooooooooooooooooooo

a/k/a FINANCIAL TRADING GROUP

NFA-ID No. 0177594

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an introducing broker revoked.

TAYLOR COMMODITIES CORP. -CFTC Docket No. 79-19
oooooooooooooooooooo

-Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator revoked.

-Shall not seek registration with the Commission in any capacity.

TAYLOR, RICHARD J. -CFTC Docket No. 79-19
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

-Shall not seek registration with the Commission in any capacity.

TAYLOR, WILLIAM H. -CFTC Docket No. 01-23
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NFA-ID No. 0028864

*-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 for a period of thirty (30) months through March 30, 2006.

TECHNO TRADING SYSTEMS, INC. -CFTC Docket No. 95-8
oooooooooooooooooooo

NFA-ID No. 0227116

-Registration with the Commission as an introducing broker is revoked.

TEMPLE, SHAWN P. -CFTC Docket No. 90-24
oooooooooooooooooooo

NFA-ID No. 0218977

-Prohibited from trading on or subject to the rules of any contract market.

THALER, ELLIOT -CFTC Docket No. 89-6
oooooooooooooooooooo

NFA-ID No. 0077846

CFTC-ID No. 0954259

-Registration as a person associated with a futures commission merchant is revoked.

-Prohibited from trading on or subject to the rules of any contract market.

THOMAS, ALBERT W. -CFTC Docket No. 90-32
oooooooooooooooooooo

NFA-ID No. 0006538 ; 0090503

-Registration as an associated person revoked.

-Comply with undertaking to withdraw as principal of any
entity registered under the Act.

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

NFA-ID No. 0197960

-Registration with the Commission as an associated person is
revoked.

THOMAS, RIAN A. -CFTC Docket No. 85-10
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-Registration as an associated person of a futures
commission merchant revoked.

THOMAS, TODD ALAN -CFTC Docket No. 98-13
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NFA-ID No. 0225041

-Registration with the Commission as an associated person is
revoked.

-Prohibited from trading on or subject to the rules of any
contract market, and all contract markets shall refuse him
trading privileges.

-Shall never apply for registration or claim exemption from
registration with the Commission in any capacity, and shall
never engage in any activity requiring such registration or
exemption from registration, or act as a principal, agent or
officer of any person registered, exempted from registration
or required to be registered with the Commission.

THOMPSON, R.B. ASSOCIATES, INC. -CFTC Docket No. 82-25
oooooooooooooooooooo

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

-Shall not seek registration with the Commission in any
capacity.

THOMPSON, RICHARD B. -CFTC Docket No. 82-25
oooooooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Shall not seek registration with the Commission in any
capacity.

THOMSON, ALAN DOUGLAS -CFTC Docket No. 80-15

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a/k/a DOUGLAS E. THOMPSON

-Prohibited from trading on or subject to the rules of any contract market.

-Registration as an associated person of a futures commission merchant revoked.

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

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NFA-ID No. 0246337

*-Prohibited from executing trades for customers on or subject to the rules of any contract market for a period of three (3) years through August 26, 2006.

*-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 August 26, 2004.

*-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 August 26, 2004.

THREE EIGHT CORPORATION -CFTC Docket No. 88-33

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-Prohibited from trading on or subject to the rules of any contract market.

THYSSEN, ELIZABETH ALEXANDRE -CFTC Docket No. 83-19

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-Prohibited from trading on or subject to the rules of any contract market.

TIERNEY, DONALD D. -CFTC Docket No. 81-6

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-Registration as a floor broker denied.

TIPTON, CARL M., JR. -CFTC Docket No. 77-17

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-Application for registration as an associated person of a futures commission merchant denied.

TMI COMMODITIES -CFTC Docket No. 80-22
oooooooooooooooooooo

-Registration as a futures commission merchant revoked.

TORRES, RAFAEL D. -CFTC Docket No. 78-13
oooooooooooooooooooo

a/k/a ZAPATA RAFAEL

-Registration as an associated person of a futures
commission merchant denied.

TRADEWINS PUBLISHING, CORP. -CFTC Docket No. 02-10
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-Shall not misrepresent or represent, expressly or by
implication the performance, profits or results achieved by,
or the results that can be achieved by, users, including
themselves, of any commodity futures or options trading
system or advisory service.

-Shall not misrepresent or represent, expressly or by
implication the risks associated with trading pursuant to
any commodity futures or options trading system or advisory
service.

TRADING RESOURCES, INC. -CFTC Docket No. 92-24
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NFA-ID No. 0183596

-Registration as a commodity pool operator and a futures
commission merchant revoked.

-Comply with undertaking never to apply for registration
with the Commission in any capacity and never to engage in
any activity requiring such registration.

-Prohibited from trading on or subject to the rules of any
contract market.

TREAT, EDWIN FRANCIS -CFTC Docket No. 78-17
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-Registration as an associated person of a futures
commission merchant denied.

TRENDSYSTEMS, INC. -CFTC Docket No. SD 01-02
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NFA-ID No. 0289823

-Registration with the Commission as a commodity trading
advisor is revoked.

TRITISCH, GARY A. -CFTC Docket No. 79-58
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-Registration as an associated person of a futures
commission merchant revoked.

TRUEBA, CARLOS T. -CFTC Docket No. 78-15
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-Application for registration as an associated person of a
futures commission merchant denied.

TSANTES, HARRY A. -CFTC Docket No. 88-1
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-Registration as an associated person of a futures
commission merchant revoked.

TSUI, ALLEN -CFTC Docket No. 98-10
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NFA-ID No. 0276163

-Registration with the Commission as an associated person is
revoked.

-Shall undertake not to seek registration in any capacity
under the Act and acting in any capacity for which
registration with the Commission is required under the Act.

TUKEY, THOMAS -CFTC Docket No. 80-15
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-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

TULIG, DANIEL F. -CFTC Docket No. 89-11
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NFA-ID No. 0030716
CFTC-ID No. 0655796

-Registration as an associated person is revoked.

-Comply with undertaking never to seek registration, or
exemption from registration, with the Commission in any
capacity, and never to engage in any activity which would
require such registration.

-Prohibited from trading on or subject to the rules of any
contract market.

TURKISH, NORMAN -CFTC Docket No. 80-5
oooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

TYLER, DEAN -CFTC Docket No. 90-31
oooooooooooo

NFA-ID No. 0194154

-Comply with the undertakings never to seek registration
with the Commission in any capacity and shall never engage
in any activity which would require such registration and
shall never appear on or about the trading floor of any
contract market during trading hours.

VALENTINE, DAVID -CFTC Docket No. 84-23
oooooooooooooooo

-Registration as an associated person of a futures
commission merchant revoked.

VALK, VINCENT -CFTC Docket No. 85-23
oooooooooooo

-Registration as a commodity trading advisor revoked.

VAN NICE, NICK -CFTC Docket No. 00-34
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-Shall immediately comply with the undertaking that, while
acting as an officer, director and/or principal of CTS, he
shall implement procedures reasonably designed to ensure
that CTS complies with each of its undertakings set forth in
the Commission's Order dated July 5, 2001.

VAN OVERMEER, ROBERT J. -CFTC Docket No. 80-12
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-Registration as an associated person of a futures
commission merchant revoked.

VARNER, MICHAEL HUNTER -CFTC Docket No. 01-08
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NFA-ID No. 0097187

*-Prohibited from trading for any customer account, on or
subject to the rules of any registered entity as that term
is defined by Section 1(a)(29) of the Act, as amended, and
all registered entities shall refuse him such privileges for
a period of five (5) years through June 29, 2008.

*-Shall not apply for registration in any capacity with the
Commission for a period of five (5) years through June 29,
2008.

VARNER, MICHAEL HUNTER -CFTC Docket No. SD 02-02

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NFA-ID No. 0097187

-Registration with the Commission as a floor broker is
revoked.

VAZQUEZ, MITCHELL ANTHONY -CFTC Docket No. 02-07

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NFA-ID No. 0281669

-Shall not apply for registration, seek exemption from
registration, engage in any activity requiring registration
or exemption from registration, except as provided for in
Section 4.14 (a)(9) of the Commission's Regulations for a
period of five (5) years through February 26, 2007.

-Shall not act in any capacity or affiliate in any way with
any individual or entity that is registered, is required to
be registered, or is exempt from registration with the
Commission, except as provided for in Section 4.14(a)(9) of
the Commission's Regulations for a period of five (5) years
through February 26, 2007.

-Shall not act in any capacity requiring registration with
the Commission or exempt from registration, except as
provided in Section 4.14(a)(9) of the Commission's
Regulations for a period of five (5) years through February
26, 2007.

VELISSARIS, GEORGE WILLIAM -CFTC Docket No. 00-02

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NFA-ID No. 0175062

-Shall liquidate all futures and options held by him or on
his behalf, or in which he has any beneficial interest,
before commencement of the denial of his trading privileges.

-Shall never apply for registration or seek exemption from
registration with the Commission in any capacity, and shall
never engage in any activity requiring such registration or
exemption from registration, or act as an agent or officer
of any person registered, exempted from registration or
required to be registered with the Commission.

VENDITELLI, CHARLES -CFTC Docket No. 80-32

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-Registration as a floor broker revoked.

-Prohibited from trading for his own account, or any agent
to representative of any other person or firm, or through
any person or firm owned or controlled by him on or subject
to the rules of any contract market.

VERCILLO, JOHN ANTHONY -CFTC Docket No. 91-8 & SD 93-11
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NFA-ID No. 0023289

- Registration as a floor broker is revoked.
- Application for registration with the Commission as a floor trader is denied.
- Permanently 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 all trading privileges.

VERILLI ALTSCHULER SCHWARTZ, INC. -CFTC Docket No. 85-20
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- Registrations as a futures commission merchant, commodity trading advisor and commodity pool operator revoked.
- Prohibited from trading on or subject to the rules of any contract market.

VESELY, ERIC G. -CFTC Docket No. 76-21
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- Prohibited from trading on or subject to the rules of any contract market while not registered.
- Registration as an associated person revoked.

VIOLA, VINCENT ANTHONY -CFTC Docket No. 81-20
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- Registration as a floor broker denied.

VIRGIL, JERRY N. -CFTC Docket No. 83-38
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- Registration as an associated person of a futures commission merchant revoked.

VOLUME INVESTORS INTERNATIONAL, INC. -CFTC Docket No. 85-25
oooooooooooooooooooo

- Registration as a futures commission merchant revoked.
- Prohibited from trading on or subject to the rules of any contract market.

VON HOFMANN, KURT A. -CFTC Docket No. 80-2
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- Prohibited from trading on or subject to the rules of any contract market.

VONBRAUN, HERMAN -CFTC Docket No. 78-30

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-Registration as an associated person of a futures
commission merchant denied.

WAGNER, MARTHA A. -CFTC Docket No. 90-28

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NFA-ID No. 0073214

CFTC-ID No. 0669440

-Comply with undertaking not to apply for registration with
the Commission in any capacity.

WALSH, WILLIAM A. -CFTC Docket No. 90-5

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NFA-ID No. 0205414

-Registration as a floor broker of a futures commission
merchant revoked.

-Comply with undertaking not to seek registration with the
Commission in any capacity.

WATERS TAN & COMPANY, INC. -CFTC Docket No. 88-31

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-Registrations as a commodity trading advisor and
introducing broker revoked.

-Comply with undertaking not to reapply for registration
with the Commission or the National Futures Association in
any capacity at any time in the future.

-Prohibited from trading on or subject to the rules of any
contract market.

WATERS, JOHN P. -CFTC Docket No. 88-31

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-Registration as an associated person of a futures
commission merchant revoked.

-Comply with undertaking not to apply for registration with
the Commission or the National Futures Association in any
capacity at any time in the future.

-Comply with undertaking never again to become a principal
of any entity that is required to be registered in any
capacity under the Act.

-Prohibited from trading on or subject to the rules of any
contract market.

WAYNE COUNTY PRODUCE, INC. -CFTC Docket No. 77-15
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-Prohibited from trading on or subject to the rules of any contract market.

WEBSTER, JOHN J. -CFTC Docket No. 78-19
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NFA-ID No. 0221296

-Registration as an associated person of a futures commission merchant denied; respondent unfit to be registered.

WEINBERG, MARK R. -CFTC Docket No. 89-24
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NFA-ID No. 0051435 ; 0000283

-Registrations with the Commission as a commodity trading advisor and a commodity pool operator are revoked.

WEITMAN, EDWARD P. -CFTC Docket No. 79-7
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-Registration as an associated person of a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any contract market.

WEITMAN, MARY FITZPATRICK -CFTC Docket No. 79-7
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant revoked.

WELLINGTON FINANCIAL GROUP, INC. -CFTC Docket No. 99-10
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NFA-ID No. 0276332

-Registration with the Commission as an introducing broker is revoked.

-Prohibited from trading on or subject to the rules of any contract market, and all contract markets shall refuse its trading privileges.

-Shall never apply for registration or claim exemption from registration with the Commission in any capacity, and shall never engage in any activity requiring such registration or exemption from registration, or act as a principal, agent or officer of any person registered, exempted from registration or required to be registered with the Commission.

WESTERN MANAGEMENT CORPORATION -CFTC Docket No. 84-48
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-Comply with undertaking not to seek registration with the
Commission in any capacity.

WESTFIELD CLEARING, LTD. -CFTC Docket No. 81-16
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-Registration as a futures commission merchant revoked.

WESTHEIMER, GERALD J. -CFTC Docket No. 85-25
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NFA-ID No. 0013024

-Registration as a floor broker is hereby revoked.

WEXLER, FREDERICK N. -CFTC Docket No. SD 89-5
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NFA-ID No. 0007552

CFTC-ID No. 0686022

-Registration as an associated person of a futures
commission merchant is revoked.

WHEALAN, EMMETT J. -CFTC Docket No. 96-4
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NFA-ID No. 0004710

-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
November 17, 2004.

-Shall liquidate all futures and options positions held by
him or on his behalf, or in which he has any beneficial
interest, before the commencement of the denial of his
trading privileges.

-Registration with the Commission as a floor broker is
revoked.

-Shall never apply for registration with the Commission in
any capacity, and never to engage in any activity requiring
such registration, or act as an agent or officer of any
person registered or required to be registered with the
Commission.

WHITEHALL INVESTORS INTERNATIONAL, INC. -CFTC Docket No. 86-24
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-Registration as a futures commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

WHITEHOUSE, SUSAN -CFTC Docket No. 84-32

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-Registration as an associated person of a futures
commission merchant revoked.

WICKNERTZ, PETER M. -CFTC Docket No. 93-23

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a/k/a PER MAGNUS WICKNERTZ

NFA-ID No. 0195862

-Registration as an associated person revoked.

WIENS, JOEL -CFTC Docket No. 84-48

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-Comply with undertaking not to seek registration with the
Commission in any capacity.

WILKENS, RODNEY P. -CFTC Docket No. 87-13

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NFA-ID No. 0073711

CFTC-ID No. 0691508

-Prohibited from trading on or subject to the rules of any
contract market.

WILLIAMS, JOHN JERRY -CFTC Docket No. 78-21

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a/k/a LEROY FEATHERSON

-Registration as an associated person of a futures
commission merchant denied.

WILSON, WILBERT A. -CFTC Docket No. 81-10

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-Prohibited from trading on or subject to the rules of any
contract market.

WINCHESTER-HARDEN-OPPENHEIMER -CFTC Docket No. 77-21

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-Prohibited from ever owning or having a beneficial interest
in a membership on a contract market.

-Registration as a futures commission merchant revoked.

-Shall not seek registration with the Commission in any
capacity.

WOLCOTT & LINCOLN FUTURES, L.L.C. -CFTC Docket No. 99-14
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a/k/a WOLCOTT & LINCOLN FUTURES, INC.

NFA-ID No. 0189569

-Registration with the Commission as a futures commission
merchant is revoked.

WONG, MOSES LW. -CFTC Docket No. 93-8
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a/k/a WONG LUNG WAH

NFA-ID No. 0206441

-Comply with undertaking to withdraw as an associated person
and not to apply for registration with the Commission in any
capacity at any time.

-Comply with undertaking not to act in any capacity as an
associated person, futures commission merchant, commodity
pool operator, commodity trading advisor, introducing
broker, floor trader, or floor broker, or as a principal of
any person registered or required to be registered under the
Commodity Exchange Act, as amended.

WORD, CALVIN -CFTC Docket No. 86-6
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NFA-ID No. 0077624

CFTC-ID No. 0703012

-Registration as an associated person of a futures
commission merchant revoked.

-Prohibited from trading on or subject to the rules of any
contract market.

WORLD TRADING GROUP -CFTC Docket No. 90-32
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NFA-ID No. 0088760

-Registration as an introducing broker revoked.

WORLD WIDE COMMODITIES MANAGEMENT CORP. -CFTC Docket No. 76-20
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-Registration as a commodity pool operator revoked.

WORTH, RICHARD S. -CFTC Docket No. 78-27
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-Registration as an associated person of a futures
commission merchant denied.

WOZNIAK, RICHARD -CFTC Docket No. 77-8
oooooooooooooooooooo

-Registration as a floor broker revoked.

-Prohibited from trading on or subject to the rules of any contract market.

WRIGHT, CHARLES W. -CFTC Docket No. 78-24
oooooooooooooooooooo

-Registration as an associated person of a futures commission merchant denied.

WTC INVESTMENT GROUP, INC. -CFTC Docket No. 88-31
oooooooooooooooooooo

-Registration as a commodity pool operator revoked.

-Comply with undertaking not to reapply for registration with the Commission or the National Futures Association in any capacity at any time in the future.

-Prohibited from trading on or subject to the rules of any contract market.

WYMER, STEVEN D. -CFTC Docket No. SD 92-3
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NFA-ID No. 0062521

-Registration as a commodity trading advisor revoked.

YANG, JOSEPH LEE -CFTC Docket No. 87-17
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-Comply with undertaking not to seek registration with the Commission or the National Futures Association in any capacity.

-Prohibited from trading on or subject to the rules of any contract market.

YATVIN, MICHAEL B. -CFTC Docket No. 91-21
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NFA-ID No. 0076719

CFTC-ID No. 0784248

-Comply with his undertaking never to seek registration with the Commission in any capacity and never to engage in any activity which would require such registration.

YEE, PAUL -CFTC Docket No. 79-26
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-Registration as an associated person of a futures commission merchant revoked.

YEH, FRANK F.Y. -CFTC Docket No. 95-7

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a/k/a FENG-YI YEH

NFA-ID No. 0214991

-Registration with the Commission as an associated person is
revoked.

-Prohibited from trading on or subject to the rules of any
contract market and all contract markets shall refuse him
trading privileges.

YORKSTONE RESEARCH, INC. -CFTC Docket No. 83-34

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-Prohibited from trading on or subject to the rules of any
contract market.

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

ZEFF, EDWARD J. -CFTC Docket No. 90-8

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NFA-ID No. 0049287

CFTC-ID No. 0710891

-Registration as an associated person of a futures
commission merchant revoked.

ZIMMERMAN, DARRELL MURRAY -CFTC Docket No. 94-10

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NFA-ID No. 0194083

-Prohibited from trading for his own account or for any
account in which he has a direct or indirect interest or any
contract market.

ZIPKIN, WILLIAM L. -CFTC Docket No. 85-27

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a/k/a LARRY ZIPKIN

NFA-ID No. 0055221

CFTC-ID No. 0713065

-Registration as a commodity trading advisor and a commodity
pool operator revoked.

ZUCCARELLI, ERIC -CFTC Docket No. SD 97-3

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NFA-ID No. 0179087

ZUCCARELLI, ERIC -CFTC Docket No. SD 97-3 (continued)
oooooooooooooooooooo

- *-Shall not serve on any disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization ("SRO") registered or required to be registered with the Commission.

- *-Shall not directly or indirectly act in any supervisory capacity over anyone registered or required to be registered with the Commission and 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.

ZURICH TRADING CORPORATION -CFTC Docket No. 82-27
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-Registration as a commodity trading advisor and a commodity pool operator revoked.