

fraud in violation of 18 U.S.C. § 1349; one count of securities and commodities fraud in violation of 18 U.S.C. § 1348; and four counts of wire fraud in violation of 18 U.S.C. § 1343.

4. Based on the facts above, the Commission filed a Notice of Intent to Suspend or Modify Alexander's registrations pursuant to Section 8a(11)(A) of the Act, 7 U.S.C. § 12a(11)(A), on September 2, 2021.

5. On January 12, 2022, the Commission suspended Alexander's registrations. *In re Alexander*, No. SD 21-01, 2022 WL 145166 (CFTC Jan. 12, 2022).

6. On April 26, 2023, Alexander pleaded guilty to one count of conspiracy to commit wire fraud in violation of 18 U.S.C. § 371 in the above-mentioned criminal case. The count of the indictment to which Alexander pleaded guilty alleged that Alexander and a co-defendant:

[A]ided and abetted by each other and by others known and unknown, did knowingly and intentionally participate in a scheme and artifice to defraud investors by soliciting millions of dollars under false pretenses, failing to use investors' funds as promised, and misappropriating and converting investors' funds to Alexander's and [his co-defendant's] own benefit and the benefit of others without the knowledge or authorization of the investors.

7. On November 13, 2023, the United States District Court for the Southern District of Mississippi entered a judgment of conviction against Alexander.

8. Section 8a(2)(D) of the Act, 7 U.S.C. § 12a(2)(D), in part, provides that:

[U]pon notice, but without a hearing and pursuant to such rules, regulations, or orders as the Commission may adopt, to refuse to register, to register conditionally, or to suspend or place restrictions upon the registration of, any person and with such a hearing as may be appropriate to revoke the registration of any person—

(D) if such person has been convicted within ten years preceding the filing of the application for registration or at any time thereafter of any felony that . . . (iii) involves embezzlement, theft, extortion,

fraud, fraudulent conversion, misappropriation of funds, securities or property, forgery, counterfeiting, false pretenses, bribery, or gambling

9. Accordingly, because Alexander was convicted of a crime involving one or more of embezzlement, theft, fraud, fraudulent conversion, misappropriation of funds, securities or property, and/or false pretenses, there is a basis for Alexander's registrations to be revoked pursuant to Section 8a(2)(D) of the Act.

II.

Pursuant to its responsibilities under the Act and by reason of the foregoing allegations by the Division, the Commission deems it necessary and appropriate that public proceedings be conducted in accordance with the provisions of Commission Regulations 3.60 and 10.8, 17 C.F.R. §§ 3.60 and 10.8 (2023), to determine whether Alexander is subject to revocation of his registration status as alleged, and, if so, whether his registrations should be revoked.

III.

WHEREFORE, IT IS HEREBY ORDERED that this Notice of Intent to Revoke Registration ("Notice") be filed and that a proceeding be conducted before a Presiding Officer in accordance with the provisions of Commission Regulations 3.60 and 10.8, 17 C.F.R. §§ 3.60 and 10.8 (2023), and all post-hearing procedures shall be conducted pursuant to Commission Regulations 3.60(i)-(j), 17 C.F.R. § 3.60(i)-(j).

In accordance with the provisions of Commission Regulation 3.60(a)(3), 17 C.F.R. § 3.60(a)(3), the Registrant is entitled to file a response challenging the evidentiary bases of the statutory disqualification or to show cause why, notwithstanding the accuracy of the allegations, his registrations should not be revoked. Such response must be filed with the Proceedings Clerk, Office of Proceedings, Commodity Futures Trading Commission, Three Lafayette Centre, 1155

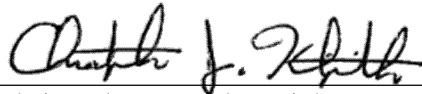
21st Street, N.W., Washington, D.C. 20581, and served upon Rick Glaser, Deputy Director, and Eugenia Vroustouris, Senior Trial Attorney, Division of Enforcement, Commodity Futures Trading Commission, 1155 21st Street, N.W., Washington, DC 20581, within thirty (30) days after the date of service of this Notice on the Registrant, in accordance with the provisions of Commission Regulation 3.60(g), 17 C.F.R. § 3.60(g).

IT IS FURTHER ORDERED that this Notice shall be served on Registrant personally or by registered or certified mail forthwith.

In the absence of an appropriate waiver, no officer or employee of the Commission engaged in the performance of the investigative or prosecutorial functions in this or any factually related proceeding will be permitted to participate or advise in the decision upon this matter except as witness or counsel in proceedings held pursuant to notice.

Dated: March 12, 2024

By the Commission.



Christopher J. Kirkpatrick
Secretary of the Commission
Commodity Futures Trading Commission