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Description of document: Commodity Futures Trading Commission (CFTC) records provided to Chairman Darrell Issa, House Oversight and Government Reform Committee, concerning the administration of the Freedom of Information Act (FOIA), 2011

Requested: 10-December-2011

Released date: 13-January-2012

Posted date: 12-March-2012

Source of documents: FOIA Compliance Office  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st Street, NW  
Washington, DC 20581  
Fax: 202-418-5124  
[Online FOIA Request Form](#)

Note: This is one of several files on the same subject for various agencies available on governmentattic.org. See: <http://www.governmentattic.org/5docs/chairmanIssa.htm>

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## U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre  
1155 21st Street, NW, Washington, DC 20581  
Telephone: (202) 418-5105  
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[www.cftc.gov](http://www.cftc.gov)

FOIA  
Compliance Office

January 13, 2012

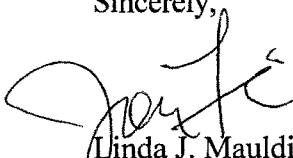
FOIA No. 12-00043-FOIA

Re: Request for electronic copy of records and correspondence provided to Chairman Issa in response to his January 2011 inquiry regarding CFTC's administration of FOIA

This letter responds to your December 10, 2011, Freedom of Information Act request for the above information. We have located and reviewed 135 pages of responsive records. You are granted full access to the responsive records which are attached.

If you have any questions about the initial processing of your request, please contact me at (202) 418-5497.

Sincerely,



Linda J. Mauldin  
Paralegal Specialist



## U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre  
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Office of General Counsel

February 15, 2011

The Honorable Darrell Issa  
Chairman  
House Committee on Oversight and Government Reform  
2157 Rayburn House Office Building  
Washington DC 20515-6142

Re: *Request for FOIA Data*

Dear Chairman Issa:

In response to your letter of January 25, 2011 requesting data concerning the Commodity Futures Trading Commission's ("CFTC") FOIA program, we enclose the following:

1. FOIA log for 2006-2011 to date.
2. FOIA requests submitted more than 45 days prior to January 25, 2011 as to which a complete and final response has not been issued are highlighted in yellow.
3. With respect to FOIA requests covered in item 2, we have enclosed communications identified to date between the CFTC and each FOIA requester. We are continuing to search emails and will submit any additional communications on or before Friday, February 18.
4. No federal court has ordered the CFTC to pay attorneys' fees or other litigation costs incurred by a FOIA requester within the last five years. Item 5 accordingly is not applicable.

For further information, your staff may contact me at (202) 418-5126 or by email at [lrichards@cftc.gov](mailto:lrichards@cftc.gov); or FOIA Compliance Officer Linda Mauldin at (202) 418-5497 or by email at [lmauldin@cftc.gov](mailto:lmauldin@cftc.gov).

Very truly yours,

Laura Richards  
Chief FOIA Officer

Enclosures

cc: John Riley, Director of Legislative Affairs  
Linda Mauldin

| Requester          | Affiliated Organization (if any) | Date Received | Description  | FOIA Number | Date Closed | Final Disposition |
|--------------------|----------------------------------|---------------|--|-------------|-------------|-------------------|
| MCCRAY, WILLIAM F. |                                  | 01/04/2006    | REQUEST FOR REQUIREMENTS IMPOSED ON THE CURRENCY TRADING INDUSTRY.   | 06-0079     | 01/06/2006  | TOTAL GRANT       |
| TAYLOR, JEREMIAH   |                                  | 01/04/2006    | REQUEST FOR NAMES OF INVESTORS   | 06-0080     | 01/06/2006  | TOTAL GRANT       |
| MATTIA, RICHARD M. |                                  | 01/04/2006    | REQUEST FOR INFORMATION CONCERNING TRADING IN THE COMMODITY MARKET   | 06-0081     | 01/09/2006  | TOTAL GRANT       |
| MATTIA, RICHARD M. |                                  | 01/04/2006    | REQUEST FOR INFORMATION CONCERNING TRADING IN THE COMMODITY MARKET (2ND REQUEST DIFFERENT ADDRESS)   | 06-0082     | 01/09/2006  | TOTAL GRANT       |
| WANG, WEI          |                                  | 01/05/2006    | REQUEST FOR FILE NUMBER 05-008 - REFCO AUDITED ANNUAL REPORT FOR 03/01/04 - 02/28/05 - AND FILE NUMBER 05-006 - FORM 1-FR-FCM FOR 09/01/05 - 09/30/2005      | 06-0083     | 01/05/2006  | PARTIAL GRANT     |
| WANG, WEI          |                                  | 01/05/2006    | REQUEST FOR 1-FR-FCM FOR REFCO DATED NOVEMBER 1, 2005 TO NOVEMBER 30, 2005 OR MOST RECENT AVAILABLE  | 06-0084     | 01/06/2006  | PARTIAL GRANT     |
| DUTTA, SANDIP      | DEPARTMENT OF ECONOMICS          | 01/10/2006    | REQUEST FOR INFORMATION FOR THE PERIOD 9-01-2004 TO 08-31-2005 FOR VARIOUS FUTURES CONTRACTS, INCLUDING CONTRACT TICKER, SYMBOL TRADE DATA, TRADE TIME, ETC. | 06-0085     | 01/19/2006  | PARTIAL GRANT     |

|                       |   |            |   |         |            |               |
|-----------------------|---|------------|---|---------|------------|---------------|
| CORBETT,<br>DANIEL    |   | 01/10/2006 | REQUEST FOR INFORMATION ON A<br>MOTION FOR SUMMARY JUDGEMENT<br>DOCUMENT RELATED TO CFTC<br>INJUNCTIVE ACTION: 04CV3641.  | 06-0086 | 01/12/2006 | TOTAL GRANT   |
| FLEISHMAN,<br>MIKE    | KARP HEURLIN<br>WEISS                         | 01/10/2006 | REQUEST FOR ALL INFORMATION ON<br>THE TRANSFER OF SEGREGATED<br>CUSTOMER FUNDS FROM<br>INTERNATIONAL COMMODITY<br>CLEARING TO NATIONS INVESTMENTS<br>LLC                                  | 06-0087 | 01/13/2006 | TOTAL GRANT   |
| IVANS, RONALD         | PRUDENTIAL<br>FINANCIAL<br>DERIVATIVES<br>LLC | 01/12/2006 | REQUEST FOR FORM 1-FR OR FOCUS<br>REPORTS AS OF NOVEMBER 30, 2005<br>FOR VARIOUS FIRMS.   | 06-0088 | 02/01/2006 | PARTIAL GRANT |
| MAY, JON              |   | 01/12/2006 | REQUEST FOR INFORMATION ON<br>GREGORY RICHARD SWARN   | 06-0089 | 01/18/2006 | PARTIAL GRANT |
| CORBETT,<br>DANNY     |   | 01/18/2006 | REQUEST FOR A TRANSCRIPT OF THE<br>DEPOSITIONS TAKEN FROM CFTC<br>INJUNCTION ACTION AGAINST<br>WORLDWIDE, UFHC AND NAMED<br>BROKERS - GAIL EISENBERG, MARSHA<br>FRIEDMAN, AND BRUCE CROWN | 06-0090 | 01/25/2006 | TOTAL GRANT   |
| TERRY, JOSH           |   | 01/19/2006 | REQUEST FOR FOR FILE NUMBERS 05-<br>005 AND 05-006  | 06-0091 | 01/19/2006 | PARTIAL GRANT |
| ROSE, JODY            | U.S. BANCORP<br>ASSET<br>MANAGEMENT           | 01/31/2006 | REQUEST FOR NOTICES FROM U.S.<br>BANCORP PIPER JEFFREY ASSET<br>MANAGEMENT, INC. DATED JUNE 20,<br>2001 AND FIRST AMERICAN FUNDS,<br>INC. DATED SEPTEMBER 24, 2001                        | 06-0092 | 02/08/2006 | TOTAL GRANT   |
| KEMNITZ,<br>CHRISTIAN | KATTEN<br>MUCHIN &<br>ZAVIS                   | 01/31/2006 | REQUEST FOR NOTIFICATIONS FOR<br>EXEMPT COMMERCIAL MARKETS  | 06-0093 | 02/16/2006 | PARTIAL GRANT |

|                       |                                     |            |  |         |            |                                      |
|-----------------------|-------------------------------------|------------|--|---------|------------|--------------------------------------|
| SHEELY, JOHN          | CAPITAL<br>MANAGEMENT<br>LLC.       | 01/31/2006 | REQUEST FOR DISCLOSURE<br>DOCUMENT FOR PINNACLE TRADING<br>COMPANY FOR THE YEAR OF 1994  | 06-0094 | 02/07/2006 | NO RESPONSIVE<br>DOCUMENTS           |
| FOLEY, KEVIN<br>M.    | KATTEN<br>MUCHIN &<br>ZAVIS         | 02/02/2006 | REQUEST FOR LETTER WRITTEN TO<br>SENATOR CHARLES SCHUMER ON<br>JANUARY 31, 2006 REGARDING ICE<br>FUTURES AND WTI CRUDE OIL<br>FUTURES CONTRACTS. | 06-0095 | 02/03/2006 | TOTAL GRANT                          |
| ARTUS, ROB            |                                     | 02/06/2006 | REQUEST FOR 1-FR FCM FOR THE<br>PERIOD 9/01/05 FOR FOREX CAPITAL<br>LLC  | 06-0096 | 02/06/2006 | TOTAL GRANT                          |
| WANG, WEI             |                                     | 02/06/2006 | REQUEST FOR FORM 1-FR-FCM FOR<br>THE PERIOD 2/28/05 ANNUAL REPORT  | 06-0097 | 02/06/2006 | TOTAL GRANT                          |
| HORGAN,<br>RICHARD J. | ROSENTHAL<br>COLLINS GROUP<br>LLC   | 02/08/2006 | REQUEST FOR FORM 1-FR AS OF<br>DECEMBER 31, 2005 FOR ADM<br>INVESTOR SERVICES, MAN FINANCIAL,<br>AND RJ O'BRIEN ASSOCIATES                       | 06-0098 | 02/22/2006 | TOTAL GRANT                          |
| SALZBRENNER,<br>TAMI  | JOSEPH H.<br>SPIEGEL P.C.           | 02/08/2006 | REQUEST FOR ALL INFORMATION<br>RELATING TO STEVEN MICHAEL<br>DONNELLAN   | 06-0099 | 03/03/2006 | NO RESPONSIVE<br>DOCUMENTS           |
| CHANG, KEN            | PRESIDENT<br>FUTURES<br>COMPANY     | 02/09/2006 | REQUEST FOR HOLDING POSITIONS<br>REPORTS OF T-BONDS FOR EVERY<br>WEEK FROM 1995 TO PRESENT   | 06-0100 | 02/27/2006 | WITHDRAWN                            |
| HUA, YEOW             | NATIONAL<br>UNIVERSITY OF<br>S'PORE | 02/09/2006 | REQUEST FOR COMMITMENT OF<br>TRADERS FOR LIGHT SWEET CRUDE ON<br>A DAILY BASIS FOR THE PERIOD<br>STARTING FROM OCTOBER 2000 TO<br>PRESENT        | 06-0101 | 02/21/2006 | NO CREATE /<br>DIRECT TO WEB<br>SITE |
| GOOCH, SARA           | BOFA<br>SECURITIES                  | 02/22/2006 | REQUEST FOR FINANCIAL STATEMENT<br>ON REFCO LLC MONTH ENDED<br>10/31/2006  | 06-0102 | 02/22/2006 | TOTAL GRANT                          |

|                           |                                       |            |  |         |            |                            |
|---------------------------|---------------------------------------|------------|--|---------|------------|----------------------------|
| DEROCHE,<br>JAMES A.      |                                       | 02/23/2006 | REQUEST FOR INFORMATION ON THE<br>CARNEGIE TRADING GROUP LTD. PER<br>SUBPOENA TO NFA   | 06-0103 | 02/28/2006 | PARTIAL GRANT              |
| SANDEEP, RAJ              | EUMOTIF, INC.                         | 02/14/2006 | REQUEST FOR IMPAC CREDIT<br>CARDHOLDER LIST  | 06-0104 | 02/23/2006 | TOTAL GRANT                |
| HARRIS, PETER             | THOMSON<br>RESEARCH                   | 02/21/2006 | REQUEST FOR RECORDS SUBMITTED BY<br>SHELL TRADING US COMPANY, SHELL<br>INTERNATIONAL TRADING AND<br>SHIPPING CO., AND ROYAL DUTCH<br>SHEEL AND/OR NIGEL CATTERAL | 06-0105 | 03/27/2006 | TOTAL DENIAL               |
| POPOVA, JULIA             | WEST VIRGINIA<br>UNIVERSITY           | 02/21/2006 | REQUEST FOR TIME AND SALES DATA<br>AND OPEN INTEREST FOR CERTAIN<br>FUTURES CONTRACTS TRADED AT<br>NYMEX FOR 1999-2005   | 06-0106 | 03/16/2006 | TOTAL GRANT                |
| PEMBERTON,<br>CHRISTOPHER |                                       | 02/23/2006 | REQUEST FOR INFORMATION ON KELLY<br>VS. CARR AND UNITED STATES VS.<br>CARR   | 06-0107 | 03/14/2006 | TOTAL GRANT                |
| BLOOM, ERIC A.            | SENTINEL<br>MANAGEMENT<br>GROUP, INC. | 02/24/2006 | REQUEST FOR THE MOST RECENT FILED<br>1-FR-FCM FOR R. J. O'BRIEN &<br>ASSOCIATES  | 06-0108 | 03/09/2006 | PARTIAL GRANT              |
| CHERNAK,<br>HARLAN        |                                       | 02/27/2006 | REQUEST FOR RECENT 1-FR-FCM<br>REFCO LLC   | 06-0109 | 03/03/2006 | NO RESPONSIVE<br>DOCUMENTS |
| KERRIGAN,<br>JAMES F.     | COLMAR<br>CORPORATION                 | 03/01/2006 | REQUEST FOR FY 2007 INFORMATION<br>TECHNOLOGY BUDGET SUBMISSION IN<br>RESPONSE TO OMB CIRCULAR A-11.   | 06-0110 | 03/16/2006 | TOTAL GRANT                |
| YUAN, JAYSON              |                                       | 03/06/2006 | REQUEST FOR INFORMATION ON CMC<br>MARKETS UK PLC   | 06-0111 | 03/09/2006 | PARTIAL GRANT              |
| SUAN,<br>CHRISTOPHER      |                                       | 03/01/2006 | REQUEST FOR REGULATORY CAPITAL<br>FILINGS FOR REFCO LLC FOR OCTOBER,<br>NOVEMBER, DECEMBER AND JANUARY<br>OF 2005.   | 06-0112 | 03/02/2006 | NO RESPONSIVE<br>DOCUMENTS |

|                       |                                   |            |  |         |            |               |
|-----------------------|-----------------------------------|------------|--|---------|------------|---------------|
| SUAN,<br>CHRISTOPHER  |                                   | 03/01/2006 | REQUEST FOR FILE NUMBER RF 06-001, RF 05-007, AND RF 05-005  | 06-0113 | 03/28/2006 | PARTIAL GRANT |
| LEISING,<br>MATTHEW   | BLOOMBERG<br>NEWS                 | 03/03/2006 | REQUEST FOR FINANCIAL STATEMENTS FOR HEDGE FUNDS CENTAURUS ENERGY, AMARANTH ADVISORS, CITADEL INVESTMENT GROUP, RITCHIE CAPITAL MANAGEMENT, MOTHERROCK LP AND NATIONAL ENERGY TRADING. | 06-0114 | 05/02/2006 | PARTIAL GRANT |
| DAVIDSON,<br>LAWRENCE |                                   | 03/07/2006 | REQUEST FOR NAMES, TITLES, YEARS OF SERVICE AND SALARIES FOR THE US ATTORNEY'S OFFICE FOR THE DISTRICT OF NEVADA.  | 06-0115 | 03/08/2006 | REFERRAL      |
| DAVIS, BRAD           |                                   | 03/07/2006 | REQUEST FOR COURT DOCUMENTS PERTAINING TO THE WORLDWIDE AND I.F.A.G TESTIMONY WITH LYLE WEXLER   | 06-0116 | 03/09/2006 | PARTIAL GRANT |
| HARRIS, PETER         | WEST<br>DOCUMENT<br>RETRIEVAL     | 03/08/2006 | REQUEST FOR RECORDS CONNECTED TO REQUESTS FOR NO-ACTION RELIEF FROM NYMEX EUROPE LIMITED AND MEFF  | 06-0117 | 05/23/2006 | PARTIAL GRANT |
| CANNON,<br>RACHEL M.  | AUSA,<br>DEPARTMENT<br>OF JUSTICE | 03/08/2006 | SUBPOENA TO NFA FOR RECORDS RELATING TO BRIAN DERMOT MCGOWAN.  | 06-0118 | 03/10/2006 | PARTIAL GRANT |
| TRIMBLE,<br>WILLIAM   |                                   | 03/15/2006 | REQUEST FOR REPORTS OR RESULTS OF INVESTIGATIONS INTO UNUSUAL TRADING IN U.S. FUTURES AND OPTIONS MARKETS BEFORE 9/11/01   | 06-0119 | 03/28/2006 | TOTAL DENIAL  |
| CARTER,<br>STEFANI    | VINSON &<br>ELKINS LLP            | 03/15/2006 | REQUEST FOR TRIAL TESTIMONY DECLARATION OF DR. GORDON RAUSSER IN CFTC VS. MARK FISHER  | 06-0120 | 04/03/2006 | TOTAL GRANT   |



|                    |                                  |            |   |         |            |                  |
|--------------------|----------------------------------|------------|---|---------|------------|------------------|
| NARDELLA, MICHELE  | INTERNATIONAL COCOA ORGANIZATION | 03/15/2006 | REQUEST FOR A CUSTOMIZED DATA SET FOR COCOA FUTURES CONTRACTS.  | 06-0121 | 03/22/2006 | NO CREATE        |
| CHRISTOPHER, JAIME | QUELLOS GROUP LLC.               | 03/16/2006 | REQUEST FOR INFORMATION ON GUILLAUME FONKENELL  | 06-0122 | 03/28/2006 | TOTAL GRANT      |
| MCDONOUGH, DAVID   | GRANITE INTELLIGENCE LLC         | 03/21/2006 | REQUEST FOR ANNUAL UPDATES AND RELATED INFORMATION ON FILE FOR REFCO LLC, AND RAY E. FRIEDMAN & CO. FOR THE PERIOD OF 1997 TO THE PRESENT     | 06-0123 | 04/07/2006 | PARTIAL GRANT    |
| SOURAN, THOMAS C.  |                                  | 03/22/2006 | REQUEST FOR COPIES OF REGISTRATIONS THAT HAVE BEEN SUBMITTED BY THOMAS C. SOURAN, SKJ COMMODITIES CORPORATION AND EXCHANEQUER FINANCIAL GROUP | 06-0124 | 03/23/2006 | FORWARDED TO NFA |
| ANGA, JEAN MARC    | INTERNATIONAL COCOA EXCHANGE     | 03/28/2006 | REQUEST FOR A CUSTOMIZED DATA SET FOR COCOA FUTURES CONTRACTS (FOLLOW UP REQUEST)   | 06-0125 | 04/18/2006 | TOTAL DENIAL     |
| ZHOKHER, ZEIGHAM   | UNIVERSITY OF WESTERN ONTARIO    | 03/28/2006 | REQUEST FOR AUDIT TRAIL DATA FROM CBOT TREASURY BOND FUTURES FOR THE PERIOD OF 2003-2005.   | 06-0126 | 05/16/2006 | PARTIAL GRANT    |
| DUKES, OBIOHA      |                                  | 03/28/2006 | REQUEST FOR BRUCE CROWN AND MARSHA FRIEDMAN DEPOSITIONS.  | 06-0127 | 05/03/2006 | TOTAL GRANT      |
| CHAMBLISS, BO      | CHICAGO MERCANTILE EXCHANGE      | 04/03/2006 | REQUEST FOR A COPY OF THE NYMEX SUBMISSION 00-124, TITLED PROPOSED RE-IMPLEMENTATION OF IMPLIED ORDER FUNCTIONALITY                           | 06-0128 | 04/03/2006 | TOTAL GRANT      |
| SOURAN, THOMAS C.  |                                  | 04/03/2006 | REQUEST TO NFA FOR FINGERPRINT CARD FOR THOMAS C. SOURAN  | 06-0129 | 05/05/2006 | TOTAL GRANT      |

|                        |  |            |   |         |            |               |
|------------------------|--|------------|---|---------|------------|---------------|
| LEISING,<br>MATTHEW    | BLOOMBERG<br>NEWS                        | 04/07/2006 | REQUEST FOR FINANCIAL STATEMENTS FOR THE FINANCIAL YEAR 2005 FROM CENTAURUS ADVISORS LLC, AMARANTH ADVISORS, CITADEL LIMITED PARTNERSHIP, RITCHIE CAPITAL MANAGEMENT, MOTHERROCK LP AND BP CAPITAL. | 06-0130 | 11/08/2006 | PARTIAL GRANT |
| JOHNSON, RICK          | CHOICEPOINT<br>SERVICES                  | 04/10/2006 | REQUEST TO NFA FOR DISCIPLINARY ACTIONS CONCERNING MARTIN J. RILEY JR.  | 06-0131 | 04/11/2006 | TOTAL GRANT   |
| DJINIS,<br>ANTHONY W.  | PICKARD AND<br>DJINIS LLP                | 04/10/2006 | SUBPOENA TO NFA FOR DOCUMENTS ON FILE FOR LINUXOR ASSET MANAGEMENT LLC, LINUXOR CAPITAL MANAGEMENT LLC AND ABBAS A. SHAH.   | 06-0132 | 04/11/2006 | TOTAL DENIAL  |
| PURCELL, KATE          | DOCUTRIEVAL<br>INFORMATION<br>SERVICES   | 04/12/2006 | REQUEST FOR ALL 1-FR STATEMENTS FOR CARGILL INVESTOR SERVICES SINCE JANUARY 2004.   | 06-0133 | 04/27/2006 | PARTIAL GRANT |
| TRIMBLE,<br>WILLIAM    |  | 04/19/2006 | REQUEST FOR COPIES OF ALL PREVIOUSLY RELEASED RECORDS CONCERNING THE INVESTIGATIONS INTO UNUSUAL TRADING BEFORE THE SEPTEMBER 11, 2001 TERRORIST ATTACKS  | 06-0134 | 04/25/2006 | TOTAL GRANT   |
| MOILANEN,<br>ROBERT C. | ZIMMERMAN<br>REED<br>ATTORNEYS AT<br>LAW | 04/20/2006 | REQUEST REFERRED BY FERC FOR DOCUMENTS RELATED TO THE INVESTIGATION OF DOMINION TRANSMISSION INC. AND DOMINION RESOURCES, INC.  | 06-0135 | 05/31/2006 | TOTAL GRANT   |

|                       |                                   |            |  |         |            |                         |
|-----------------------|-----------------------------------|------------|--|---------|------------|-------------------------|
| RAYMI, ANNA           | ALTERA<br>PARTNERS                | 04/22/2006 | REQUEST FOR ANY RECORD OF INVESTIGATIONS AND COMPLAINTS, DISCIPLINARY ACTION, PUBLIC HISTORY, OR CIVIL AND ADMINISTRATIVE INJUNCTIONS FOR MARK STEVEN BENIGNO. | 06-0136 | 05/09/2006 | NO RESPONSIVE DOCUMENTS |
| NAGY, JUDITH          | NELSON-<br>BROWN<br>EQUITIES INC. | 04/25/2006 | REQUEST FOR THE LIMITED PAYABILITY CANCELLATION REPORTS FOR THE PERIOD OF JUNE 1, 2001 TO THE PRESENT.   | 06-0137 | 05/12/2006 | TOTAL GRANT             |
| MCCULLOUGH,<br>ROBERT |                                   | 04/26/2006 | REQUEST FOR INTERPRETIVE LETTERS 99-67, 99-93, 98-31, 94-58, AND LETTERS PERTAINING TO AUTOMATED SYSTEMS FOR TRADING PRODUCTS AND CHEMICALS.                   | 06-0138 | 04/26/2006 | TOTAL GRANT             |
| BUTLER, CINDY         | GEHA                              | 04/28/2006 | REQUEST FOR INFORMATION ON THE DENTAL INSURANCE PLAN.  | 06-0139 | 05/30/2006 | PARTIAL GRANT           |
| FOLEY, KEVIN          | KATTEN<br>MUCHIN<br>ROSENMAN LLP  | 05/02/2006 | REQUEST FOR NO-ACTION LETTER FROM SENATOR JOHNNY ISAKSON FOR ICE FUTURES   | 06-0140 | 05/03/2006 | TOTAL GRANT             |
| ARCHITZEL,<br>PAUL    | ALSTON & BIRD,<br>LLP             | 05/02/2006 | REQUEST FOR INFORMATION CONCERNING COMMISSION NO-ACTION OR ANY OTHER SIMILAR RELIEF WITH RESPECT TO PLACEMENT IN THE U.S. OF COMPUTER TRADING TERMINALS.       | 06-0141 | 06/26/2006 | TOTAL GRANT             |
| CHRISTA M.<br>LANGE   | SIDLEY &<br>AUSTIN                | 05/03/2006 | REQUEST FOR THE APPROVAL NOTICE FOR CHICAGO MERCANTILE EXCHANGE'S FUTURES AND OPTIONS CONTRACTS LINKED TO THE NIKKEI 225.                                      | 06-0142 | 05/05/2006 | TOTAL GRANT             |

|                  |                        |            |   |         |            |                         |
|------------------|------------------------|------------|---|---------|------------|-------------------------|
| HELEN CRISTALES  |                        | 04/26/2006 | REQUEST FOR NON-PUBLIC INFORMATION ON FILE WITH NFA FOR J FINANCIAL GROUP, INC.   | 06-0143 | 05/08/2006 | TOTAL DENIAL            |
| THOMAS M. DURKIN | MAYER BROWN ROWE & MAW | 05/09/2006 | SUBPOENA TO NFA FOR NON-PUBLIC DOCUMENTS ON FILE FOR FOX, INC., LAWERENCE ALLEN GOLDFARB, AND L & G CAPITAL MANAGEMENT, INC.  | 06-0144 | 05/23/2006 | PARTIAL GRANT           |
| ALEXANDER KUROV  |                        | 05/09/2006 | REQUEST FOR TIME, SALES AND COMPUTERIZED RECONSTRUCTION (CTR) DATA FOR CERTAIN CBOT CONTRACT AND NYBOT CONTRACT.  | 06-0145 | 05/23/2006 | PARTIAL GRANT           |
| ANNA RAYMI       |                        | 05/09/2006 | REQUEST FOR ANY RECORDS OF INVESTIGATIONS AND/OR COMPLAINTS, DISCIPLINARY ACTION, PUBLIC HISTORY, AND/OR ANY CIVIL OR ADMINISTRATIVE INJUNCTIONS, OR DISCLOSURE DOCUMENTS FOR TODD GROSS.           | 06-0146 | 05/30/2006 | NO RESPONSIVE DOCUMENTS |
| JENNY SHERMAN    | SULLIVAN & CROMWELL    | 05/09/2006 | REQUEST FOR COPIES OF ALL MATERIALS SUBMITTED BY THE AE CLEARINGHOUSE, LLC AND THE LONDON CLEARING HOUSE AS PART OF APPLICATION TO THE CFTC FOR DESIGNATION AS A DERIVATIVES CLEARING ORGANIZATION. | 06-0147 | 07/03/2006 | PARTIAL GRANT           |
| JOSEPH FISCHER   |                        | 05/09/2006 | REQUEST FOR NON-PUBLIC DOCUMENTS ON FILE WITH NFA FOR EUGENE HAWKIN AND VERA HAWKIN.  | 06-0148 | 05/12/2006 | PARTIAL GRANT           |

|                            |                    |            |  |         |            |               |
|----------------------------|--------------------|------------|--|---------|------------|---------------|
| MAYA CABRERA- LRP<br>LOPEZ | PUBLICATIONS       | 05/09/2006 | REQUEST FOR UPDATES TO CFTC'S<br>EMPLOYEE HANDBOOK, PERSONNEL<br>INSTRUCTIONS, POLICIES,<br>MEMORANDAS FOR THE PERIOD OF<br>SEPTEMBER 1, 2005 THROUGH APRIL<br>28, 2006.   | 06-0149 | 05/26/2006 | TOTAL GRANT   |
| ANNA RAYMI                 | ALTERA<br>PARTNERS | 05/10/2006 | REQUEST FOR ANY RECORDS OF<br>INVESTIGATIONS AND/OR<br>COMPLAINTS, DISCIPLINARY ACTION,<br>PUBLIC HISTORY, AND/OR ANY CIVIL<br>OR ADMINISTRATIVE INJUNCTIONS, OR<br>DISCLOSURE DOCUMENTS FOR<br>MOTHER ROCK LP, J. ROBERT COLLINS,<br>JR.. AND CONRAD GOERL. | 06-0150 | 07/18/2006 | WITHDRAWN     |
| DEAN<br>MOUSCHER           |                    | 05/10/2006 | REQUEST FOR ALL DOCUMENTS<br>CONCERNING THE TRANSFER OF<br>MONEY OUT OF THE ACCOUNT OF<br>DEAN MOUSCHER IN NOVEMBER 2004,<br>INCLUDING TO WHOM THE MONEY<br>WAS TRANSFERRED.   | 06-0151 | 05/30/2006 | PARTIAL GRANT |
| JOSIAH D. BILL             |                    | 05/10/2006 | REQUEST FOR INFORMATION<br>REGARDING THE DECEMBER 26, 1996<br>NOTICE OF PROPOSED RULE-MAKING<br>CONCERNING THE DELIVERY POINTS<br>FOR GRAIN IN THE FUTURES<br>CONTRACT ON THE CBOT.  | 06-0152 | 05/23/2006 | PARTIAL GRANT |
| JOE WRIGHT                 | ICAP ENERGY<br>LLC | 05/12/2006 | REQUEST FOR COPIES OF ALL LETTERS<br>FOR NOTIFICATION OF OPERATION AS<br>EXEMPT COMMERCIAL MARKETS ON<br>FILE WITH CFTC.   | 06-0153 | 05/23/2006 | TOTAL GRANT   |

|                    |                            |            |  |         |            |                         |
|--------------------|----------------------------|------------|--|---------|------------|-------------------------|
| STINE, JOSHUA N.   | SCHOTTENSTEIN ZOX & DUNN   | 05/16/2006 | REQUEST FOR ALL DOCUMENTATION CONCERNING CFTC VS. AMERICAN ELECTRIC POWER COMPANY, INC. AND AEP ENERGY SERVICES INC.   | 06-0154 | 09/26/2006 | TOTAL DENIAL            |
| KOLLAR, TIMOTHY    | PATTON BOGGS, LLP          | 05/24/2006 | REQUEST FOR INVESTIGATORY RECORDS AND LITIGATION FILES RELATING TO SUMITOMO CORPORATION, CFTC DOCKET NO. 98-14, AND GLOBAL MINERALS & METALS CORPORATION, CFTC DOCKET NO. 99-11  | 06-0155 | 04/03/2007 | TOTAL GRANT             |
| DAVIES, MARTIN     | HOWARD KENNEDY             | 05/26/2006 | REQUEST FOR ALL INFORMATION REGARDING TRADERS COOPERATIVE INC.   | 06-0156 | 06/26/2006 | NO RESPONSIVE DOCUMENTS |
| STANDFIELD, JAMES  | VETERN'S OFFICE PRODUCTS   | 05/30/2006 | REQUEST FOR A COPY OF IMPAC CARDHOLDERS FOR THE CFTC   | 06-0157 | 06/06/2006 | TOTAL GRANT             |
| PARDIECK, ANDREW   |                            | 06/01/2006 | REQUEST FOR ANY STATISTICS COVERING THE PAST TEN YEARS DETAILING THE PERCENTAGE OF INDIVIDUAL OR RETAIL INVESTORS AS COMPARED WITH INSTITUTIONAL INVESTORS PARTICIPATING IN THE FUTURES MARKETS REGULATED BY THE CFTC. | 06-0158 | 06/20/2006 | NO RESPONSIVE DOCUMENTS |
| RAYNES, JAMES      | ALARON TRADING CORPORATION | 06/01/2006 | REQUEST FOR FINANCIAL STATEMENTS FOR IFSC USA, INC.  | 06-0159 | 06/06/2006 | PARTIAL GRANT           |
| JOLCHIN, ROBERT J. |                            | 06/01/2006 | REQUEST FOR DOCUMENTS REGARDING CAPITAL MARKET SERVICES GROUP FROM NFA   | 06-0160 | 06/28/2006 | REFERRAL                |

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| GREEN,<br>MARSHALL P. |  | 06/06/2006 | REQUEST FOR MOST RECENT<br>FINANCIAL INFORMATION ON GLOBAL<br>FUTURES & FOREX LTD.   | 06-0161 | 07/13/2006 | PARTIAL GRANT |
| ARCHITZEL,<br>PAUL M. | ALSTON & BIRD,<br>LLP                                    | 06/09/2006 | REQUEST FOR ALL RECORDS RELATING<br>TO CANTOR FINANCIAL FUTURES<br>EXCHANGE  | 06-0162 | 08/16/2006 | PARTIAL GRANT |
| DROHAN,<br>VIVIAN R.  |  | 06/09/2006 | REQUEST FOR ALL INFORMATION ON<br>VLADIMIR KARPENKOV   | 06-0163 | 06/21/2006 | TOTAL DENIAL  |
| DUTTA, SANDIP         | SOUTHERN<br>ILLINOIS<br>UNIVERSITY<br>CARBONDALE         | 06/20/2006 | REQUEST FOR INFORMATION<br>REGARDING CME E-MINI S&P 500<br>FUTURES (TRADE DATA) FOR THE<br>PERIOD OF SEPTEMBER 2004 TO<br>AUGUST 31, 2005                      | 06-0164 | 06/26/2006 | PARTIAL GRANT |
| GOOD, JEN             | IOWA GRAIN<br>COMPANY                                    | 06/01/2006 | REQUEST FOR CFTC INTERPRETIVE<br>LETTER 96-45 DATED 8, 1996.   | 06-0165 | 06/01/2006 | TOTAL GRANT   |
| MAJUMDAR,<br>DEVASISH | ALSTON & BIRD,<br>LLP                                    | 06/20/2006 | REQUEST FOR INFORMATION<br>REGARDING "EXEMPTION FOR<br>CERTAIN CONTRACTS INVOLVING<br>ENERGY PRODUCTS".  | 06-0166 | 06/20/2006 | TOTAL GRANT   |
| WHITAKER,<br>MATTHEW  | WESTLAW<br>COURT EXPRESS                                 | 06/23/2006 | REQUEST FOR INFORMATION<br>REGARDING LIQUIDITY PROVIDER<br>PROGRAM OR OTHER MARKET<br>MAKING PROGRAMS SUBMITTED BY<br>CME OR NYME FROM MAY 2006 TO<br>PRESENT. | 06-0167 | 10/11/2006 | PARTIAL GRANT |
| THOMPSON,<br>KELLY    | STATE OF<br>FLORIDA OFFICE<br>OF FINANCIAL<br>REGULATION | 06/23/2006 | REQUEST FOR INFORMATION<br>REGARDING ANDREW PRESTON AND<br>BOSTON TRADING ADVISORS CASE #04-<br>03   | 06-0168 | 06/28/2006 | TOTAL GRANT   |

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| BROWN, BRIAN M.          | WOODS ROGERS PLC ATTORNEYS AT LAW | 06/27/2006 | REQUEST FOR NOTICE FILING AS EXEMPT BOARD OF TRADE BY THE ACTUARIALS EXCHANGE AND THE WEATHER BOARD OF TRADE, REGISTRATION OF AE CLEARINGHOUSE AS A DCO, AND RELATED MATERIAL | 06-0169 | 08/03/2006 | WITHDRAWN     |
| VINK, PAUL T.            | GREENE & ZINNER, P.C.             | 06/28/2006 | REQUEST FOR ALL INFORMATION RELATING TO ACCOUNT NO. R 22142 880 47005, GLORIA NOWAKOWSKI AND GEORGE P. TAMMANY  | 06-0170 | 07/13/2006 | TOTAL DENIAL  |
| LIVINGSTON, TERRANCE K.  | CBOT                              | 06/28/2006 | REQUEST FOR ALL VOLUME REPORTS FILED BY OR ON BEHALF OF FOREIGN BOARD OF TRADE FROM 2003 TO THE PRESENT   | 06-0171 | 06/20/2007 | TOTAL GRANT   |
| KARPENKOV, VLADIMIR      |                                   | 06/28/2006 | REQUEST FOR INFORMATION ON VLADIMIR KARPENKOV   | 06-0172 | 06/29/2006 | TOTAL GRANT   |
| CUMMINS, CHIP/DAVIS, ANN | THE WALL STREET JOURNAL           | 06/29/2006 | REQUEST FOR INFORMATION REGARDING THE INVESTIGATION INTO ALLEGED PROPANE MARKET MANIPULATION BY BP OR OTHER ENERGY MARKETS INCLUDING OIL AND NATURAL GAS                      | 06-0173 | 10/01/2007 | PARTIAL GRANT |
| WELLS, MOLLY             | AEI BROOKINGS JOINT CENTER        | 07/11/2006 | REQUEST FOR INFORMATION REGARDING FILE NUMBER RF05-003  | 06-0174 | 07/11/2006 | TOTAL GRANT   |
| PEREZ, TONY              |                                   | 07/13/2006 | REQUEST FOR INFORMATION ON BANKING, INVESTMENTS AND OR TRADING  | 06-0175 | 07/19/2006 | REFERRAL      |
| SCHROEDER, WILLIAM E.    | SULLIVAN & CROMWELL               | 07/13/2006 | REQUEST FOR DOCUMENTS CONCERNING REGULATION 4.22 (C) FROM JANUARY 2001 THROUGH MAY 2006   | 06-0176 | 09/06/2006 | PARTIAL GRANT |



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| KUROV, ALEX           | WEST VIRGINIA UNIVERSITY                      | 07/13/2006 | REQUEST FOR TIME AND SALES DATA FOR FEDERAL FUNDS AND S&P 500 FUTURES CONTRACTS FOR JANUARY 2005- JUNE 2006  | 06-0177 | 08/16/2006 | PARTIAL GRANT |
| TANG, KENT            | CHINESE UNIVERSITY OF HONG KONG               | 07/18/2006 | REQUEST FOR THE FINANCIAL AND/OR ANNUAL REPORT FOR HOTSPOT FX INC.   | 06-0178 | 07/27/2006 | WITHDRAWN     |
| WEBBER, KURT A.       | KURT A. WEBBER                                | 07/20/2006 | REQUEST FOR ANY LETTER OR NO-ACTION LETTERS RELATED TO INDIANA COOPERATIVE ELEVATOR KNOWN AS " FARMERS ELEVATOR COMPANY OF OAKVILLE, INC. " OR SIMILAR NAME FROM 1990 TO PRESENT | 06-0179 | 08/16/2006 | TOTAL DENIAL  |
| CROOKS, HARRIS        | STROOCK STROOCK & LAVAN LLP                   | 07/20/2006 | REQUEST FOR ORIGINAL RESPONSE LETTER NUMBER 05-19 DATED AUGUST 12, 2005 AND SUPPLEMENT LETTERS DATED SEPTEMBER 28, 2005, AND OCTOBER 4, 2005.                                    | 06-0180 | 07/28/2006 | WITHDRAWN     |
| BHATTAL, HARSIMRAT S. | GOLDIN ASSOCIATES                             | 07/25/2006 | REQUEST FOR AUDITED ANNUAL REPORTS FOR MAN FINANCIAL INC., RJ O'BRIEN ASSOCIATES INC., SENTINEL MANAGEMENT GROUP AND BEAR STEARNS SECURITIES CORPORATION.                        | 06-0181 | 08/24/2006 | PARTIAL GRANT |
| GORTON, GARY          | THE WHARTON SCHOOL UNIVERSITY OF PENNSYLVANIA | 07/26/2006 | REQUEST FOR INFORMATION ON COMMITMENT OF TRADERS DISAGGREGATED, DETAILED, FIRM BY FIRM DATA, INCLUDING THE IDENTITIES OF THE TRADERS/FIRMS.                                      | 06-0182 | 08/16/2006 | TOTAL DENIAL  |

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| COUTCHANE,<br>DAVID         | SIDLEY &<br>AUSTIN                       | 07/26/2006 | REQUEST FOR COPIES OF THE<br>APPROVAL LETTER FROM<br>ONEEXCHANGE AS A CONTRACT<br>MARKET  | 06-0183 | 07/26/2006 | TOTAL GRANT   |
| BORGOGNI,<br>LORENZO        | GREENBERG<br>TRAURIG LLP                 | 07/27/2006 | REQUEST FOR 1-FR FOR REFCO LLC<br>AND REFCO SECURITIES ON OR AFTER<br>OCTOBER 1, 2005.  | 06-0184 | 08/08/2006 | PARTIAL GRANT |
| SERVAITES,<br>CHARLES       | FSI                                      | 07/27/2006 | REQUEST FOR 1-FR-FCM FOR ENSKILDA<br>FUTURES LTD., FIXI INC., IG FINANCIAL<br>MARKETS INC., AND IFX MARKETS INC.  | 06-0185 | 08/16/2006 | PARTIAL GRANT |
| BERNSTEIN,<br>DAVID         |  | 07/28/2006 | REQUEST FOR ALL DOCUMENTS,<br>FUTURES OR STOCK TRADING DATA,<br>COURT DOCUMENTS AND<br>PROSECUTIONS PERTAINING TO<br>INVESTIGATIONS OF APRIORI TRADING<br>SURROUNDING SEPTEMBER. 11, 2001 | 06-0186 | 08/29/2006 | TOTAL DENIAL  |
| BRAD<br>STEPHENSON          | BROWARD<br>COUNTY<br>SHERIFF'S<br>OFFICE | 07/31/2006 | REQUEST FOR INFORMATION<br>REGARDING EAST COAST<br>COMMODITIES, MITCHELL BRAD<br>GOLDBERG, AND ANDREA P. SILVA  | 06-0187 | 08/29/2006 | PARTIAL GRANT |
| JOHNSON III,<br>JONATHAN E. | OVERSTOCK.CO<br>M                        | 07/31/2006 | REQUEST FOR INFORMATION<br>REGARDING MEETINGS OF THE<br>WORKING GROUP ON FINANCIAL<br>MARKETS DURING WHICH<br>SETTLEMENT OF SECURITIES<br>TRANSACTIONS WAS DISCUSSED.                     | 06-0188 | 08/30/2006 | TOTAL DENIAL  |
| POTRYKUS,<br>HENRY          |  | 07/31/2006 | REQUEST FOR INFORMATION ON FINAL<br>RULES ON AG TRADE OPTIONS 11/1999   | 06-0189 | 07/31/2006 | TOTAL GRANT   |

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| GOOD, JENNIFER M. | IOWA GRAIN COMPANY       | 08/01/2006 | REQUEST FOR INFORMATION REGARDING REPARATION CASE 98-R133, 97-R112, 95-R096, 95-R079, 91-R209, 87-R045, AND 86-R286, INVOLVING COLLIN HAYES SULLIVAN.   | 06-0190 | 08/23/2006 | TOTAL GRANT             |
| BROCK, SANDRA     |                          | 08/01/2006 | REQUEST FOR COMPLAINTS ON CLEAR CREDIT IN COLUMBIA SOUTH CAROLINA   | 06-0191 | 08/04/2006 | REFERRAL                |
| PERRY, TY         |                          | 08/03/2006 | REQUEST FOR TRADE RECONSTRUCTION (CTR) DATA FOR THE YEARS 2001 - 2003.  | 06-0192 | 08/16/2006 | PARTIAL GRANT           |
| MARKS, JASON M.   | BELL, BOYD & LLOYD LLC   | 08/04/2006 | REQUEST FOR ANY REVENUE COMMITMENT AGREEMENTS SUBMITTED TO CFTC FOR REVIEW IN CONNECTION WITH THE SEPTEMBER 16, 2003 APPLICATION BY U.S. FUTURES EXCHANGE LLC TO OPERATE AS AN EXCHANGE IN THE U.S. | 06-0193 | 10/13/2006 | TOTAL DENIAL            |
| HALEY, CARA       | BLAU & BONAVICH          | 08/07/2006 | REQUEST FOR THE DOCKET SHEET, COMPLAINT AND THE ANSWER IN CASE NUMBER 92-R117.  | 06-0194 | 08/08/2006 | REFERRAL                |
| BRYSON, JERRY D.  |                          | 08/03/2006 | REQUEST FOR TRAVEL INFORMATION ON EDWARD J. EVORS IN THE PAST 2 MONTHS STARTING IN JUNE OF 2006   | 06-0195 | 08/03/2006 | NO RESPONSIVE DOCUMENTS |
| GOOD, JEN         | IOWA GRAIN COMPANY       | 08/09/2006 | REQUEST FOR CFTC REPARATIONS CASE 04-R057   | 06-0196 | 08/29/2006 | TOTAL GRANT             |
| LEE, FREDERICK    | NERA ECONOMIC CONSULTING | 08/10/2006 | REQUEST FOR ANY AND ALL FILINGS BY CARGILL INVESTOR SERVICES FROM 2003-2005   | 06-0197 | 08/30/2006 | PARTIAL GRANT           |

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| COVEL,<br>MICHAEL                  |   | 08/15/2006 | REQUEST FOR ALL INFORMATION<br>REGARDING CFTC RELEASE 5211-06<br>INCLUDING BUT NOT LIMITED TO TOBY<br>WAYNE DENNISTON II, AND<br>ACCELERATION MERCURY FUND 4X LP. | 06-0198 | 09/20/2006 | PARTIAL GRANT              |
| PASTIER, FRANK                     |   | 08/16/2006 | REQUEST FOR ALL INFORMATION<br>REGARDING FUTURES TRADING  | 06-0199 | 09/07/2006 | INFORMATIONAL<br>BROCHURES |
| KUDMAN,<br>TAMA BETH               | RICHARD G.<br>LUBIN P.A.                        | 08/23/2006 | REQUEST FOR INFORMATION<br>REGARDING JOHN MICHAEL CORPORAL  | 06-0200 | 09/20/2006 | PARTIAL GRANT              |
| DAVIS, JEREMY                      |   | 08/23/2006 | REQUEST FOR INFORMATION ON<br>INVESTING IN COMMODITIES AND<br>FUTURES   | 06-0201 | 09/07/2006 | INFORMATIONAL<br>BROCHURES |
| SHOPE, JOHN<br>AND TOONE,<br>ROBIN | FOLEY, HOAG<br>LLP                              | 08/24/2006 | REQUEST FROM SEC VIA OGC FOR<br>TIME AND SALES FUTURES AND<br>OPTIONS REPORT (IN ELECTRONIC<br>FORMAT) FOR OCTOBER 31, 2001 ON<br>30-YEAR TREASURY BOND           | 06-0202 | 08/24/2006 | TOTAL GRANT                |
| RICCHEZZA,<br>JOSEPH A.            | SALMON,<br>RICCHEZZA,<br>SINGER &<br>TURCHI LLP | 08/29/2006 | REQUEST FOR IMMIGRATION FILE OF<br>DANIEL SURIEL  | 06-0203 | 08/31/2006 | REFERRAL                   |
| NERUDA,<br>STEPHANIE               | MERRILL LYNCH                                   | 09/06/2006 | REQUEST FOR INFORMATION<br>REGARDING 1-FR FOR REFCO LLC &<br>MAN FINANCIAL  | 06-0204 | 09/14/2006 | PARTIAL GRANT              |
| JONES,<br>KRISTINA M.              | ROGERS &<br>HARDIN                              | 09/07/2006 | REQUEST FOR ALL DOCUMENTS<br>RELATED TO CFTC DOCKET NO. 05-05,<br>IN THE MATTER OF MIRANT AMERICAS<br>ENERGY MARKETING LP   | 06-0205 | 11/21/2006 | PARTIAL GRANT              |
| BUMPOUS,<br>JESSICA                | REED SMITH                                      | 09/08/2006 | REQUEST FOR CFTC LETTER 05-14   | 06-0206 | 09/08/2006 | TOTAL GRANT                |

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| COVEL,<br>MICHAEL       |                             | 09/12/2006 | REQUEST FOR INFORMATION<br>REGARDING REGISTRATION<br>APPLICATIONS INCLUDING<br>SUPPORTING DOCUMENTATION SUCH<br>AS RESUMES OR WORK HISTORIES FOR<br>VARIOUS INDIVIDUALS | 06-0207 | 09/12/2006 | NO RESPONSIVE<br>DOCUMENTS |
| ROSS, HEATHER           |                             | 09/12/2006 | REQUEST FOR INFORMATION<br>REGARDING HUGHIE JENEROU   | 06-0208 | 09/12/2006 | NO RESPONSIVE<br>DOCUMENTS |
| KLIAKHANDLER,<br>IGOR   | TECHNOLOGICAL<br>UNIVERSITY | 09/13/2006 | REQUEST FOR SALES DATA ON ALL<br>OPTIONS ON FUTURES FROM NYMEX<br>BY MARKET OVERSIGHT FROM 2003-<br>2005.   | 06-0209 | 10/18/2006 | TOTAL GRANT                |
| GRANT, JEREMY           | FINANCIAL<br>TIMES          | 09/13/2006 | REQUEST FOR INFORMATION<br>REGARDING CFTC'S INVESTIGATION<br>INTO BP'S CRUDE OIL TRADING IN THE<br>EARLY 2000'S   | 06-0210 | 10/01/2007 | PARTIAL GRANT              |
| CABRERA-<br>LOPEZ, MAYA | LRP<br>PUBLICATIONS         | 09/14/2006 | REQUEST FOR UPDATES ON EMPLOYEE<br>HANDBOOK, PERSONNEL<br>INSTRUCTIONS, POLICIES AND<br>MEMORANDA'S FROM APRIL 29, 2006<br>TO SEPTEMBER 1, 2006                         | 06-0211 | 10/11/2006 | NO RESPONSIVE<br>DOCUMENTS |
| MINNOCK,<br>JAIME       | QUELLOS<br>GROUP LLC        | 09/19/2006 | REQUEST FOR INFORMATION<br>REGARDING MARCY ENGEL FROM NFA   | 06-0212 | 10/13/2006 | PARTIAL GRANT              |
| BASTIAN,<br>ARTHUR      | RAYTHEON<br>COMPANY         | 09/19/2006 | REQUEST FOR INFORMATION<br>REGARDING US GOVERNMENT<br>CONTRACT DAAB07-03-D-B013 AND<br>ALL MODIFICATIONS.   | 06-0213 | 09/21/2006 | NO RESPONSIVE<br>DOCUMENTS |
| DUFFY, TOM              |                             | 09/19/2006 | REQUEST FOR FEDERAL REGISTER<br>36369 AUGUST 8, 1992.   | 06-0214 | 09/19/2006 | TOTAL GRANT                |

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| BASTIAN,<br>AUTHUR F.   | RAYTHEON<br>COMPANY                                 | 09/20/2006 | REQUEST FOR INFORMATION<br>REGARDING US GOVERNMENT<br>CONTRACT H950012-05-D-0002  | 06-0215 | 09/21/2006 | NO RESPONSIVE<br>DOCUMENTS |
| COVEL,<br>MICHAEL       |   | 09/22/2006 | REQUEST FOR ALL DISCLOSURE<br>DOCUMENTS FOR ACCELERATION<br>CAPITAL AND ACCELERATION<br>MERCURY FUND 4X LP.                                 | 06-0216 | 09/22/2006 | TOTAL GRANT                |
| REZENDE,<br>TIAGO       | BM&F USA INC.                                       | 09/26/2006 | REQUEST FOR DOCUMENTS<br>PERTAINING TO NO-ACTION LETTER<br>ISSUED BY OGC ON AUGUST 24, 2006<br>CONCERNING MEXDER                            | 06-0217 | 10/20/2006 | TOTAL GRANT                |
| ROBECK, MARK            | BAKER BOTTS   | 09/28/2006 | REQUEST FOR INFORMATION<br>REGARDING THE PRODUCTION OF<br>RELIANT DOCUMENTS SENT TO THE<br>CITY AND COUNTY OF SANTA CLARA                   | 06-0218 | 12/13/2006 | NO RESPONSIVE<br>DOCUMENTS |
| RICHTER,<br>CECEILE KAY |   | 09/29/2006 | REQUEST FOR INFORMATION<br>REGARDING FILE NUMBERS 92-009<br>AND 97-037.   | 06-0219 | 09/29/2006 | TOTAL GRANT                |
| KELVIN, LESLIE          |   | 10/02/2006 | REQUEST FOR INFORMATION<br>REGARDING NATURALIZATION PAPERS<br>FOR ISRAEL AND SARAH KATZ OR<br>EMERY AND SARAH KELVIN.                       | 07-0001 | 10/05/2006 | REFERRAL                   |
| KORN, DANIEL            |   | 10/02/2006 | REQUEST FOR ANY INFORMATION<br>REGARDING THE CFTC.  | 07-0002 | 10/05/2006 | TOTAL GRANT                |
| HORN,<br>GEOFFREY       | LOWEY<br>DANNENBERG<br>BEMPORAD &<br>SELINGER, P.C. | 10/03/2006 | REQUEST REFERRED BY THE<br>DEPARTMENT OF THE TREASURY FOR<br>DOCUMENTS CONCERNING PACIFIC<br>INVESTMENT MANAGEMENT<br>COMPANY, LLC (PIMCO). | 07-0003 | 10/20/2006 | PARTIAL GRANT              |

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| BRENNAN,<br>KELLY     | BALCH &<br>BINGHAM LLP                              | 10/04/2006 | REQUEST FOR DOCUMENTS RELATED<br>TO CFTC VS. THE CHATEAU FORTE<br>CONSORTIUM SPECIFICALLY<br>COMPENSATION BY MICHAEL HANKS<br>AND FINANCIAL PLANNING<br>INTERNATIONAL. | 07-0004 | 08/01/2007 | WITHDRAWN     |
| PEDERSEN,<br>LASSE E. | NEW YORK<br>UNIVERSITY                              | 10/04/2006 | REQUEST FOR HISTORICAL DATA ON<br>MARGIN REQUIREMENTS FOR CFTC<br>CONTRACTS.   | 07-0005 | 12/06/2006 | TOTAL GRANT   |
| BENSON, DAVID<br>F.   | KATTEN<br>MUCHIN<br>ROSENMAN                        | 10/04/2006 | REQUEST FOR DOCUMENTS RELATED<br>TO TAIWAN FUTURES EXCHANGE AND<br>TOKYO COMMODITY EXCHANGE  | 07-0006 | 11/07/2006 | PARTIAL GRANT |
| CORBETT,<br>DANNY     |   | 10/05/2006 | REQUEST FOR A SUMMARY<br>STATEMENT OF THE<br>OUTCOME/SETTLEMENT REGARDING<br>CFTC INJUNCTIVE ACTION 04CV3641.  | 07-0007 | 10/13/2006 | WITHDRAWN     |
| HORN,<br>GEOFFREY     | LOWEY<br>DANNENBERG<br>BEMPORAD &<br>SELINGER, P.C. | 10/06/2006 | REQUEST FOR DOCUMENTS RELATING<br>TO NYMEX, BP P.L.C AND BP<br>PRODUCTS NORTH AMERICA<br>REGARDING CRUDE OIL CONTRACTS<br>DURING THE PERIOD 2003-2004.                 | 07-0008 | 09/26/2006 | WITHDRAWN     |
| COVEL,<br>MICHAEL     |   | 10/11/2006 | REQUEST FOR ALL APPLICATIONS FOR<br>CFTC OR NFA REGISTRATION<br>SUBMITTED BY TOBY WAYNE<br>DENNISTON   | 07-0009 | 10/20/2006 | TOTAL GRANT   |
| BAZIL, PAUL J.        | PICKARD AND<br>DJINIS LLP                           | 10/11/2006 | REQUEST FOR ALL DOCUMENTS<br>RELATING TO CFTC VS. ABBAS A. SHAH<br>AND LINUXOR ASSET MANAGEMENT<br>LLC.  | 07-0010 | 11/01/2006 | PARTIAL GRANT |







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| MASTRANADI,<br>JOHN   | CITIZENS<br>UNITED              | 10/12/2006 | REQUEST FOR ALL RECORDS FROM<br>JANUARY 2001 TO PRESENT BETWEEN<br>CFTC AND THE OFFICE OF SENATOR<br>HILLARY RODHAM CLINTON.   | 07-0011 | 10/13/2006 | TOTAL GRANT                |
| JONES,<br>CHRISTOPHER | RKEOGH, COX &<br>WILSON, LTD    | 10/12/2006 | REQUEST FOR ALL DOCUMENTS<br>REGARDING FILE NO. 888.22670 AND<br>FILINGS MADE BY BAYER OR AVENTIS<br>WITH REGARD TO THE FILE NUMBER<br>OR THE PLANT VARIETY PROTECTION<br>ACT. | 07-0012 | 10/20/2006 | REFERRAL                   |
| PHILLIPS, GREG        |                                 | 10/16/2006 | REQUEST FOR 1- FR-FCM FOR REFCO<br>LLC FILES 05-008, 05-001, 05-006 AND<br>05-004  | 07-0013 | 10/16/2006 | TOTAL GRANT                |
| MORGAN,<br>TERRY      |                                 | 10/18/2006 | REQUEST FOR INFORMATION<br>REGARDING GAIN CAPITAL GROUP LLC  | 07-0014 | 10/24/2006 | PARTIAL GRANT              |
| CHAFETZ, ERIC         | CONWAY &<br>CONWAY              | 10/20/2006 | REQUEST FOR DOCUMENTS RELATED<br>TO ONE WORLD CAPITAL GROUP<br>FORWARDED BY NFA  | 07-0015 | 11/09/2006 | PARTIAL GRANT              |
| MASON,<br>MATTHEW J.  | FORD AND<br>DAIMLER<br>CHRYSLER | 11/09/2006 | REQUEST FOR ALL DOCUMENTS<br>RELATING TO BARKLEY FINANCIAL<br>CORPORATION'   | 07-0016 | 12/06/2006 | PARTIAL GRANT              |
| KUROV,<br>ALEXANDER   | WEST VIRGINIA<br>UNIVERSITY     | 11/13/2006 | REQUEST FOR TIME, SALES AND<br>COMPUTERIZED TRADE<br>RECONSTRUCTION.   | 07-0017 | 04/20/2007 | PARTIAL GRANT              |
| PECORARO,<br>ANTHONY  |                                 | 11/13/2006 | REQUEST FOR THE 2004 AND 2005<br>CFTC ANNUAL REPORT  | 07-0018 | 11/21/2006 | TOTAL GRANT                |
| SABIANI, ALLEN        |                                 | 11/16/2006 | REQUEST FOR INFORMATION<br>REGARDING JKV GLOBAL ENTERPRISE   | 07-0019 | 12/19/2006 | PARTIAL GRANT              |
| KRAMER,<br>SANDY      |                                 | 11/16/2006 | REQUEST FOR INFORMATION<br>REGARDING LOUIS M. KRAM   | 07-0020 | 11/16/2006 | NO RESPONSIVE<br>DOCUMENTS |

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| OPP, AMY              | BRAGAR,<br>WEXLER &<br>EAGEL, P.C.            | 11/16/2006 | ANY AND ALL DOCUMENTS<br>CONCERNING CHARLES G. MADY,<br>ELLEN MADY, CHARLES M. MADY,<br>MADY FUTURES, MADY FUNDING LLC,<br>LIND-WALDOCK, LLC, REFCO LLC<br>AND/OR RICHARD GOODMAN FROM<br>JANUARY 1, 2001 THROUGH JANUARY<br>1, 2005 | 07-0021 | 10/09/2007 | NO RESPONSIVE<br>DOCUMENTS |
| WILLIAMS, W.S.        | BUSINESS<br>DECISIONS<br>INFORMATION,<br>INC. | 11/27/2006 | REQUEST FOR INFORMATION<br>REGARDING VARIOUS EEO<br>INVESTIGATIONS   | 07-0022 | 12/07/2006 | TOTAL GRANT                |
| MALTAGLIATI,<br>JULIE | AMTOWER &<br>COMPANY -<br>SOUTHEAST<br>OFFICE | 11/28/2006 | REQUEST FOR INFORMATION<br>REGARDING THE CFTC PURCHASE<br>CARD HOLDERS LIST  | 07-0023 | 12/14/2006 | TOTAL GRANT                |
| HINDS, MELISSA<br>M.  | JENNER &<br>BLOCK                             | 11/28/2006 | REQUEST ANY AND ALL DOCUMENTS<br>RELATING TO CFTC'S INVESTIGATION<br>OF CHARLES MADY.  | 07-0024 | 10/09/2007 | NO RESPONSIVE<br>DOCUMENTS |
| KHOKHER,<br>ZEIGHAM   | IVEY BUSINESS<br>SCHOOL                       | 12/01/2006 | REQUEST FOR CRUDE OIL, COPPER,<br>NATURAL GAS AND GOLD FUTURES,<br>PUT AND CALL OPTIONS DATA FOR THE<br>NYMEX OVER THE PERIOD 1990-<br>PRESENT.  | 07-0025 | 03/30/2007 | TOTAL GRANT                |
| JEFF WILLIAMS         | MESTEMAKER &<br>STRAUB                        | 12/04/2006 | REQUEST FOR ALL THE CFTC HEARING<br>TRANSCRIPTS FOR CASE #H-03-3526,<br>ALLEGHENY GULF INVESTMENTS INC.<br>AND RICHARD A. HALE.  | 07-0026 | 01/05/2007 | NO RESPONSIVE<br>DOCUMENTS |
| ROSLIN, ALEX          |   | 12/07/2006 | REQUEST FOR PRICES IN SEVERAL CASH<br>MARKETS FPR COMMODITIES<br>COVERED BY YOUR AGENCY SINCE<br>JAN.1, 1995.  | 07-0027 | 01/09/2007 | TOTAL DENIAL               |

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| KISELMAN,<br>ESFIR      | SUPERIOR<br>SALES<br>CATALOGUE<br>CO. INC. | 12/07/2006 | REQUEST FOR A LISTING OF ALL IMPAC<br>CARD HOLDERS IN THE AGENCY.   | 07-0028 | 12/14/2006 | TOTAL GRANT                |
| CHEN, DAVID             | ADVENT<br>INTERNATIONAL                    | 11/07/2006 | REQUEST FOR INFORMATION<br>REGARDING 1-FR-FCM FOR R.J.<br>O'BRIEN & ASSOCIATES  | 07-0029 | 01/12/2007 | PARTIAL GRANT              |
| MATHEWS,<br>ERIKA L.    | CHICAGO<br>MERCANTILE<br>EXCHANGE          | 12/11/2006 | REQUEST FOR ANY AND ALL VOLUME<br>REPORTS FROM JANUARY 1, 2002 TO<br>THE PRESENT RELATING TO FUTURES<br>CONTRACTS LISTED AND TRADED BY<br>ANY FOREIGN BOARD OF TRADE THAT<br>HAS RECEIVED NO-ACTION RELIEF FOR<br>THE CFTC. | 07-0030 | 03/15/2007 | PARTIAL GRANT              |
| HASLAM, DAM             |  | 11/27/2006 | REQUEST FOR DOCUMENTS RELATED<br>TO RF05 - 005.   | 07-0031 | 11/27/2006 | TOTAL GRANT                |
| MORGAN,<br>ELIZABETH J. |  | 12/13/2006 | REQUEST FOR INFORMATION<br>REGARDING ALTERNATIVE WORK<br>SCHEDULES.   | 07-0032 | 12/28/2006 | TOTAL GRANT                |
| DIELMAN, RICK           | ALLIANCE<br>WORK PARTNER                   | 12/19/2006 | REQUEST FOR JULY 2006 RFP FOR<br>EMPLOYEE ASSISTANCE PROGRAM<br>SERVICES.   | 07-0033 | 03/07/2007 | PARTIAL GRANT              |
| SLADE, CHARLES          |  | 12/19/2006 | REQUEST FOR INFORMATION<br>REGARDING THE 1975 COMMODITY<br>FUTURES MODERIZATION ACT.  | 07-0034 | 12/27/2006 | NO RESPONSIVE<br>DOCUMENTS |
| ZONDER, SCOTT<br>D.     | BRADLEY &<br>GMELICH                       | 12/19/2006 | REQUEST FOR ALL INFORMATION ON<br>CRAIG RADDEN FOR THE PERIOD OF<br>JANUARY 1996 THROUGH DECEMBER<br>2006   | 07-0035 | 01/30/2007 | TOTAL GRANT                |
| MANASSEH,<br>JAHAN K.   | KLAYMAN &<br>TOSKES                        | 12/21/2006 | REQUEST FOR INFORMATION<br>REGARDING CFTC DOCKET NO. 00-<br>R026.   | 07-0036 | 01/09/2007 | TOTAL GRANT                |

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| JOHNSON,<br>DENNIS J.     | JOHNSON &<br>PERKINSON | 12/27/2006 | REQUEST FOR ALL DOCUMENTS<br>RECEIVED FROM BP PRODUCTS NORTH<br>AMERICA, INC. RELATED TO<br>VIOLATIONS OF THE COMMODITY<br>EXCHANGE ACT ET AL. | 07-0037 | 01/23/2007 | TOTAL DENIAL               |
| DUBOSE,<br>DEBORAH        |                        | 12/27/2006 | REQUEST FOR INFORMATION ON<br>DEBORAH-DENISE DUBOSE  | 07-0038 | 01/18/2007 | NO RESPONSIVE<br>DOCUMENTS |
| WILLIAMS,<br>WARNER       |                        | 12/27/2006 | REQUEST FOR INFORMATION ON<br>APPLICATION AND LICENSE TO TRADE<br>COMMODITIES  | 07-0039 | 01/12/2007 | TOTAL GRANT                |
| HINOJOSA,<br>CARLOS JORGE |                        | 12/27/2006 | REQUEST FOR ANY INFORMATION ON<br>DISCLOSURE OF ALL CRIMINAL BONDS<br>AND CARLOS JORGE HINOJOSA.   | 07-0040 | 01/18/2007 | NO RESPONSIVE<br>DOCUMENTS |
| GRAFF,<br>RANDALL         |                        | 12/28/2006 | REQUEST FOR DOCUMENT CL38,<br>COMMENT OF TERRY MULVILLE, IN<br>PUBLIC COMMENT FILE 90-001<br>PERTAINING TO DUAL TRADING BY<br>FLOOR BROKERS    | 07-0041 | 12/28/2006 | TOTAL GRANT                |
| PETITE,<br>ISADORE        |                        | 01/08/2007 | REQUEST FOR INFORMATION<br>REGARDING THE CFTC ANNUAL<br>REPORT AND THE ECONOMIC<br>PURPOSES OF FUTURES TRADING                                 | 07-0042 | 01/09/2007 | TOTAL GRANT                |
| CORBETT,<br>DANNY         |                        | 01/08/2007 | REQUEST FOR INFORMATION<br>RELATING TO DOCKET NO. 05-R022  | 07-0043 | 02/06/2007 | TOTAL GRANT                |
| HUANG, TONY               | HSBC                   | 01/08/2007 | REQUEST FOR INFORMATION<br>REGARDING "MAN FINANCIAL INC." AS<br>OF 3/31/06 AND 9/30/06.  | 07-0044 | 02/16/2007 | PARTIAL GRANT              |

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| BAILEY, JOSEPH       | HOGAN &<br>HARTSON                                 | 01/08/2007 | REQUEST FOR ALL DOCUMENTS FROM<br>NFA ENFORCEMENT ACTION AGAINST<br>CONRAD SEGHERS AND INTEGRAL<br>INVESTMENT MANAGEMENT L.P. CASE<br>NO. 02-BCC-033, NFA ID #0293775 | 07-0045 | 02/07/2007 | NO RESPONSIVE<br>DOCUMENTS |
| PORCEL,<br>MARTIN    | MARTIN<br>PORCEL TRADE<br>INVESTIGATION            | 01/08/2007 | REQUEST FOR INFORMATION<br>REGARDING DOCKET NO. 06-R060.  | 07-0046 | 01/23/2007 | TOTAL GRANT                |
| RAVNITZKY, M.<br>J.  |  | 01/08/2007 | REQUEST FOR A LIST OF THE IG<br>INVESTIGATIONS CLOSED/COMPLETED<br>SINCE OCTOBER 1, 2005.   | 07-0047 | 01/31/2007 | WITHDRAWN                  |
| PECORARO,<br>ANTHONY |  | 01/09/2007 | REQUEST FOR 2006 ANNUAL REPORT<br>AND PERFORMANCE AND<br>ACCOUNTABILITY REPORT FOR FISCAL<br>YEAR 2006  | 07-0048 | 01/12/2007 | TOTAL GRANT                |
| SHMIKLER,<br>DANIEL  | SPERLING &<br>SLATER                               | 01/10/2007 | REQUEST FOR RECORDS RELATED TO<br>DOWN V. ROSENTHAL GROUP, L.L.C.,<br>ET AL.  | 07-0049 | 01/18/2007 | TOTAL GRANT                |
| ARCHITZEL,<br>PAUL   | ALSTON & BIRD, LLP                                 | 01/11/2007 | REQUEST FOR CFTC MEMORANDUM<br>RECOMMENDING COMMISSION<br>DESIGNATION OF THE CME ROLLING<br>SPOT CONTRACT AND THE APPENDIX<br>THERETO                                 | 07-0050 | 01/12/2007 | TOTAL GRANT                |
| GOOD,<br>JENNIFER    | IOWA GRAIN<br>COMPANY                              | 01/16/2007 | REQUEST FOR INFORMATION CFTC<br>DOCKET NO. 04-0R052   | 07-0051 | 01/26/2007 | TOTAL GRANT                |
| HETTEL,<br>STEPHEN   | SCHIFFRIN,<br>BARROWAY,<br>TOPAZ &<br>KESSLER, LLP | 01/16/2007 | REQUEST FOR INFORMATION<br>REGARDING CFTC REPARATIONS CASE<br>86-R183, 86-R237, 91-R136, AND 91-<br>R137.   | 07-0052 | 01/26/2007 | TOTAL GRANT                |

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| HEGGE, JOHN                         |                             | 01/17/2007 | REQUEST FOR INFORMATION REGARDING DOCKET NO. 00-04 AND ALL RELATED INVESTIGATIONS ON SOGEMIN METALS.                   | 07-0053 | 02/08/2007 | TOTAL GRANT             |
| WARD, DAVID L. MICHAELS & WARD, LLP |                             | 01/18/2007 | REQUEST FOR INFORMATION REGARDING PERSONS WHO OWNED SEATS ON THE NEW YORK BOARD OF TRADE                               | 07-0054 | 02/07/2007 | NO RESPONSIVE DOCUMENTS |
| GUPTA, RAJ                          | UNIVERSITY OF MASSACHUSETTS | 01/22/2007 | REQUEST FOR MONTHLY RETURNS FOR AMARANTH ADVISORS AND MOTHERROCK LP  | 07-0055 | 02/20/2007 | NO RESPONSIVE DOCUMENTS |
| KRYWENKY, MICHAEL                   | UNITED GLOBAL MARKETS       | 01/22/2007 | REQUEST FOR FINANCIAL STATEMENTS FOR IFX/CBF, UNITED GLOBAL MARKETS, AND VELOCITY FUTURES.                             | 07-0056 | 03/12/2007 | TOTAL GRANT             |
| HAFFEY, MATHEW                      | NEMECEK & COLE, P.C.        | 01/23/2007 | REQUEST FOR ALL INFORMATION REGARDING CFTC DOCKET NO. 06-R054  | 07-0057 | 02/07/2007 | TOTAL GRANT             |
| HUGHES, DUANE                       | MORGAN STANLEY & CO. INC.   | 01/24/2007 | REQUEST FOR ALL DOCUMENTS RELATED TO PCS CATASTROPHE INSURANCE OPTIONS.  | 07-0058 | 02/07/2007 | TOTAL GRANT             |
| COVEL, MICHAEL                      |                             | 01/25/2007 | REQUEST FOR ALL DOCUMENTS RELATED TO CFTC DOCKET NO. 06-05   | 07-0059 | 01/30/2007 | NO RESPONSIVE DOCUMENTS |
| THEIMER, SHARON                     | ASSOCIATED PRESS            | 01/25/2007 | REQUEST FOR A LIST OF CORRESPONDENCE FROM VARIOUS PUBLIC OFFICIALS TO THE CFTC, BETWEEN JANUARY 2002 AND THE PRESENT.  | 07-0060 | 02/06/2007 | TOTAL GRANT             |
| CHWAT, JOHN                         | CHWAT & COMPANY             | 01/25/2007 | REQUEST FOR DOCUMENT DATED JULY 29, 1999 REGARDING IF CME'S TRADING OF WEATHER FUTURES WAS IN COMPLIANCE WITH THE LAW. | 07-0061 | 02/06/2007 | TOTAL GRANT             |

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| ERENBURG,<br>GRIGORI  | CHAPMAN<br>UNIVERSITY                             | 01/30/2007 | REQUEST FOR INFORMATION<br>REGARDING HENRY HUB GAS AND<br>TRADING VOLUME REPORTS ON<br>NYMEX FROM JANUARY 1990 TO<br>DECEMBER 2006. | 07-0062 | 02/07/2007 | PARTIAL GRANT              |
| HUGHES,<br>SHERRI     | LAW OFFICES<br>OF SHERRI<br>HUGHES                | 01/30/2007 | REQUEST FOR ALL<br>APPLICATIONS/NOTIFICATIONS FOR<br>EXEMPT COMMERCIAL MARKETS<br>SUBMITTED TO THE COMMISSION IN<br>2006.           | 07-0063 | 02/01/2007 | TOTAL GRANT                |
| MOURI,<br>YASUKO      | NIKKEI<br>NEWSPAPER                               | 01/26/2007 | REQUEST FOR CFTC COMMENT FILE 03-<br>002 CONCERNING CME PROPOSED<br>AMENDMENTS  | 07-0064 | 01/26/2007 | TOTAL GRANT                |
| VOIGHT,<br>CHRISTIAN  |   | 02/01/2007 | REQUEST FOR A COPY OF THE<br>ECONOMIC ANALYSIS OF DUAL<br>TRADING ON COMMODITY<br>EXCHANGES IN NOVEMBER 1989                        | 07-0065 | 02/01/2007 | TOTAL GRANT                |
| ESTRADA, JOAN<br>A.   | PROFESSIONAL<br>CARPET<br>SERVICE                 | 02/01/2007 | REQUEST FOR TWO RECENT ORDERS<br>AND PAYMENT RECORDS FOR CARPET<br>INSTALLATION   | 07-0066 | 02/20/2007 | NO RESPONSIVE<br>DOCUMENTS |
| ARCHITZEL,<br>PAUL M. | ALSTON & BIRD,<br>LLP                             | 02/01/2007 | REQUEST FOR MEMORANDUM<br>RECOMMENDING APPROVAL OF THE<br>CME CREDIT EVENT FUTURES<br>CONTRACT ON JANUARY 31, 2007                  | 07-0067 | 03/01/2007 | TOTAL GRANT                |
| JETHWA, VIJAY         | MORGAN<br>STANLEY<br>GLOBAL<br>CAPITAL<br>MARKETS | 02/01/2007 | REQUEST FOR DOCUMENTS FROM<br>PROPERTY CLAIMS SERVICES BASED ON<br>NYMEX AND DOCUMENTS REGARDING<br>COMMENT FILE 95-17.             | 07-0068 | 02/26/2007 | NO RESPONSIVE<br>DOCUMENTS |



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| WALTERS,<br>MARK   | MORRISON AND<br>FOERSTER                     | 02/02/2007 | REQUEST FOR DOCUMENTS RELATED<br>TO RIVERS V. ROSENTHAL, KOTZ V.<br>BACHE HALSEY STUART, LEIST V.<br>SIMPLOT, SAM WONG AND SON V.<br>NYMEX, POINT LANDING V. OMNI<br>CAPITAL, DAMATO V. HERMANSON,<br>AND AMERICAN AGRICULTURE<br>MOVEMENT V. BOARD OF TRADE IN<br>THE CITY OF CHICAGO | 07-0069 | 02/09/2007 | TOTAL GRANT                |
| COVEL,<br>MICHAEL  |  | 02/05/2007 | REQUEST FOR CURTIS FAITH'S<br>WRITTEN WITHDREW FROM NFA  | 07-0070 | 02/07/2007 | REFERRAL                   |
| FOLEY, KEVIN<br>M. | KATTEN<br>MUCHIN<br>ROSENMAN LLP             | 02/06/2007 | REQUEST FOR ANY APPROVAL<br>DOCUMENTS FOR THE CME CREDIT<br>DERIVATIVES CONTRACTS ON JANUARY<br>31ST.  | 07-0071 | 03/01/2007 | TOTAL DENIAL               |
| CORBETT, DAN       |  | 02/06/2007 | REQUEST FOR LIST OF<br>PLAINTIFFS/COMPLAINANTS<br>REPRESENTED BY DOCKET NO. 04-CV-<br>3641.  | 07-0072 | 02/26/2007 | TOTAL GRANT                |
| DE QUACH,<br>ETHAN | WINTON<br>CAPITAL<br>MANAGEMENT              | 02/08/2007 | REQUEST FOR ANY INFORMATION ON<br>RED KITE CAPITAL MANAGEMENT  | 07-0073 | 03/14/2007 | NO RESPONSIVE<br>DOCUMENTS |
| PERRY, TY          | COLLEGE OF<br>BUSINESS<br>ADMINISTRATIO<br>N | 02/08/2007 | REQUEST FOR TRADE<br>RECONSTRUCTION DATA IN THE<br>MARKET FOR EURODOLLAR FUTURES<br>CONTRACTS FOR THE YEARS 2005 AND<br>2006.  | 07-0074 | 02/23/2007 | PARTIAL GRANT              |
| WALTERS,<br>MARK   |  | 02/13/2007 | REQUEST FOR A LIST OF ALL AMICUS<br>BRIEFS FILED BY THE CFTC SINCE 1982.   | 07-0075 | 02/27/2007 | TOTAL GRANT                |

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| KLEBES,<br>JENNIFER   | CHICAGO<br>BOARD<br>OPTIONS<br>EXCHANGE INC. | 02/14/2007 | REQUEST FOR DOCUMENTS RELATED<br>TO CME CONTRACTS BASED UPON<br>CENTEX CORP, JONES APPAREL GROUP,<br>INC. AND TRIBUNE CORPORATION<br>DATED AROUND JANUARY 31, 2007                                    | 07-0076 | 03/01/2007 | TOTAL GRANT                |
| JONES, STEVEN<br>D.   | DOW JONES &<br>CO.                           | 02/14/2007 | REQUEST FOR DOCUMENTS RELATED<br>TO THE RELEASE OF GOVERNMENT<br>INFO ON UNEMPLOYMENT AND THE<br>GROSS DOMESTIC PRODUCT DATING<br>BACK TO JANUARY 2001  | 07-0077 | 04/25/2007 | PARTIAL GRANT              |
| JONES, STEVEN<br>D.   | DOW JONES &<br>CO.                           | 02/14/2007 | REQUEST FOR ALL ENFORCEMENT<br>ACTIONS TAKEN INVOLVING IMPROPER<br>TRADING OF ANY FINANCIAL<br>INSTRUMENT SURROUNDING THE<br>RELEASE OF U.S. GOVERNMENT<br>ECONOMIC INFO DATING BACK TO<br>1980.      | 07-0078 | 03/15/2007 | NO RESPONSIVE<br>DOCUMENTS |
| WITZEL, STEVEN<br>M.  | FRIED FRANK<br>HARRIS SHRIVER<br>JACOBSON    | 02/15/2007 | REQUEST FOR VARIOUS CASE<br>DOCUMENTS RELATED TO CFTC VS.<br>A.S. TEMPLETON GROUP INC.;<br>HOLSTON, YOUNG PARKER &<br>ASSOCIATES; WALTER SCOTT LEV &<br>ASSOCIATES; AND FIRST LEXINGTON<br>GROUP LLC. | 07-0079 | 08/30/2007 | PARTIAL GRANT              |
| WESTERHOLM,<br>JOSHUA | SIDLEY &<br>AUSTIN                           | 02/15/2007 | REQUEST FOR TWO MEMORANDA'S<br>RELATING TO CREDIT EVENT<br>CONTRACTS PROPOSED TO BE TRADED<br>ON THE CME DATED JANUARY 24, 2007<br>AND JANUARY 12, 2007   | 07-0080 | 03/01/2007 | TOTAL GRANT                |

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| NEGRON,<br>AKVILE                                      | 02/16/2007 | REQUEST FOR PERSONAL STATEMENT<br>FOR BROKER ERROR ACCOUNT WITH<br>TIME LEVERAGE CORPORATION  | 07-0081 | 03/13/2007 | NO RESPONSIVE<br>DOCUMENTS |
| DAVIS, WARREN SUTHERLAND<br>N. ASBILL &<br>BRENNAN LLP | 02/16/2007 | REQUEST FOR ALL DOCUMENTS<br>DISCUSSING WHETHER CREDIT EVENT<br>FUTURES CONTRACTS ARE SECURITIES<br>OR COMMODITIES AS THOSE<br>DOCUMENTS ARE DESCRIBED IN THE<br>FINAL ORDER RELATING TO THREE<br>CREDIT EVENT CONTRACTS ON THE<br>CME. | 07-0082 | 03/01/2007 | TOTAL GRANT                |
| GIOVANNETTI,<br>CARLO                                  | 02/20/2007 | REQUEST FOR CFTC INTERPRETATIVE<br>LETTER NO. 76-21   | 07-0083 | 02/26/2007 | TOTAL GRANT                |
| SIMON  | 02/20/2007 | REQUEST FOR DOCUMENT RF 05-005  | 07-0084 | 02/20/2007 | TOTAL GRANT                |
| FORD, HEDGESTREET<br>STEPHANIE                         | 02/23/2007 | REQUEST FOR ALL DOCUMENTS<br>RELATED TO THE APPROVAL ORDER<br>FOR THE CME CREDIT EVENT<br>PRODUCTS WHICH WAS SUBMITTED<br>TO THE CFTC ON OCT. 17, 2006 AND<br>APPROVED ON JAN. 31, 2007   | 07-0085 | 03/01/2007 | TOTAL GRANT                |
| MARK,<br>WALTERS                                       | 02/27/2007 | REQUEST FOR A COPY OF THE AMICUS<br>BRIEF FILED BY THE CFTC IN THE CASE<br>01CV4071 BOARD OF TRADE, ET AL. v.<br>KLEIN & Co. FUTURES, IN THE NEW<br>YORK SOUTHERN DISTRICT COURT.   | 07-0086 | 03/15/2007 | TOTAL GRANT                |
| SONYA GROVER   | 02/28/2007 | REQUEST FOR NON-PUBLIC<br>INFORMATION ON FILE WITH NFA FOR<br>MATTHEW THOMAS FARDY.   | 07-0087 | 03/07/2007 | TOTAL DENIAL               |
| STEPHEN PAGE   | 03/02/2007 | REQUEST FOR A FOIA/PA REFERENCE<br>GUIDE.   | 07-0088 | 03/02/2007 | TOTAL GRANT                |

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| RABBINER,<br>DAVID                           | SCHIFFRIN<br>BARROWAY<br>TOPAZ KESSLER<br>LLP | 03/07/2007 | REQUEST FOR ALL DOCUMENTS<br>RELATED TO VARIOUS INDIVIDUALS<br>WHO WERE EMPLOYED BY AVISTA<br>CORPORATION   | 07-0089 | 03/27/2007 | TOTAL GRANT   |
| AFFELT, AMY                                  | LEXECON                                       | 03/07/2007 | REQUEST FOR DOCUMENTS RELATED<br>TO LONDON CLEARING HOUSE<br>LIMITED, RFO1-005.   | 07-0090 | 03/07/2007 | TOTAL GRANT   |
| HARTMAN,<br>BARRY M. &<br>OXLEY,<br>BENJAMIN | K & L GATES                                   | 03/08/2007 | REQUEST FOR COPIES OF ALL THE<br>CFTC'S RECORDS PERTAINING TO<br>SECTIONS 2(D), 2(G), 2(H) AND/OR 2(I)<br>OF THE COMMODITY FUTURES<br>MODERNIZATION ACT OF 2000.  | 07-0091 | 07/19/2007 | PARTIAL GRANT |
| TEMPLE, NANCY<br>A                           | FREEMAN<br>FREEMAN &<br>SALZMAN               | 03/13/2007 | REQUEST FOR APPLICATION OF<br>LONDON CLEARING HOUSE LTD. FOR<br>REGISTRATION AS A DERIVATIVES<br>CLEARING ORGANIZATION FILE NO. 01-<br>005  | 07-0092 | 03/27/2007 | TOTAL GRANT   |
| GOOD,<br>JENNIFER                            |   | 03/13/2007 | REQUEST FOR ALL INFORMATION<br>REGARDING RJ O'BRIEN ASSOCIATES,<br>INC., ROSENTHAL COLLINS GROUP LLC,<br>FCSTONE LLC, CADENT FINANCIAL<br>SERVICES LLC FILED WITH THE<br>COMMISSION FOR DEC. 31, 2005 AND<br>DEC. 31, 2006. | 07-0093 | 03/21/2007 | PARTIAL GRANT |
| NARAYANSWA<br>MY, ANUPAMA                    | SUNLIGHT<br>FOUNDATION                        | 03/14/2007 | REQUEST FOR ALL LOGS OF<br>CORRESPONDENCE BETWEEN<br>MEMBERS OF CONGRESS AND CFTC<br>BETWEEN JAN. 1, 2007 TO FEB. 28,<br>2007.  | 07-0094 | 03/14/2007 | TOTAL GRANT   |
| THALL, RUSSELL<br>L.                         |   | 03/16/2007 | REQUEST FOR ALL BROCHURES<br>REGARDING FUTURES TRADING  | 07-0095 | 03/21/2007 | TOTAL GRANT   |

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| JOHNSON,<br>MARK R.   | SIDLEY &<br>AUSTIN                    | 03/16/2007 | REQUEST FOR APPLICATION FOR<br>CONTRACT MARKET DESIGNATION OF<br>FLUID MILK FUTURES, RULE CHANGE IN<br>1997 AND 2000 BY CME REGARDING<br>FLUID MILK FUTURES  | 07-0096 | 04/25/2007 | TOTAL GRANT   |
| SONYA GROVER          |                                       | 03/20/2007 | REQUEST FOR NON-PUBLIC<br>DOCUMENTS ON FILE WITH THE NFA<br>FOR MATTHEW CHARLES HALBOWER.  | 07-0097 | 03/27/2007 | TOTAL GRANT   |
| REED,<br>CHRISTOPHER  | WINTON<br>CAPITAL<br>MANAGEMENT       | 03/23/2007 | REQUEST FOR DISCLOSURE<br>DOCUMENTS ON FILE WITH NFA FOR<br>EQUIMETRICS FUND, LTD.: MATRIX<br>FUND LP: MEDALLION CAPITAL<br>INVESTMENT, LTD.; MEDALLION FUND;<br>MERITAGE FUND, LTD.: MERITAGE<br>HOLDINGS, LTD. AND RIEF RMP LLC;<br>THAT ARE RESPONSIVE TO THE<br>REQUESTS | 07-0098 | 03/29/2007 | TOTAL GRANT   |
| RAVNITZKY,<br>MICHAEL |                                       | 03/26/2007 | REQUEST FOR INFORMATION<br>RECEIVED REGARDING THE SECURITIES<br>AND EXCHANGE COMMISSION FROM<br>MARCH 1, 2003 TO THE PRESENT   | 07-0099 | 04/18/2007 | TOTAL GRANT   |
| SCHMIDT,<br>LAUREN E. | BROWNSTEIN<br>HYATT FARBER<br>SCHRECK | 03/27/2007 | REQUEST FOR INFORMATION<br>REGARDING ENSERCO ENERGY, INC. V.<br>SHAWN T. MCLAUGHLIN, WILLIAM<br>WARBURTON, MATHEW REED, AND<br>DARRELL DANYLUK.  | 07-0100 | 04/18/2007 | PARTIAL GRANT |
| FETTERS,<br>CHUCK     | BAKER &<br>HOSTETLER, LLP             | 03/27/2007 | REQUEST FOR ANY INFORMATION<br>REGARDING CIVIL OR ADMINISTRATIVE<br>ACTION BROUGHT AGAINST MADISON<br>CAPITAL, LLC AND/OF MONTAGUE &<br>HAMILTON, LLC.   | 07-0101 | 04/20/2007 | PARTIAL GRANT |

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| PINKETT,<br>DANIEL     |                                | 03/28/2007 | REQUEST FOR VARIOUS CURRENT<br>INFORMATION REGARDING CFTC<br>STAFF.  | 07-0102 | 04/26/2007 | TOTAL GRANT   |
| KUROV, ALEX            | WEST VIRGINIA<br>UNIVERSITY    | 03/29/2007 | REQUEST FOR DOCUMENTS<br>REGARDING CME REDUCED MINIMUM<br>TICK SIZES OF ITS NASDAQ-100 AND E-<br>MINI NASDAQ-100 FUTURES<br>CONTRACTS FROM 0.5 TO 0.25 INDEX<br>POINTS.  | 07-0103 | 04/18/2007 | TOTAL GRANT   |
| RAISLER,<br>KENNETH E. | SULLIVAN &<br>CROMWELL         | 03/29/2007 | REQUEST FOR DOCUMENTS PROVIDED<br>TO THE WALL STREET JOURNAL ON OR<br>ABOUT MARCH 23, 2007 IN RESPONSE<br>TO FOIA REQUEST NO. 06-0173  | 07-0104 | 03/29/2007 | TOTAL GRANT   |
| ANTHONY,<br>WILLIAM D  | MCBREEN &<br>KOPKO LAW<br>FIRM | 03/30/2007 | REQUEST FOR NO-ACTION<br>APPLICATION MATERIALS FOR THE NO-<br>ACTIONS UNDER PART 30: CFTC LETTER<br>NO. 07-02 (TFX APPLICATION) AND<br>TAIFEX'S MSCI TAIWAN INDEX<br>FUTURES CONTRACT  | 07-0105 | 04/18/2007 | TOTAL GRANT   |
| MARINEZ,<br>FERNANDO   |                                | 04/02/2007 | REQUEST FOR INFORMATION<br>REGARDING FOREX LIQUIDITY LLC.  | 07-0106 | 04/18/2007 | PARTIAL GRANT |
| SEELEY, TINA           | BLOOMBERG<br>NEWS              | 04/11/2007 | REQUEST FOR INFORMATION<br>REGARDING REUBEN JEFFERY OR ANY<br>OTHER CFTC COMMISSIONER TO<br>SENATOR JEFF BINGAMAN<br>RESPONDING TO QUESTIONS ABOUT<br>WHETHER THE COMMISSION IS<br>ADEQUATELY OVERSEEING NATURAL<br>GAS MARKETS. | 07-0107 | 04/16/2007 | TOTAL GRANT   |

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| PHILLIPP,<br>MICHAEL              | WINSTON &<br>STRAWN                        | 04/12/2007 | REQUEST FOR STAFF MEMO<br>RECOMMENDING THE APPROVAL OF<br>THE CME CREDIT EVENT OPTION<br>CONTRACTS APPROVED ON JANUARY<br>31, 2007   | 07-0108 | 04/18/2007 | TOTAL GRANT                |
| PHILLIPP,<br>MICHAEL              | WINSTON &<br>STRAWN                        | 04/12/2007 | REQUEST FOR SELF-CERTIFICATION<br>FILINGS MADE BY THE USFE WITH<br>RESPECT TO THE CME CBOT AND CBOT,<br>ICE COMBINATION CONTRACTS THAT<br>WERE FILED BY USFE WITH THE<br>COMMISSION ON 3/21/07   | 07-0109 | 05/04/2007 | TOTAL GRANT                |
| RABBINER,<br>DAVID                | SCHIFFIN<br>BARROWAY<br>TOPAZ &<br>KESSLER | 04/16/2007 | REQUEST FOR ALL DOCUMENTS<br>RELATING TO ADMINISTRATIVE<br>ACTION INVOLVING: TORC<br>INVESTMENTS & RESEARCH LLC, TORC<br>FINANCIAL, JDI FINANCIAL, TORC<br>MANAGEMENT, MARKET MAKER<br>FUND LP, CENTURION SECURITIES LLC,<br>GARY L. ANDERSON, STEPHEN M.<br>JOHNSON, AMADA MCNAMARA | 07-0110 | 05/04/2007 | NO RESPONSIVE<br>DOCUMENTS |
| GAO, LAN                          | GEORGETOWN<br>UNIVERSITY<br>LAW CENTER     | 04/18/2007 | REQUEST FOR JANUARY 31, 2007<br>LETTER CONCERNING THE APPROVAL<br>ON THE CME CREDIT EVENT BINARY<br>FUTURES, FROM EILEEN DONOVAN TO<br>JOHN LABUSZEWSKI.   | 07-0111 | 04/20/2007 | TOTAL GRANT                |
| MARIA<br>FERNANDA<br>ROCHA BARROS |  | 04/18/2007 | REQUEST FOR INFORMATION ON THE<br>CME CREDIT EVENT CONTRACT AND<br>THE CBOE AND OPTIONS CLEARING<br>CORPORATION SUBMISSION #06-76<br>DATED NOVEMBER 3, 2006.   | 07-0112 | 05/04/2007 | TOTAL GRANT                |

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| GROVER,<br>SANDRA         | NATIONAL<br>FUTURES<br>ASSOCIATION     | 04/25/2007 | REQUEST FOR INFORMATION<br>REGARDING RICHARD JAY GOLDSTEIN,<br>FORWARD FROM THE NFA.  | 07-0113 | 05/15/2007 | TOTAL GRANT                |
| LECKIE, JOHN              |  | 04/25/2007 | REQUEST FOR THE FOLLOWING<br>DOCUMENTS: BANK PARTICIPATION IN<br>THE FUTURES OPTIONS MARKET<br>REPORTS - FUTURES AND OPTIONS<br>REPORTS PRIOR TO THE YEAR 2000. | 07-0114 | 05/30/2007 | NO RESPONSIVE<br>DOCUMENTS |
| NARAYANSWA<br>MY, ANUPAMA | SUNLIGHT<br>FOUNDATION                 | 04/25/2007 | REQUEST FOR ALL CORRESPONDENCE<br>BETWEEN MEMBERS OF CONGRESS<br>AND THE CFTC, BETWEEN MARCH 1,<br>2007 AND MARCH 31, 2007                                      | 07-0115 | 07/26/2007 | TOTAL GRANT                |
| CHAMBLISS, BO             | CME                                    | 04/30/2007 | REQUEST FOR DOCUMENTS RELATING<br>TO THE REQUEST FOR APPROVAL OF<br>CME'S CREDIT EVENT CONTRACTS.   | 07-0116 | 05/04/2007 | TOTAL GRANT                |
| KEZSBOM,<br>ADAM          | GEORGETOWN<br>UNIVERSITY<br>LAW CENTER | 04/30/2007 | REQUEST FOR DOCUMENTS RELATED<br>TO THE CFTC ACCEPTANCE OF THE<br>CME CREDIT EVENT FUTURES<br>CONTRACT.   | 07-0117 | 05/04/2007 | TOTAL GRANT                |
| JAKUBOWSKI,<br>MARK       | NATIONAL<br>FUTURES<br>ASSOCIATION     | 05/01/2007 | REQUEST FOR DOCUMENTS RELATED<br>TO ANDREW L. MADENBERG,<br>FORWARDED FROM NFA.   | 07-0118 | 05/15/2007 | TOTAL DENIAL               |
| SCHELLER, MIKE            | PRICE<br>WATERHOUSE                    | 05/02/2007 | REQUEST FOR 1987 EFP REPORT FROM<br>THE DIVISION OF TRADING AND<br>MARKETS.   | 07-0119 | 05/02/2007 | TOTAL GRANT                |
| TAYLOR,<br>JONATHAN       |  | 05/02/2007 | REQUEST FOR A LIST OF ALL CFTC<br>REGISTERED FOREX MUTUAL FUND<br>OPERATORS.  | 07-0120 | 05/30/2007 | NO RESPONSIVE<br>DOCUMENTS |



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| ERENBURG,<br>GRIGORI    | CHAPMAN<br>UNIVERSITY                 | 05/04/2007 | REQUEST FOR HISTORICAL DATA ON<br>NEW YORK HDD/CDD, CHICAGO<br>HDD/CDD, HOUSTON HDD/CDD, AND<br>BOSTON HDD/CDD WEATHER FUTURES<br>CONTRACTS TRADED ON CME.                                  | 07-0121 | 05/23/2007 | TOTAL GRANT   |
| CABRERA-<br>LOPEZ, MAYA | LRP<br>PUBLICATIONS                   | 05/04/2007 | REQUEST FOR UPDATES TO CFTC'S<br>EMPLOYEE HANDBOOK, PERSONNEL<br>INSTRUCTIONS, POLICIES,<br>MEMORANDAS FOR THE PERIOD OF<br>SEPT 2, 2006 THROUGH APRIL 18,<br>2007.                         | 07-0122 | 05/15/2007 | TOTAL GRANT   |
| ZORDANI,<br>JENNIFER    | UNGARETTI &<br>HARRIS                 | 05/08/2007 | REQUEST FOR VARIOUS REFCO LLC,<br>CFTC FORM 1-FR-FCM  | 07-0123 | 05/08/2007 | PARTIAL GRANT |
| ZORDANI,<br>JENNIFER    | UNGARETTI &<br>HARRIS                 | 05/08/2007 | REQUEST FOR REFCO LLC CFTC FORM 1-<br>FR-FCM FOR THE PERIODS 9/1/04 –<br>9/30/2004, 12/01/2004 – 12/31/2004<br>AND 9/1/2003 – 9/30/2003.  | 07-0124 | 05/15/2007 | PARTIAL GRANT |
| KELLEY, MARY            |                                       | 05/10/2007 | REQUEST FOR INFORMATION<br>REGARDING CFTC VS. CARNEGIE<br>TRADING GROUP, JOHN GLASE, CIVIL<br>ACTION 1:04CV1403.  | 07-0125 | 06/07/2007 | WITHDRAWN     |
| HUGHES,<br>SHERRI       | LAW OFFICES<br>OF SHERRI L.<br>HUGHES | 05/15/2007 | REQUEST FOR ALL INFORMATION<br>REGARDING GREGORY RATHJEN,<br>MATTHEW DOYLE, AISHA RICKETTS,<br>DAVID STURGESS AND JOHN PROCTOR<br>IN CONNECTION WITH THE<br>INVESTIGATION OF MATTHEW DOYLE. | 07-0126 | 05/21/2007 | PARTIAL GRANT |
| GROVER,<br>SONYA        | NFA                                   | 05/18/2007 | REQUEST FOR ALL INFORMATION<br>RELATED TO EUGENE ANDREW<br>CUNNINGHAM JR.   | 07-0127 | 05/22/2007 | TOTAL DENIAL  |

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| ROHLING,<br>GLENDA<br>ERENBURG,<br>GRIGORI | RESERVE BANK<br>OF AUSTRALIA<br>CHAPMAN<br>UNIVERSITY | 05/18/2007<br>05/23/2007 | REQUEST FOR 2005 AND 2006 ANNUAL<br>REPORTS.<br>REQUEST FOR TIME AND SALES AND<br>CTR DATA FOR THE NATURAL GAS<br>FUTURES CONTRACTS (TRADED ON<br>NYMEX) FROM JANUARY 1998 TO<br>DECEMBER 2003.                          | 07-0128<br>07-0129 | 05/21/2007<br>06/26/2007 | NO RESPONSIVE<br>DOCUMENTS<br>NO RESPONSIVE<br>DOCUMENTS |
| OAKES, DAN                                 | COMPETITION<br>POLICY<br>ASSOCIATES                   | 05/24/2007               | REQUEST FOR AN ARTICLE WRITTEN BY<br>PROFESSOR KYLE IN 1981, " A STUDY<br>OF THE SILVER MARKET".   | 07-0130            | 06/04/2007               | NO RESPONSIVE<br>DOCUMENTS                               |
| DINUZZO, GINO                              |   | 06/01/2007               | REQUEST FOR CBOT<br>PURCHASE/MERGER WITH MACE  | 07-0131            | 06/01/2007               | TOTAL GRANT  |
| MACK, TODD                                 | WDS, INC.   | 06/05/2007               | REQUEST FOR ALL DOCUMENTS<br>RELATED TO OPTIONABLE, INC., AND<br>ITS ELECTION TO OPERATE AS AN<br>EXEMPT COMMERCIAL MARKET   | 07-0132            | 06/15/2007               | TOTAL GRANT  |
| ATKINS, BRYAN                              | AUSTIN TETRA  | 06/05/2007               | REQUEST FOR COPIES OF SERVICE TASK<br>ORDERS/STATEMENTS OF WORK FOR<br>FISCAL YEARS 2005, 2006, AND 2007.  | 07-0133            | 06/15/2007               | NO RESPONSIVE<br>DOCUMENTS                               |
| KLEBES,<br>JENNIFER L.                     | CHICAGO<br>BOARD OF<br>OPTIONS<br>EXCHANGE            | 06/08/2007               | REQUEST FOR COPY OF ORDER<br>AND/OR LETTER ON OR ABOUT JUNE 5,<br>2007 IN WHICH CFTC APPROVED THE<br>CHICAGO MERCANTILE EXCHANGE'S<br>NORTH AMERICAN INVESTMENT<br>GRADE HIGH VOLATILITY CREDIT INDEX<br>EVENT CONTRACT. | 07-0134            | 06/08/2007               | TOTAL GRANT  |

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| COVEL,<br>MICHEAL   |   | 06/13/2007 | REQUEST FOR ALL INFORMATION<br>REGARDING CFTC DOCKET NO. 06-05<br>REGARDING TOBY MAYNE DENNISTON<br>II AND ACCELERATION CAPITAL,<br>ACCELERATION MERCURY FUND 4X LP<br>AND OR YURI PLYAM.                  | 07-0135 | 06/15/2007 | NO RESPONSIVE<br>DOCUMENTS |
| CHAMBLISS, BO       | CHICAGO<br>MERCANTILE<br>EXCHANGE             | 06/14/2007 | REQUEST FOR THE MAY 31, 2007<br>MEMORANDUM FROM DMO<br>REGARDING THE CME'S APPLICATION<br>TO LIST A CREDIT EVENT FUTURES<br>CONTRACT OR THE DISCUSSION OF<br>CREDIT EVENT FUTURES CONTRACTS IN<br>GENERAL. | 07-0136 | 06/15/2007 | TOTAL GRANT                |
| SCHNITZER,<br>DAVID | DEMOCRATIC<br>NATIONAL<br>COMMITTEE           | 06/15/2007 | REQUEST FOR ALL INFORMATION<br>REGARDING FRED D. THOMPSON OR<br>HIS OFFICE DURING THE PERIOD HE<br>WAS A UNITED STATES SENATOR (1994<br>- 2002).   | 07-0137 | 07/10/2007 | PARTIAL GRANT              |
| ARCHITZEL,<br>PAUL  | ALSTON & BIRD,<br>LLP                         | 06/19/2007 | REQUEST FOR MEMORANDUM<br>RECOMMENDING COMMISSION<br>APPROVAL OF THE CME INDEX EVENT<br>FUTURES CONTRACT ON JUNE 5, 2007.  | 07-0138 | 06/19/2007 | TOTAL GRANT                |
| KLEBES,<br>JENNIFER | CHICAGO<br>BOARD<br>OPTIONS<br>EXCHANGE, INC. | 06/20/2007 | REQUEST FOR MEMORANDUM FROM<br>DMO DATED APRIL 10, 1998 AND ANY<br>ORDER, MEMO OR OTHER<br>DOCUMENTS RELATING TO THE CME<br>QBI FUTURES CONTRACT APPROVED<br>ON APRIL 14, 1998..                           | 07-0139 | 08/03/2007 | TOTAL GRANT                |

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| LYKOWSKI,<br>LACOSTA      | WERSHOW &<br>RITTER, P.S.            | 07/28/2007 | REQUEST FOR ALL RECORDS RELATING<br>TO TRADE RISK MANAGEMENT LLC,<br>JAMES A. MAGGIO AND RECORDS<br>REGARDING "SIGMA BANDS".                                  | 07-0140 | 08/28/2007 | PARTIAL GRANT |
| NARAYANSWA<br>MY, ANUPAMA | SUNLIGHT<br>FOUNDATION               | 07/03/2007 | REQUEST FOR ALL CORRESPONDENCE<br>BETWEEN MEMBERS OF CONGRESS<br>AND CFTC FROM APRIL 1, 2007 TO<br>JUNE 30, 2007.   | 07-0141 | 07/11/2007 | TOTAL GRANT   |
| KERRIGAN,<br>JAMES        | COLMAR<br>CORPORATION                | 07/05/2007 | REQUEST FOR FY 2008 INFORMATION<br>TECHNOLOGY (IT) BUDGET<br>SUBMISSION IN RESPONSE TO OMB<br>CIRCULAR A-11 AND MOST RECENT<br>LONG RANGE IT PLAN.            | 07-0142 | 08/06/2007 | TOTAL GRANT   |
| WALLOP,<br>CLEMENTINE     |                                      | 07/09/2007 | REQUEST FOR COMPLAINTS MADE TO<br>CFTC ABOUT MANIPULATION OF THE<br>METAL MARKETS BY US HEDGE FUNDS<br>OVER THE LAST THREE YEARS FROM<br>2004 TO THE PRESENT. | 07-0143 | 08/31/2007 | PARTIAL GRANT |
| HAMMER,<br>MICHELLE       | ONTARIO<br>SECURITIES<br>COMMISSION  | 07/09/2007 | REQUEST FOR ALL INFORMATION<br>RGARDING STEEN ELGAARD.  | 07-0144 | 07/19/2007 | PARTIAL GRANT |
| PANCHACHARA<br>M, GRANT   | COUNTRYWATC<br>H, INC.               | 07/10/2007 | REQUEST FOR DOCUMENT RF 05-003  | 07-0145 | 07/10/2007 | TOTAL GRANT   |
| FOLEY, KEVIN<br>M.        | KATTEN<br>MUCHIN<br>ROSENMAN<br>LLP. | 07/18/2007 | REQUEST FOR ALL DOCUMENTS<br>RECOMMENDING APPROVAL OF THE<br>CME CREDIT INDEX EVENT CONTRACTS<br>THAT THE COMMISSION APPROVED<br>ON JUNE 5, 2007.             | 07-0146 | 07/24/2007 | TOTAL GRANT   |

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| PANCHACHARA<br>M, GRANT |   | 07/23/2007 | REQUEST FOR LETTER FROM JOHN<br>DELANY, CEO TRADE EXCHANGE<br>NETWORK, TO DMO ON SEPTEMBER<br>25, 2005, NOTIFYING THE CFTC OF THE<br>ELECTION TO OPERATE INTRADE<br>BOARD OF TRADE AS AN EXEMPT<br>BOARD OF TRADE IN RELIANCE ON THE<br>EXEMPTION. | 07-0147 | 08/03/2007 | TOTAL GRANT                |
| ROTONDI, JOHN           | ALLIANZ GLOABI<br>INVESTORS<br>DISTRIBUTORS<br>LLC. | 07/24/2007 | REQUEST FOR FY 2006 ANNUAL<br>REPORT   | 07-0148 | 07/25/2007 | NO RESPONSIVE<br>DOCUMENTS |
| ARCHITZEL,<br>PAUL      | ALSTON & BIRD,<br>LLP                               | 07/26/2007 | REQUEST FOR MEMO FROM DMO<br>REGARDING A NO-OBJECTION LETTER<br>TO EUREX DEUTSCHLAND IN<br>CONNECTION WITH EUREX'S APRIL 3,<br>2007 NOTIFICATION TO THE<br>COMMISSION.   | 07-0149 | 08/08/2007 | TOTAL DENIAL               |
| HUNKINS,<br>JULIANNE    | CORPORATE<br>RISK<br>INTERNATIONAL<br>/ NFA         | 07/26/2007 | REQUEST FOR INFORMATION<br>REGARDING STEVE ALLEN BEITLER.  | 07-0150 | 08/07/2007 | TOTAL GRANT                |
| HUNKINS,<br>JULIANNE    | CORPORATE<br>RISK<br>INTERNATIONAL<br>/ NFA         | 07/26/2007 | REQUEST FOR INFORMATION<br>REGARDING JOHN TERRENCE BURKE.  | 07-0151 | 08/07/2007 | PARTIAL GRANT              |
| CONNELLY,<br>FAITH      |   | 08/01/2007 | REQUEST FOR A RACIAL BACKGROUND<br>CHECK COMPLETED FOR THE MOST<br>RECENT CONSECUTIVE FIVE YEAR<br>PERIOD AVAILABLE.   | 07-0152 | 08/13/2007 | NO RESPONSIVE<br>DOCUMENTS |

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| ALIC, LEJLA            | U.S<br>DEPARTMENT<br>OF ENERGY,<br>ENERGY<br>INFORMATION<br>ADMINISTRATIO<br>N | 08/07/2007 | REQUEST FOR INTRADAY FUTURES<br>PRICES FOR NYMEX AND CME'S<br>GLOBEX FROM OCTOBER 1, 2006 TO<br>AUGUST 1, 2007            | 07-0153 | 08/07/2007 | TOTAL GRANT                |
| PLACE,<br>RANDALL C.   | BLUM & SILVER<br>LLP   | 08/09/2007 | REQUEST FOR CFTC REPARATIONS<br>INFORMATION REGARDING ROBBINS<br>FUTURES INC., ROBBINS TRADING<br>COMPANY, JOEL S. SPRITZ | 07-0154 | 08/30/2007 | TOTAL GRANT                |
| BAEK, LESLIE           |  | 08/14/2007 | REQUEST FOR FOREX CAPITAL<br>MARKETS 2006 AND 2007 ANNUAL<br>REPORT   | 07-0155 | 08/31/2007 | PARTIAL GRANT              |
| MANOR,<br>ROBERT D.    | CHICAGO<br>TRIBUNE   | 08/20/2007 | REQUEST FOR ALL DOCUMENTS<br>RELATED TO SENTINEL MANAGEMENT<br>GROUP  | 07-0156 | 09/17/2007 | PARTIAL GRANT              |
| ROPER, GLENN<br>E.     | ARNOLD &<br>PORTER LLP   | 08/20/2007 | REQUEST FOR INFORMATION<br>REGARDING CFTC VS. RICHMOND,<br>CASE NO. 05-CV-668.  | 07-0157 | 10/23/2007 | TOTAL GRANT                |
| TERVIN,<br>KATHLEEN M. | SMW TRADING<br>COMPANY INC   | 08/21/2007 | REQUEST FOR A FULL COPY OF<br>SENTINEL MANAGEMENT GROUP'S<br>6/30/07 1-FR.  | 07-0158 | 08/31/2007 | PARTIAL GRANT              |
| MCNULTY,<br>MEGAN      | KOTTKE<br>ASSOCIATES LLC   | 08/21/2007 | REQUEST FOR SENTINEL<br>MANAGEMENT GROUP INC.'S JUNE<br>30TH 1-FR.  | 07-0159 | 08/31/2007 | PARTIAL GRANT              |
| DULANEY, ALEX          | CUNNINGHAM<br>& STRIPLING  | 08/22/2007 | REQUEST FOR CFTC DOCKET NO. 03-03.  | 07-0160 | 09/19/2007 | WITHDRAWN                  |
| VEGA, RUDY             |  | 08/28/2007 | REQUEST FOR VARIOUS INFORMATION<br>INCLUDING INFORMATION ON<br>N.A.F.T.A. AND W.T.O.                                      | 07-0161 | 09/21/2007 | NO RESPONSIVE<br>DOCUMENTS |

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| BRIGANTI,<br>VINCENT      | LOWEY<br>DANNENBERG<br>BEMPORAD<br>SELINGER &<br>COHEN LLC | 08/28/2007 | REQUEST FOR ALL INFORMATION<br>REGARDING CFTC VS. AMARANTH<br>ADVISORS LLC.   | 07-0162 | 10/17/2007 | TOTAL DENIAL               |
| HOAR, WILLIAM<br>O.       |  | 08/30/2007 | REQUEST FOR INFORMATION<br>REGARDING MY W-2 WAGE<br>STATEMENT RECEIVED IN 2006 FROM<br>THE CFTC SOCIAL SECURITY EARNINGS<br>OF \$20,485.63. | 07-0163 | 08/30/2007 | TOTAL GRANT                |
| GRUBE, CHRIS              | STEIN SPERLING<br>BENNETT DE<br>JONG DRISCOLL<br>& GREENF  | 08/30/2007 | REQUEST FOR ALL DOCUMENTS<br>RELATED TO FRAUDULENT CHECKS<br>DRAWN FROM CITIBANK AND/OR<br>BANK OF AMERICA.                                 | 07-0164 | 08/30/2007 | NO RESPONSIVE<br>DOCUMENTS |
| NARAYANSWA<br>MY, ANUPAMA | SUNLIGHT<br>FOUNDATION                                     | 09/05/2007 | REQUEST FOR ANY AND ALL<br>CORRESPONDENCE BETWEEN<br>MEMBERS OF CONGRESS AND CFTC<br>BETWEEN JULY 1, 2007 TO AUGUST 31,<br>2007.            | 07-0165 | 09/27/2007 | TOTAL GRANT                |
| LOYOLA,<br>JEANNE         | VISION<br>FINANCIAL<br>MARKETS                             | 09/07/2007 | REQUEST FOR CFTC LETTER NO. 04-06<br>DATED JANUARY 21, 2004 TO SENTINEL<br>MANAGEMENT GROUP, INC.   | 07-0166 | 10/17/2007 | PARTIAL GRANT              |
| GAZA, MARY                | KENMAR<br>GROUP INC.                                       | 09/11/2007 | REQUEST FOR AUDITED FINANCIALS<br>FOR FYE 12.31.2004; 2005 AND 2006<br>FOR SENTINEL MANAGEMENT GROUP<br>INC                                 | 07-0167 | 10/12/2007 | PARTIAL GRANT              |

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| FOLEY, KEVIN M.      | KATTEN<br>MUCHIN<br>ROSENMAN LLP     | 09/12/2007 | REQUEST FOR SENTINEL MANAGEMENT GROUP, INC'S 1/21/04 NO-ACTION LETTER AND ANY ADDITIONAL CORRESPONDENCE IN RESPONSE TO THAT LETTER; 5/7/81 LETTER FROM/TO JOHN MANLEY TO/FROM TERRY CLAASSEN; AND 7/31/01 LETTER TO/FROM JOHN LAWTON TO/FROM SUSAN ERVIN. | 07-0168 | 10/17/2007 | PARTIAL GRANT           |
| SVETE, DAVID W.      |                                      | 09/12/2007 | REQUEST FOR ALL RECORDS ON FILE FOR DAVID WILLIAM SVETE.  | 07-0169 | 10/12/2007 | NO RESPONSIVE DOCUMENTS |
| PATTERSON, LARRY     |                                      | 09/13/2007 | REQUEST FOR INFORMATION REGARDING FUTURES AND OPTIONS   | 07-0170 | 10/17/2007 | INFORMATIONAL BROCHURES |
| DELAHOUSSEY, ERIC    |                                      | 09/13/2007 | REQUEST FOR INFORMATION REGARDING INVESTING IN STOCK AND COMMODITIES  | 07-0171 | 10/17/2007 | INFORMATIONAL BROCHURES |
| TEE TAN & ROBERT FU  | MARTELLO<br>INVESTMENT<br>MANAGEMENT | 09/13/2007 | REQUEST FOR A REPORT ON VOLUME INVESTORS CORPORATION FROM T&M IN JULY 1986  | 07-0172 | 09/27/2007 | PARTIAL GRANT           |
| NIELSON, CATHERINE   | THE NATIONAL<br>SECURITY<br>ARCHIVE  | 09/13/2007 | REQUEST FOR ALL DOCUMENTS RELATED TO THE PRESIDENT'S EXECUTIVE ORDER ON IMPROVING AGENCY DISCLOSURE OF INFORMATION AND CFTC'S FOIA'S IMPROVEMENT PLAN ET AL.  | 07-0173 | 09/28/2007 | TOTAL GRANT             |
| KAMROWSKI, RONI LYNN |                                      | 09/17/2007 | REQUEST FOR ALL DOCUMENTS PERTAINING TO RONI LYNN KZEVECHIN FROM FEBRUARY 2007 TO THE PRESENT, SPECIFICALLY ANY CPS INFORMATION THAT MAY HAVE BEEN SUBMITTED OR CRIMINAL OR MENTAL HEALTH EVALUATIONS.  | 07-0174 | 09/24/2007 | WITHDRAWN               |



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| BLAU, LESLIE          | BLAU & BONAVICH                 | 09/20/2007 | REQUEST FOR CFTC'S MOST RECENT TELEPHONE DIRECTORY  | 07-0175 | 09/26/2007 | TOTAL GRANT   |
| STOLL, IAN T.         | LOVELL STEWART HALEBIAN LLP     | 09/24/2007 | REQUEST FOR ALL INFORMATION AND/OR RECORDS REFERENCED OR RELIED UPON IN THE COMPLAINT IN THE MATTER OF CFTC V. BP PRODUCTS NORTH AMERICA, INC., 06-3503 (RC)(N.D.IL.).  | 07-0176 | 11/08/2007 | TOTAL DENIAL  |
| READ, CHRISTOPHER     | WINTON CAPITAL MANAGEMENT, LTD. | 09/24/2007 | REQUEST FOR DISCLOSURE DOCUMENTS ON FILE WITH THE NFA FOR QUANTITATIVE FINANCIAL STRATEGIES, INC.   | 07-0177 | 12/04/2007 | TOTAL GRANT   |
| BLAU, LESLIE A.       | BLAU & BONAVICH                 | 09/25/2007 | REQUEST FOR INFO. ON THE SALE OF ASSETS OF AMERICAN NATIONAL TRADING COMPANY (ANTC) TO PEREGRINE FINANCIAL GROUPT; AND THE LAST AUDITED FINANCIAL AND THE TWO MOST RECENT UN-AUDITED FINANCIAL STATEMENT ON (ANTC). | 07-0178 | 10/23/2007 | PARTIAL GRANT |
| DIMITROVA, ALEXENIA   | 24 HOURS DAILY                  | 09/25/2007 | REQUEST FOR ALL DOCUMENTS CONCERNING CFTC INVESTIGATION/ACTION AGAINST MARIN ILLIEV LANEV MENTIONED IN CFTC RELEASE 5132-05, FOR THE PERIOD SEPTEMBER 24, 2007.   | 07-0179 | 12/13/2007 | PARTIAL GRANT |
| GRISCHUK, JONATHAN M. | GALLAGHER, BRIODY & BUTLER      | 09/25/2007 | REQUEST FOR REGISTRATION INFORMATION FOR INTERCONTINENTAL EXCHANGE, INC., AND INTERNATIONAL SECURITIES EXCHANGE HOLDINGS, INC.  | 07-0180 | 10/30/2007 | TOTAL GRANT   |

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| POORE, LYNN          |  | 09/25/2007 | REQUESTING FOR REGISTRATION INFORMATION ON AMERICAN COIN.  | 07-0181 | 09/27/2007 | REFERRAL                |
| ROY, RICHARD D.      |  | 09/26/2007 | REQUEST ALL RESOURCES YOU HAVE TO REVEAL WHAT AND ALL/ANY "CHARGES"/BACKGROUND CHECKS/ETC. ON ME WHICH SHOULD/WOULD CONTRADICT WHAT WAS TOLD ON ME BY THE MARYLAND STATE POLICE. | 07-0182 | 09/27/2007 | NO RESPONSIVE DOCUMENTS |
| LYONS, SETH          | FOREX CAPITAL MARKETS LLC                  | 09/26/2007 | REQUEST FOR CBOT, CME, AND NYMEX DCO DCM APPLICATIONS.   | 07-0183 | 11/28/2007 | TOTAL GRANT             |
| SAGNANERT, PON       | PAYDEN & RYGEL                             | 09/27/2007 | REQUEST FOR ALL RELATED CFTC RULES AND REGULATIONS GOVERNING THE INVESTMENT OF CUSTOMER FUNDS.   | 07-0184 | 09/28/2007 | WITHDRAWN               |
| DEL MAURO, STEVEN P. | MCELROY, DEUTSCH, MULVANEY & CARPENTER LLP | 09/27/2007 | REQUEST FOR NON-PUBLIC INFORMATION ON FILE WITH NFA REGARDING LANA M. ZIESEMER (SUBPOENA).   | 07-0185 | 11/01/2007 | PARTIAL GRANT           |
| KERLEY, DENISE       | BICKEL & BREWER                            | 10/02/2007 | REQUEST FOR DOCUMENT PUBLISHED IN 1985 FROM TRADING AND MARKETS TITLED, THE SILVER MARKET OF 1979/1980: ACTIONS OF THE CHICAGO BOARD OF TRADE AND THE COMMODITY EXCHANGE, INC.   | 08-0001 | 11/28/2007 | TOTAL GRANT             |
| LEGUTKI, JOHN C.     |  | 10/09/2007 | REQUEST FOR TRADECO CLEARING GROUP LLC'S 1-FR FOR JULY 31, 2006, AUGUST 31, 2006, AND SEPTEMBER 30, 2006 AND/OR THE LATEST AUDITED FINIALS.                                      | 08-0002 | 10/31/2007 | PARTIAL GRANT           |

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| ROMA, AMY            |   | 10/10/2007 | REQUEST FOR COPIES OF<br>INTERPRETIVE/NO-ACTION LETTERS: 97-<br>93, 98-31, AND 94-59.   | 08-0003 | 10/10/2007 | WITHDRAWN     |
| GROVER,<br>SONYA     | BLACKROCK,<br>INC.                                      | 10/12/2007 | REQUEST FOR NON-PUBLIC<br>INFORMATION ON FILE WITH THE NFA<br>FOR STEPHEN ALLEN SCHWARZMAN.   | 08-0004 | 10/31/2007 | TOTAL GRANT   |
| OXLEY,<br>BENJAMIN J | KIRKPATRICK &<br>LOCKHART<br>PRESTON GATES<br>ELLIS LLP | 10/12/2007 | REQUEST FOR DOCUMENTS RELATING<br>TO STATEMENTS MENTIONED IN C.<br>ROBERT PAUL'S JUNE 14, 2000<br>TESTIMONY.  | 08-0005 | 11/06/2007 | TOTAL GRANT   |
| GUPTA, RACHEL<br>A.  | DLA PIPER US<br>LLP                                     | 10/17/2007 | REQUEST FOR ANY AND ALL<br>COMMUNICATION BETWEEN CFTC<br>AND JEMMCO CAPITAL REGARDING<br>THE INVESTIGATION ENTITLED,<br>"INVESTIGATION OF POSSIBLE ABUSES<br>BY HEDGE FUNDS THAT ARE<br>COMMODITY POOL OPERATORS", FOR<br>THE PERIOD BETWEEN SEPTEMBER 1,<br>2003 AND JANUARY 15, 2006. | 08-0006 | 12/06/2007 | PARTIAL GRANT |
| JUHASZ,<br>ANTONIA   |   | 10/18/2007 | COMMENT FILE 93-006 AND THE OPEN<br>COMMISSION MEETING FILE APRIL 13,<br>1993.  | 08-0007 | 10/18/2007 | TOTAL GRANT   |
| ANTHONY,<br>WILLIAM  |   | 10/18/2007 | REQUEST FOR MOST RECENT<br>(QUARTERLY/ANNUAL) FINANCIAL<br>REPORT FOR FOREX LIQUIDITY LLC.  | 08-0008 | 10/31/2007 | PARTIAL GRANT |
| COVEL,<br>MICHAEL    |   | 10/18/2007 | REQUEST FOR THE CASE FILE AND/OR<br>RECORDS, ORDERS, INTERVIEWS,<br>LETTERS, MEMOS, OR NOTES<br>ASSOCIATED WITH CFTC DOCKET NO.<br>06-05.   | 08-0009 | 12/19/2007 | TOTAL GRANT   |

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| LYONS, SETH            | FOREX CAPITAL MARKETS LLC | 10/23/2007 | REQUEST FOR THE DCO APPLICATION FOR HEDGESTREET.  | 08-0010 | 12/06/2007 | PARTIAL GRANT           |
| SCHWARZ, KRISTA        | COLUMBIA UNIVERSITY       | 10/25/2007 | REQUESTING TICK-BY-TICK PRICE DATA ON ALL EURODOLLAR FUTURES FROM THE CME AND FEDERAL FUNDS FUTURES FROM CBOT BACK TO THE LAUNCH OF THE FUTURES CONTRACT (OPEN AUCTION VERSION).  | 08-0011 | 12/03/2007 | NO RESPONSIVE DOCUMENTS |
| WATKINS, JASEN         |                           | 10/26/2007 | REQUEST FOR APPLICATION OF THE ISLA FUTURES EXCHANGE FOR DESIGNATION AS A CONTRACT MARKET   | 08-0012 | 10/26/2007 | TOTAL GRANT             |
| EVANS, CHRIS           | METAL BULLETIN            | 10/29/2007 | REQUEST FOR CORRESPONDENCE BETWEEN CFTC AND THE LONDON METAL EXCHANGE AND FINANCIAL SERVICES AUTHORITY IN RELATION TO THE COPPER MARKER AND CONCERNS OVER ACCUMULATION OF DOMINANT POSITIONS IN COPPER BY PARTIES INTENT ON MANIPULATION OF THE MARKET. 2005. | 08-0013 | 11/14/2007 | TOTAL DENIAL            |
| FAHLEN, ANDERS         |                           | 10/29/2007 | REQUEST FOR INFORMATION REGARDING DUNHILL FINANCIAL GROUP, INC., MARK STEPHEN HUTCHENSON AND KEVIN SCOTT JACKSON  | 08-0014 | 11/30/2007 | PARTIAL GRANT           |
| UCHYN-TISCH, KATHERINE | IOWA GRAIN COMPANY        | 10/31/2007 | REQUEST FOR FORM 1-FR-FCM AS OF AUGUST 31, 2007 AND SEPTEMBER 30, 2007 FOR R.J. OBRIEN & ASSOCIATES LLC.  | 08-0015 | 11/14/2007 | PARTIAL GRANT           |
| KUCHERA, NICOLE M.     | HENDERSON & LYMAN         | 11/05/2007 | REQUEST FOR THE COVER AND SIGNATURE PAGE OF REFCO'S 1-FR REPORT.  | 08-0016 | 12/03/2007 | TOTAL GRANT             |

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| HANZY, HORCE   |  | 11/08/2007 | REQUEST FOR ADDRESSES FOR ALL U.S. COMMODITIES AND INTERNATIONAL COMMODITIES EXCHANGES.   | 08-0017 | 11/30/2007 | INFORMATIONAL BROCHURES |
| BENDER, SCOTT  |  | 11/09/2007 | REQUEST FOR "NOTIFICATION OF OPERATION OF INTRADE BOARD OF TRADE AS AN EXEMPT BOARD OF TRADE" WRITTEN BY JOHN DELANEY, 9/29/2005.   | 08-0018 | 11/30/2007 | TOTAL GRANT             |
| CHILD SUPPORT<br>ENFORCEMENT<br>CUSTOMER<br>SERVICES | FLORIDA<br>DEPARTMENT<br>OF REV. CSE.<br>CUST SERV | 11/14/2007 | REQUEST FOR NON-PUBLIC INFORMATION ON FILE WITH THE NFA FOR PATRICK P. MCCARTHY.  | 08-0019 | 11/29/2007 | TOTAL DENIAL            |
| SWEETNAM,<br>WILLIAM M.                              | FREED & WEISS<br>LLC                               | 11/14/2007 | REQUEST FOR PRICES OF PHYSICAL PROPANE IN THE UNITED STATES DURING JANUARY 1, 1997 THROUGH DECEMBER 31, 2006.   | 08-0020 | 12/03/2007 | TOTAL GRANT             |
| JACKSON,<br>HEATHER A.                               | SHEFSKY &<br>FROELICH                              | 11/14/2007 | REQUEST FOR ANY AND ALL DOCUMENTS THAT REFER TO THE INVESTIGATION OF CALYON FINANCIAL INC.; IN CONNECTION WITH THE RELATIONSHIP BETWEEN CFI AND INVESTUS GLOBAL; ANY INVOLVEMENT IN THE OVERSIGHT OF THE CONSENT DECREE ENTERED BY FRS. | 08-0021 | 11/30/2007 | NO RESPONSIVE DOCUMENTS |
| NARAYANSWA<br>MY, ANUPAMA                            | SUNLIGHT<br>FOUNDATION                             | 11/14/2007 | REQUEST FOR ANY AND ALL LOGS OF CORRESPONDENCE BETWEEN MEMBERS OF CONGRESS AND THE CFTC BETWEEN SEPTEMBER 1 AND OCTOBER 31, 2007.   | 08-0022 | 12/17/2007 | TOTAL GRANT             |

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| GRANT, JEREMY         | US FINACIAL<br>CORRESPONDE<br>NT FINANCIAL<br>TIMES           | 11/21/2007 | REQUEST FOR THE NOVEMBER 14,<br>2007 RESPONSE TO CHRIS EVANS'S<br>FOIA REQUEST DATED, OCTOBER 29,<br>2007 (08-0013).  | 08-0023 | 11/29/2007 | TOTAL GRANT |
| HOLMES,<br>WILLIAM C. | CITIZENS FOR<br>RESPONSIBILITY<br>AND ETHICS IN<br>WASHINGTON | 11/21/2007 | REQUEST FOR ANY AND ALL<br>DOCUMENTS DATING FROM JANUARY<br>1, 2001 TO PRESENT, REGARDING ANY<br>CFTC INTERNAL POLICY OR GUIDELINE<br>GOVERING THE ACCEPTANCE BY CFTC<br>EMPLOYEES OF OFFERS OF TRAVEL TO<br>BE PAID FOR IN WHOLE OR IN PART BY<br>ANY THIRD PARTIES. | 08-0024 | 12/17/2007 | TOTAL GRANT |
| BOWER, T.<br>CONRAD   | BLOOMBERG LP  | 11/27/2007 | REQUEST FOR VARIOUS RECORDS<br>INVOLVING ALJ'S AND J.O.'S IN THE<br>CFTC REPARATION PROGRAM AND<br>BEFORE ENF.  | 08-0025 | 08/13/2008 | TOTAL GRANT |
| LISLE, MATT           | US FUTURES<br>EXCHANGE LLC                                    | 11/27/2007 | REQUEST FOR ANY AND ALL<br>INFORMATION IN CONNECTION WITH<br>CME'S GLOBEX FOREIGN EXCHANGE<br>FACILITY PROPOSAL THAT WAS<br>APPROVED BY THE CFTC ON 8/9/1996.   | 08-0026 | 12/19/2007 | TOTAL GRANT |
| SHALEN,<br>CATHERINE  | CHICAGO<br>BOARD<br>OPTIONS<br>EXCHANGE                       | 11/27/2007 | REQUEST FOR CME SUBMISSION FOR<br>BRITISH POUND SPOT ROLLING<br>FUTURES LISTED AROUND 1996 MAYBE<br>EARLIER AND ALL SUBSEQUENT<br>FILINGS RELATED TO THAT CONTRACT.   | 08-0027 | 01/03/2008 | WITHDRAWN   |

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| THOMAS,<br>TIRRELL    | THE<br>INDEPENDENT  | 11/28/2007 | REQUEST FOR THE COMPLAINT LETTER THAT WAS FILED ABOUT THE FORT LEWIS COLLEGE STUDENT ACTIVITIES AT THE CHACO CANYON NATIONAL PARK DURING OCTOBER 2007.  | 08-0028 | 11/29/2007 | NOT AN AGENCY<br>RECORD |
| GROVER,<br>SONYA      | BLACKROCK INC       | 11/29/2007 | REQUEST FOR NON-PUBLIC INFORMAMTION ON FILE WITH NFA FOR PAUL TERENCE BATEMAN, TRAVIS KNAPP ANDERSON, NORMAN SOLOMON BENZAQUEN, RICHARD GILDER JR, DAVID S. HOWE, STEVE KLEMEN AND WALTER JOSEPH WEADOCK. | 08-0029 | 01/03/2008 | TOTAL GRANT             |
| RAVNITZKY,<br>MICHAEL |                     | 10/26/2007 | REQUEST FOR A FOIA CASE LOG FOR FY 2005 - 2007.   | 08-0030 | 12/11/2007 | PARTIAL GRANT           |
| GROVER,<br>SONYA      | BLACKROCK,<br>INC   | 12/11/2007 | REQUEST FOR NON-PUBLIC INFORMATION ON FILE WITH THE NFA FOR GILDER GAGNON HAWE & CO. LLC FORMERLY GILDER GAGNON & CO. AND GILDER GAGNON HOWE & CO.  | 08-0031 | 01/08/2008 | TOTAL GRANT             |
| PHILLIPS, S           | E FINANCIAL<br>NEWS | 12/04/2007 | REQUEST FOR DISCLOSURE DOCUMENTS FOR GOLDMAN SACHS, CROSSMAN ASSET MANAGEMENT, ASPECT CAPITAL, MAN AHL USA, RENAISSANCE TECHNOLOGIES, TEWKSBURY CAPITAL MANAGEMENT, AND WINTON CAPITAL MANAGEMENT.        | 08-0032 | 02/01/2008 | WITHDRAWN               |

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| BOYCE,<br>BRITTANY   | BEU DIETL &<br>ASSOCIATES      | 12/14/2007 | REQUEST FOR INFORMATION<br>REGARDING ANY REGULATORY<br>ACTIONS/SANCTIONS AGAINST PAUL<br>MATTHEW BRITTON AND SCOTT<br>RAYMOND BRINDLEY.  | 08-0033 | 01/24/2008 | NO RESPONSIVE<br>DOCUMENTS |
| WILKAT, TARA         | BEAU DIETL &<br>ASSOCIATES     | 12/27/2007 | REQUEST FOR INFORMATION<br>REGARDING ANY REGULATORY<br>ACTIONS/SANCTIONS AGAINST MARK<br>B. GONZALEZ.  | 08-0034 | 01/25/2008 | NO RESPONSIVE<br>DOCUMENTS |
| DAVIS, JOSEPH        |                                | 12/31/2007 | REQUEST FOR ANY INFORMATION ON<br>TRADING FUTURES AND OPTIONS.   | 08-0035 | 01/08/2008 | INFORMATIONAL<br>BROCHURES |
| SCHWARZ,<br>KRISTA   |                                | 12/19/2007 | REQUEST FOR THE DATES OF THE<br>HISTORICAL RELEASE SCHEDULE FOR<br>THE COMMITMENTS OF TRADERS<br>FUTURES ONLY REPORTS FROM<br>SEPTEMBER 1992 THROUGH<br>DECEMBER 2007.   | 08-0036 | 01/25/2008 | NO RESPONSIVE<br>DOCUMENTS |
| GOODRIDGE,<br>JANET  | ADM INVESTOR<br>SERVICES, INC. | 12/20/2007 | REQUEST FOR FORM 1-FR FOR RJ<br>OBRIEN, IOWA GRAIN, RAND<br>FINANCIAL SERVICES, ROSENTHAL<br>COLLINS GROUP, FC STONE, CADENT<br>FINANCIAL SERVICES, KOTTKE ASSOC,<br>TRILAND USA, AND VISION FINANCIAL<br>MARKETS. | 08-0037 | 01/16/2008 | PARTIAL GRANT              |
| NEMETZ,<br>MIRIAM R. | MAYER BROWN<br>LLP             | 01/03/2008 | REQUEST FOR COPIES OF THE MOST<br>RECENT SCHEDULE OF COMPENSATION<br>AND BENEFITS REPORTED TO<br>CONGRESS.   | 08-0038 | 01/25/2008 | TOTAL GRANT                |



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| BECKER,<br>CONNIE           | ADORNO &<br>YOSS LLP                | 01/03/2008 | REQUEST FOR NON-PUBLIC<br>INFORMATION ON FILE WITH NFA FOR<br>COMTRUST, GEE, MEHLER, SMITH AND<br>UCC FOR THE TIME PERIOD OF<br>JANUARY 2005 TO THE PRESENT.  | 08-0039 | 01/24/2008 | PARTIAL GRANT |
| CHANG,<br>WILLIAM<br>ANDREW |                                     | 01/22/2008 | REQUEST FOR MOST RECENT<br>FINANCIAL STATEMENTS FOR I TRADE<br>FX LLC AND OANDA CORPORATION,<br>FORWARDED FROM NFA.   | 08-0040 | 01/25/2008 | PARTIAL GRANT |
| BRANNAN,<br>SAMUEL T.       | LAW OFFICES<br>OF PAGE PERRY<br>LLC | 01/23/2008 | REQUEST FOR ACCESS TO AND COPIES<br>OF CERTAIN DOCUMENTS RECEIVED IN<br>CONNECTION WITH THE<br>INVESTIGATION AND CIVIL ACTION<br>CFTC V. RENAISSANCE ASSET<br>MANAGEMENT LLC AND ANTHONY<br>MICHAEL RAMUNNO JR, NO. 1:07-CV-<br>0200 JTC, REGARDING CIVIL ACTION<br>NO. 2007-CV-138605. | 08-0041 | 02/19/2008 | PARTIAL GRANT |
| BRANNAN,<br>SAMUEL T.       | LAW OFFICES<br>OF PAGE PERRY<br>LLC | 01/23/2008 | REQUEST FOR ACCESS TO AND COPIES<br>OF CERTAIN DOCUMENTS RECEIVED IN<br>CONNECTION WITH THE<br>INVESTIGATION AND CIVIL ACTION<br>CFTC V. RENAISSANCE ASSET<br>MANAGEMENT LLC AND ANTHONY<br>MICHAEL RAMUNNO JR, NO. 1:07-CV-<br>0200 JTC, REGARDING CIVIL ACTION<br>NO. 2007-CV-138599. | 08-0042 | 02/19/2008 | PARTIAL GRANT |

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| SCHRAMM,<br>HEIDI     | MCCULLOUGH<br>RESEARCH     | 01/23/2008 | REQUEST FOR ANY AND ALL<br>INFORMATION PERTAINING TO THE<br>CFTC'S DECISION TO STOP ISSUING THE<br>COMMITMENT OF TRADERS REPORTS<br>FOR THE ELECTRICITY (PALO VERDE) -<br>NYMEX AND (CA-OR BORDER) - NYMEX<br>MARKETS FOR THE PERIOD OF MAY 3,<br>2000 TO DECEMBER 31, 2001.            | 08-0043 | 02/07/2008 | NO RESPONSIVE<br>DOCUMENTS |
| FRAASCH,<br>JAMES     |                            | 01/25/2008 | REQUEST FOR THE AGENDA/ MINUTES<br>OF ANY MEETING THAT CFTC<br>ATTENDED AS PART OF THE WORKING<br>GROUP ON CAPITAL MARKETS AND<br>ANY INSTRUCTIONS GIVEN OR ORDERS<br>PLACED BY CFTC IN CONNECTION TO<br>THE WORKING GROUP REGARDING<br>THE PURCHASE OF STOCK INDEX<br>FUTURES. 8/2007. | 08-0044 | 02/19/2008 | NO RESPONSIVE<br>DOCUMENTS |
| YOUNG,<br>HOWARD      |                            | 01/29/2008 | REQUEST FOR INFORMATIONAL<br>MATERIAL REGARDING THE CFTC AND<br>LICENSING AND REQUIREMENTS FOR<br>TRADERS.  | 08-0045 | 02/19/2008 | INFORMATIONAL<br>BROCHURES |
| SUTTON,<br>GERALD LEE |                            | 01/31/2008 | REQUEST FOR A LISTING OF<br>INTRODUCING COMMODITY BROKERS<br>IN THE UNITED STATES.  | 08-0046 | 02/19/2008 | TOTAL GRANT                |
| CHEN, YU LUN          |                            | 02/01/2008 | REQUEST FOR TRANSACTION DATA<br>FOR EURO FX AND JAPANESE YEN<br>FUTURES FROM THE CME, 1/1/04 -<br>12/31/05.   | 08-0047 | 02/26/2008 | TOTAL DENIAL               |
| BOYCE,<br>BRITTANY    | BEAU DIETL &<br>ASSOCIATES | 02/01/2008 | REQUEST FOR DISCIPLINARY HISTORY<br>AGAINST DANIEL M. LEVINSON.   | 08-0048 | 02/19/2008 | NO RESPONSIVE<br>DOCUMENTS |

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| MCCLINTOCK,<br>ALICE      | DEMOCRATIC<br>NATIONAL<br>COMMITTEE  | 02/08/2008 | REQUEST FOR ANY AND ALL RECORDS<br>OF COMMUNICATION BETWEEN CFTC<br>AND JOHN MCCAIN OR HIS<br>OFFICES/STAFF, FROM 1999 - PRESENT;<br>AND LOGS OF FOIA REQUEST FILED<br>WITH YOUR AGENCY SINCE JANUARY 1,<br>2005. | 08-0049 | 03/19/2008 | PARTIAL GRANT              |
| PERRY, TY                 |                                      | 02/08/2008 | REQUEST FOR TRADE RECONSTRUCTION<br>(CTR) DATA FOR THE YEAR 2007,<br>LISTING ALL TRANSACTIONS FOR ALL<br>OUTSTANDING CONTACTS IN THE<br>MARKET FOR EURODOLLAR FUTURES<br>AT THE CME.                              | 08-0050 | 03/18/2008 | TOTAL DENIAL               |
| IRVIN, KENNETH<br>W.      | MCDERMONT,<br>WILL & EMERY           | 02/19/2008 | REQUEST FOR ALL DOCUMENTS THAT<br>REFER OR RELATE TO CFTC VS. ENERGY<br>TRANSFER PARTNERS, LP, ET AL., 3-<br>07CV1301-K.  | 08-0051 | 09/12/2008 | WITHDRAWN                  |
| ANTHONY,<br>WILLIAM D. JR |                                      | 02/25/2008 | REQUEST FORWARDED FROM THE NFA<br>FOR THE MOST RECENT 1-FR FOR EASY<br>FOREX US LTD.  | 08-0052 | 03/11/2008 | PARTIAL GRANT              |
| HASELTON,<br>ALICIA       | CAPITOL<br>DISTRICT<br>INFORMATION   | 02/25/2008 | REQUEST FOR THE INCOMING LETTER<br>BY SENTINEL MANAGEMENT GROUP<br>REQUESTING A NO ACTION LETTER,<br>DATED MAY 7, 1981 AND JANUARY 21,<br>2004, IN CONNECTION WITH CFTC'S<br>LETTER NO. 04-06.                    | 08-0053 | 03/18/2008 | NO RESPONSIVE<br>DOCUMENTS |
| NILSSON, LINUS            | HEDGE FUND<br>INVESTMENT<br>RESEARCH | 02/27/2008 | REQUEST FORWARDED FROM THE NFA<br>FOR DISCLOSURE DOCUMENTS FOR<br>WOODRUFF TRADING COMPANY AND<br>BLUE RIDGE TRADING.   | 08-0054 | 03/25/2008 | NO RESPONSIVE<br>DOCUMENTS |

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| EMRATH, PAUL      | NATIONAL ASSOCIATION OF HOME BUILDERS | 02/28/2008 | REQUEST FOR INFORMATION ABOUT THE ENERGY MARKETS ADVISORY COMMITTEE AS IN THE FEDERAL REGISTER NOTICE PUBLISHED ON FEBRUARY 15, 2008 [FR DOC. E8-2953 FILED 2-14-08; 8:45AM].  | 08-0055 | 03/25/2008 | WITHDRAWN               |
| COLE, DANIEL L.   | JUDY DIAMOND ASSOCIATES, INC.         | 02/28/2008 | REQUEST FOR ELECTRONIC RECORDS OF VENDORS WHICH INCLUDE THE FEDERAL EMPLOYER IDENTIFICATION NUMBER, ENTITY'S NAME, ADDRESS, PHONE NUMBER, AND INDUSTRY CODE.   | 08-0056 | 04/22/2008 | WITHDRAWN               |
| FRANDSEN, MICHAEL |                                       | 03/04/2008 | REQUEST FOR INFORMATION ON HOW MANY TIMES CFTC HAS HIRED EMPLOYEES USING SCHEDULE A CERTIFICATION HIRING AUTHORITY FOR PEOPLE WITH DISABILITIES.   | 08-0057 | 03/11/2008 | NO RESPONSIVE DOCUMENTS |
| STIFTER, EDWARD   |                                       | 03/04/2008 | REQUEST FOR INFORMATION REGARDING THE 2006-2007 PERFORMANCE BONUSES PAID TO DMO STAFF IN THE CHICAGO REGIONAL OFFICE.  | 08-0058 | 03/11/2008 | TOTAL GRANT             |
| NICELY, JANICE    | LRP PUBLICATIONS                      | 03/11/2008 | REQUEST FOR UPDATES TO CFTC'S EMPLOYEE HANDBOOK, PERSONNEL INSTRUCTIONS, POLICIES, MEMORANDA, RECORDS, MANAGEMENT DIRECTIVES AND ANY ADDITIONAL EMPLOYEE MANUALS, GUIDES, OR ARBITRATION AWARDS THAT ARE NEW OR UPDATE SINCE MAY 2007. | 08-0059 | 03/18/2008 | TOTAL GRANT             |



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| MCDERMOTT,<br>SEAN        | UNITED STATES<br>DISTRICT<br>COURT<br>SOUTHERN<br>DISTRICT OF<br>FLORIDA | 03/12/2008 | SUBPOENA TO NFA FOR NON-PUBLIC<br>DOCUMENTS FOR BASS, CORPORATE<br>COMMODITIES, GOLDBERG, LABRUCE,<br>LEON, MARCHIANO, MARKS,<br>MICKELBERG, MOTE, PRESIDENTIAL FX,<br>PROTRADE FUTURES & OPTIONS,<br>ROYCE CAPITAL FUTURES & OPTIONS,<br>AND WILLIAMSON.                              | 08-0060 | 03/13/2008 | NO RESPONSIVE<br>DOCUMENTS |
| PERRY, RODNEY             |  | 03/18/2008 | REQUEST FOR MOST RECENT ANNUAL<br>REPORT TO CONGRESS ON HOW THE<br>CFTC HAS HANDLED IT OPEN/CLOSED<br>MEETINGS AND ITS REPORTING<br>REQUIREMENTS, INCLUDING THE<br>TOTAL NUMBER OF OPEN/CLOSED<br>MEETINGS; THE REASONS FOR THE<br>CLOSED MEETINGS; AND THE DATES<br>OF THOSE MEETINGS | 08-0061 | 04/15/2008 | TOTAL GRANT                |
| PERRY, RODNEY             |  | 03/18/2008 | REQUEST FOR CFTC'S MOST RECENT<br>FOIA ANNUAL REPORT.  | 08-0062 | 03/25/2008 | TOTAL GRANT                |
| NEWMAN,<br>ROBERT         | DIGITAL<br>DOPHIN<br>SUPPLIES  | 03/19/2008 | REQUEST FOR THE NAMES AND<br>TELEPHONE NUMBERS OF ALL CFTC<br>CREDIT CARD HOLDERS.   | 08-0063 | 03/25/2008 | TOTAL GRANT                |
| NARAYANSWA<br>MY, ANUPAMA |  | 03/21/2008 | REQUEST FOR ANY AND ALL LOGS OF<br>CORRESPONDENCE BETWEEN<br>MEMBERS OF CONGRESS AND THE<br>CFTC BETWEEN JANUARY 1, 2008 TO<br>FEBRUARY 29, 2008.  | 08-0064 | 04/24/2008 | TOTAL GRANT                |

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| ALTER,<br>KENNETH   |                             | 03/12/2008 | REQUEST FOR INFORMATION<br>REGARDING FOX INVESTMENTS NOW<br>CALLED MF GLOBAL A DIVISION OF<br>MAN FINANCIAL AND THE CTA FARR<br>INVESTMENTS.   | 08-0065 | 03/25/2008 | WITHDRAWN                  |
| MACK,<br>MALCOLM    |                             | 03/26/2008 | REQUEST FOR INFORMATION<br>REGARDING CURRENT PRICES ON<br>COMMODITY FUTURES CONTRACTS<br>AND RECOMMENDED BROKERS.  | 08-0066 | 04/08/2008 | INFORMATIONAL<br>BROCHURES |
| WOLF, KATHY<br>N.   |                             | 03/28/2008 | REQUEST FOR NAMES AND AMOUNTS<br>OF MONEY FROM CLIENTS DEFRAUDED<br>BY ALFRED ALBERT LOUIS GLADSTONE,<br>FROM JANUARY 1998 TO MAY 2000 IN<br>DOCKET #01-24.  | 08-0067 | 05/07/2008 | TOTAL GRANT                |
| LINCOLN,<br>TAYLOR  | PUBLIC CITIZEN              | 04/02/2008 | REQUEST FOR RECORDS MENTIONING<br>MIKE DRIVER, PETER HUNTSMAN,<br>DAVID LUGAR, PETER MADIGAN, TONY<br>WILLIAMS, HUNTSMAN CORP,<br>JOHNSON MADIGAN PECK BOLAND &<br>STEWART, PATTON BOGGS LLP, QUINN<br>GILLESPIE & ASSOC., WASHINGTON2<br>ADVOCATES. | 08-0068 | 05/07/2008 | TOTAL GRANT                |
| DONLEY,<br>MAUREEN  | KIRKLAND &<br>ELLIS         | 04/03/2008 | REQUEST FOR CFTC'S CURRENT<br>TELEPHONE DIRECTORY.   | 08-0069 | 04/17/2008 | NO RESPONSIVE<br>DOCUMENTS |
| KUROV,<br>ALEXANDER | WEST VIRGINIA<br>UNIVERSITY | 04/03/2008 | REQUEST FOR TIME, SALES AND<br>COMPUTERIZED TRADE<br>RECONSTRUCTION DATA FOR VARIOUS<br>FUTURES CONTRACTS FOR 2004 -<br>PRESENT.   | 08-0070 | 04/23/2008 | PARTIAL GRANT              |

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| WOLTZ,<br>HOWELL W.   |                                      | 04/10/2008 | REQUEST FOR ANY INFORMATION ABOUT OR COMMUNICATION WITH HOWELL W. WOLTZ IN REGARDS TO THE CFTC CASE AGAINST TECH TRADERS, VERNON ABERNETHY, VINCE FIRTH, COYT MURRAY, AND ROBERT SHIMER, ESQ. IN APRIL OF 2004, CFTC 04cv1512. | 08-0071 | 06/24/2008 | PARTIAL GRANT           |
| TANZAR, PHILIP        | MF GLOBAL<br>INC.                    | 04/15/2008 | REQUEST FOR THE DECISION AND ORDER AGAINST JEFFREY LEE SILVERMAN, 75-6 AND THE DECISION AND ORDER FOR CASE NO. 76-18.  | 08-0072 | 05/07/2008 | TOTAL GRANT             |
| HOFFMAN,<br>ALAN S.   |                                      | 04/16/2008 | REQUEST FOR THE VIDEO FROM SURVEILLANCE CAMERA IN THE PARKING LOT OF A LOCAL FOOD MART IN CITY OF BUFFALO THAT CONTAINS STOP AND ARREST OF INDIVIDUAL IN THE CITY OF BUFFALO.  | 08-0073 | 04/16/2008 | NOT AN AGENCY<br>RECORD |
| BORCHARDT,<br>JEFF    | KANSAS CITY<br>BOARD OF<br>TRADE     | 04/30/2008 | REQUEST FOR CME'S REQUEST FOR EXEMPTION UNDER SECTIONS 4(C) & 4(D) BEING REVIEWED BY PHYLLIS DIETZ AND BOB WASSERMAN.  | 08-0074 | 05/09/2008 | TOTAL GRANT             |
| GALAVOTTI,<br>MICHAEL | IRONBRIDGE<br>CONSTRUCTION<br>, INC. | 05/02/2008 | REQUEST FOR PREVIOUS AWARD USING THE RS MEANS AND COEFFICIENT FOR PROJECTS LOCATED AT FLECT IN CHELTENHAM, MARYLAND.   | 08-0075 | 05/07/2008 | NOT AN AGENCY<br>RECORD |
| MCCARROLL,<br>NATHAN  |                                      | 05/06/2008 | REQUEST FOR COPIES OF ANY AND ALL COMMUNICATIONS BETWEEN U.S. REP. KENNY HULSHOF OF MISSOURI AND/OR HIS STAFF AND THE CFTC.  | 08-0076 | 05/21/2008 | TOTAL GRANT             |



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| KEANE, KATE S.    | PERKINS COIE               | 05/06/2008 | REQUEST FOR ANY RECORDS RELATED TO FORMER GOVERNOR MARK WARNER.   | 08-0077 | 05/22/2008 | NO RESPONSIVE DOCUMENTS |
| WESTFALL, DANA    | WINSTON & STRAWN           | 05/06/2008 | REQUEST FOR FILE RF04-003; RF01-005; RF01-004.  | 08-0078 | 05/29/2008 | TOTAL GRANT             |
| CARLSON, LAYNE G. | MINNEAPOLIS GRAIN EXCHANGE | 05/07/2008 | REQUEST FOR THE APRIL 21, 2008 CME GROUP FILING FOR EXEMPTIVE RELIEF UNDER 4C AND 4D FOR CERTAIN AGRICULTURAL SWAPS.  | 08-0079 | 05/22/2008 | TOTAL GRANT             |
| CHU, CHIN         |                            | 05/09/2008 | REQUEST TO NFA FOR MOST RECENT FINANCIAL STATEMENT FOR PALI FUTURES LLC.  | 08-0080 | 05/15/2008 | PARTIAL GRANT           |
| FICKERT, DAVID    |                            | 05/12/2008 | REQUEST FOR A LISTING OF ALL CURRENT CFTC STAFF, INCLUDING NAME, TITLE, PAY PLAN SERIES, GRADE, BASE SALARY, TOTAL SALARY, SCD LEAVE DATE, CFTC START DATE, DATE IN GRADE & DIVISION. | 08-0081 | 05/28/2008 | TOTAL GRANT             |
| BURTON, JOHN      |                            | 05/13/2008 | REQUEST FOR COPIES OF ALL RECORDS OF CORRESPONDENCE WITH THE OFFICE OF SEN. JOHN MCCAIN AND THE CFTC AFTER 1/1/00.  | 08-0082 | 05/13/2008 | TOTAL GRANT             |
| MCLUSKIE, CAROLYN |                            | 05/15/2008 | REQUEST TO AMEND NFA REGISTRATION RECORD FOR CAROLYN MCLUSKIE, NFA ID 0352492.  | 08-0083 | 06/05/2008 | TOTAL DENIAL            |
| WILKAT, TARA      | BEAU, DIETL & ASSOCIATES   | 05/15/2008 | REQUEST FOR INFORMATION REGARDING ANY REGULATORY ACTIONS/ SANCTIONS TAKEN AGAINST ALEKSIS A. KINS, NFA ID NO. 0309296.  | 08-0084 | 05/28/2008 | NO RESPONSIVE DOCUMENTS |

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| HOSTETLER,<br>DANIEL      | STRATEGIC<br>BUSINESS<br>PARTNERS LLC         | 05/15/2008 | REQUEST FOR THE VERBIAGE OF THE<br>SEPTEMBER 17, 1992 ORDER OF<br>SUMMARY AFFIRMANCE ISSUED BY<br>THE CFTC.   | 08-0085 | 06/19/2008 | TOTAL GRANT                |
| WILLIAMS,<br>DAVID E.     | LAW OFFICE OF<br>DAVID E.<br>WILLIAMS, II, PC | 05/16/2008 | REQUEST FOR CERTIFIED COPY OF ANY<br>AND ALL INVESTIGATION,<br>REPRIMANDS, COMPLAINTS AND<br>INSPECTIONS/ INSPECTION REPORTS<br>AT: PETRIE AUTO, 1222 JACKSBORO<br>HIGHWAY, FORT WORTH, TX 76006. | 08-0086 | 05/22/2008 | NO RESPONSIVE<br>DOCUMENTS |
| HALL                      | TURNER RADIO<br>NETWORK                       | 05/16/2008 | REQUEST FOR THE NAMES, ADDRESSES<br>AND LICENSE NUMBERS OF ALL<br>PRESENTLY ACTIVE FLOOR TRADERS<br>AND FLOOR BROKERS OPERATING AT<br>OR THROUGH NYMEX.   | 08-0087 | 05/22/2008 | NO RESPONSIVE<br>DOCUMENTS |
| NARAYANSWA<br>MY, ANUPAMA | SUNLIGHT<br>FOUNDATION                        | 05/19/2008 | REQUEST FOR ANY AND ALL LOGS OF<br>CORRESPONDENCE BETWEEN<br>MEMBERS OF CONGRESS AND CFTC<br>BETWEEN APRIL 1, 2008 TO APRIL 30,<br>2008.  | 08-0088 | 06/13/2008 | TOTAL GRANT                |
| JAMESON,<br>BRONWYN       | BEAR, STEARNS                                 | 05/16/2008 | THE NAMES, PHONE NUMBERS AND<br>ADDRESSES OF ANY COMMODITY<br>FUND REGISTRANTS.   | 08-0089 | 05/22/2008 | NO RESPONSIVE<br>DOCUMENTS |
| LUCHUN, JOEL<br>M.        | SECURITIES<br>EXCHANGE<br>COMMISSION          | 05/19/2008 | REQUEST FOR A WRITTEN PLAN OR<br>APPROACH FOR COMPLYING WITH<br>EXECUTIVE ORDER 13423<br>"STRENGTHENING FEDERAL<br>ENVIRONMENTAL, ENERGY AND<br>TRANSPORTATION MANAGEMENT.                        | 08-0090 | 05/29/2008 | NO RESPONSIVE<br>DOCUMENTS |

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| CARIELLO,<br>DENISE A.      | PEREZ &<br>VARVARO       | 05/29/2008 | THIRD PARTY REQUEST FOR W-2, LOST<br>TIME INFORMATION AND MEDICAL<br>RECORDS FROM 4/15/03 TO PRESENT.   | 08-0091 | 07/16/2008 | NOT AN AGENCY<br>RECORD    |
| MINK, HAYLEY                |                          | 05/29/2008 | REQUEST FOR 2005 - 2007 CFTC<br>ANNUAL REPORT.  | 08-0092 | 05/29/2008 | NO RESPONSIVE<br>DOCUMENTS |
| WALLACE,<br>WILLIAM T.      |                          | 05/30/2008 | REQUEST FOR ANY INFORMATION<br>CONCERNING ANY AND ALL<br>INVESTIGATIONS, ACTIONS OR<br>REQUESTS FOR INFORMATION FOR<br>THE COMMISSION REGARDING<br>WILLIAM T. WALLACE.  | 08-0093 | 07/16/2008 | TOTAL DENIAL               |
| HARRISON,<br>ALEX           | METAL<br>BULLETIN        | 06/04/2008 | REQUEST FOR CORRESPONDENCE<br>BETWEEN CFTC, LONDON METAL<br>EXCHANGE AND THE FINANCIAL<br>SERVICES AUTHORITY; CONSUMER<br>COMPLAINTS; & THE RESULTS OF ANY<br>CFTC INVESTIGATION ABOUT THE<br>EFFECTS OF SPECULATIVE<br>INVESTMENT/ INVESTORS IN THE<br>METALS MARKETS SINCE NOV. 2007. | 08-0094 | 06/26/2008 | TOTAL DENIAL               |
| SCOTT,<br>WILLIAM<br>SUMNER |                          | 06/05/2008 | REQUEST TO AMEND NFA<br>REGISTRATION RECORD FOR WILLIAM<br>SUMMER SCOTT.  | 08-0095 | 06/26/2008 | TOTAL DENIAL               |
| THOMPSON,<br>THOM           | TGT<br>CONSULTING<br>INC | 06/04/2008 | REQUEST FOR THE APPLICATION,<br>SUPPLEMENTS, ANALYSIS, STAFF<br>MEMORANDA AND ORDER<br>REGARDING NOS CLEARING ASA AS<br>NOTED IN RELEASE 4595-02, JANUARY<br>14, 2002.  | 08-0096 | 07/15/2008 | PARTIAL GRANT              |

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| THOMPSON,<br>THOM      | TGT<br>CONSULTING<br>INC. | 06/04/2008 | REQUEST FOR THE APPLICATION,<br>SUPPLEMENTS, ANALYSIS, STAFF<br>MEMORANDA AND OTHER<br>DOCUMENTS RELATING TO THE<br>AUTHORIZATION OF NetThruPut.   | 08-0097 | 07/16/2008 | PARTIAL GRANT              |
| ROXAS, EMILIO<br>AMICO |                           | 06/12/2008 | REQUEST FOR HISTORICAL SERIES OF<br>NON-COMMERCIAL LONG POSITIONS,<br>NET POSITIONS, AND OPEN INTEREST.  | 08-0098 | 07/16/2008 | TOTAL GRANT                |
| WILLIAM,<br>WARNER     |                           | 06/13/2008 | REQUEST FOR INFORMATION<br>REGARDING LICENSE TO TRADE<br>COMMODITIES.  | 08-0099 | 06/19/2008 | INFORMATIONAL<br>BROCHURES |
| RICHARDS,<br>LAURA     |                           | 06/19/2008 | REQUEST FOR CT PAY RATES FOR ALL<br>CFTC EMPLOYEES AT GRADES CT 15<br>AND ABOVE EXCLUDING ANY<br>POLITICAL APPOINTEE.  | 08-0100 | 06/25/2008 | TOTAL GRANT                |
| DOUGLAS,<br>MATTHEW J. | ARNOLD &<br>PORTER        | 06/20/2008 | REQUEST FOR DOCUMENTS RELATED<br>TO DOCKET NO. 04-17, SPECIFICALLY<br>WESTERN GAS RESOURCES' (WGR)<br>ANSWERS TO THE INTERROGATORIES<br>AND THE LETTER REQUEST FROM CFTC<br>TO WGR ON FEBRUARY 25, 2004. | 08-0101 | 12/11/2008 | TOTAL GRANT                |
| CANZATER,<br>MATTHEW   |                           | 06/18/2008 | REQUEST FOR THE BANK NAMES IN<br>THE CFTC MARKET REPORTS FOR JUNE<br>2008 - BANK PARTICIPATION IN<br>FUTURES OPTION MARKETS" AND<br>BANK PARTICIPATION IN FUTURES<br>MARKETS.                            | 08-0102 | 07/07/2008 | WITHDRAWN                  |

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| TURTON,<br>MICHAEL      |                        | 06/13/2008 | REQUEST FOR THE INSTITUTIONAL ADDRESS AND CONTACT INFORMATION FOR EACH DOMESTIC AND INTERNATIONAL IRB CURRENTLY REGISTERED ON THE IRB REGISTRY AT THE OFFICE FOR HUMAN RESEARCH PROTECTION. | 08-0103 | 06/13/2008 | NOT AN AGENCY RECORD    |
| COHEN,<br>ALEXANDER     |                        | 06/20/2008 | REQUEST FOR ANY AND ALL LOGS OR OTHER RECORD KEEPING SYSTEMS OF FOIA REQUEST SINCE JANUARY 1, 2004.   | 08-0104 | 07/09/2008 | PARTIAL GRANT           |
| BARENBAUM,<br>EVAN      | MITTS<br>MILAVEC, LLC  | 07/07/2008 | REQUEST FOR A COPY OF CFTC DOCKET NO. 06-R055 (CAVALLARO v. ANGUS JACKSON).   | 08-0105 | 07/28/2008 | TOTAL GRANT             |
| JACOBS, NICK            | A&V INC.               | 07/08/2008 | REQUEST FOR ANY ACCOUNTING WHICH SHOW CHECKS (\$1000 + AND OUTSTANDING FOR AT LEAST 6 MONTHS) ISSUED BY CFTC TO VENDORS AND INDIVIDUALS.  | 08-0106 | 07/28/2008 | NO RESPONSIVE DOCUMENTS |
| ZAIDI, AEHRA            |                        | 07/08/2008 | REQUEST FOR RECORDS THAT ARE PRESENT IN HOMELAND SECURITY REGARDING MY US RESIDENCE.  | 08-0107 | 07/09/2008 | NOT AN AGENCY RECORD    |
| CHINN,<br>MATTHEW       |                        | 07/09/2008 | REQUEST FOR INFORMATIONAL MATERIAL REGARDING COMMODITIES.   | 08-0108 | 07/09/2008 | INFORMATIONAL BROCHURES |
| ANDERSON,<br>THOMAS LEE |                        | 07/09/2008 | REQUEST FOR ANY INFORMATION PERTAINING TO THOMAS L. ANDERSON.   | 08-0109 | 11/06/2008 | PARTIAL GRANT           |
| WEISBERG,<br>ADAM       |                        | 07/10/2008 | REQUEST FOR R78-365-78-232 ENTIRE FILE.   | 08-0110 | 07/28/2008 | TOTAL GRANT             |
| BOYCE,<br>BRITTANY      | BEAU DIETL &<br>ASSOC. | 07/10/2008 | REQUEST FOR THE ENTIRE FILE OF SD98-6.  | 08-0111 | 07/28/2008 | TOTAL GRANT             |

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| CHA, PETER             | MERCER<br>INVESTMENT<br>CONSULTING,<br>INC. | 07/11/2008 | REQUEST FOR RAW DATA FOR THE<br>VOLUME OF FUTURES AND OPTIONS<br>CONTRACTS SINCE 1976, ALSO THE<br>ACTUAL VALUE OF THESE FUTURES<br>SINCE CFTC'S INCEPTION.   | 08-0112 | 07/11/2008 | TOTAL GRANT                |
| BRAHNEY,<br>MICHAEL E. |   | 07/11/2008 | REQUEST TO AMEND NFA<br>REGISTRATION RECORD FOR MICHAEL<br>E. BRAHNEY.  | 08-0113 | 08/12/2008 | TOTAL DENIAL               |
| LOPEZ, RAUL            | ALLEN & OVERY                               | 07/14/2008 | REQUEST FOR RF01-005, APPLICATION<br>OF THE LONDON CLEARING HOUSE<br>LIMITED FOR REGISTRATION AS A<br>DERIVATIVES CLEARING<br>ORGANIZATION.   | 08-0114 | 07/14/2008 | TOTAL GRANT                |
| HANBURY,<br>MARSHALL   | MAYER BROWN<br>LLP                          | 07/17/2008 | REQUEST FOR ALL DOCUMENTS<br>RELATING TO CFTC v. COMMERCIAL<br>HEDGE SERVICES, INC., PRIME<br>TRADING CO., LAWRENCE VOLF,<br>SHERMAN COUNTY BANK, SHERMAN<br>COUNTY MANAGEMENT INC. ,<br>COMMERCIAL HEDGE SERVICES INC.,<br>AND PT HOLDINGS INC., CIVIL ACTION<br>NO. 4:04 VC 3184. | 08-0115 | 09/11/2008 | NO RESPONSIVE<br>DOCUMENTS |
| YADEGAR,<br>DAVID      |   | 07/21/2008 | REQUEST FOR R.J. O'BRIEN'S 6/30/08 1-<br>FR.  | 08-0116 | 08/12/2008 | PARTIAL GRANT              |
| HIBBARD,<br>RICHARD    |   | 07/24/2008 | REQUEST FOR INFORMATION IN<br>INVESTING IN THE COMMODITY<br>FUTURES.  | 08-0117 | 07/28/2008 | INFORMATIONAL<br>BROCHURES |
| CULKIN, WAYNE          |   | 07/24/2008 | REQUEST FOR ALL RECORDS,<br>DOCUMENTS, AND INFORMATION<br>THAT THE CFTC HAS ON FILE<br>REGARDING WAYNE CULKIN.  | 08-0118 | 08/12/2008 | NO RESPONSIVE<br>DOCUMENTS |
| MASSI, MANSA<br>MUSA   |   | 07/29/2008 | REQUEST FOR INFORMATIONAL<br>MATERIAL ON INVESTING.   | 08-0119 | 07/29/2008 | INFORMATIONAL<br>BROCHURES |

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| DUGAN, KATE         | GREENBERG<br>TRAURIG LLP             | 08/05/2008 | REQUEST FOR ANY AND ALL<br>INFORMATION REGARDING THE<br>INVESTIGATION OF DYNEGY<br>MARKETING & TRADE AND WEST<br>COAST POWER LLC, DOCKET NO. 03-03.   | 08-0120 | 08/19/2008 | TOTAL DENIAL               |
| GLEADLE,<br>DEBBIE  | RISING SUN<br>TELECOM                | 08/05/2008 | REQUEST FOR INFORMATION<br>REGARDING VARIOUS CONTRACTS TO<br>AVAYA INC.   | 08-0121 | 08/14/2008 | TOTAL GRANT                |
| KNEISLEY,<br>ROBERT | INDICATOR<br>ADVISORY<br>CORPORATION | 08/06/2008 | REQUEST WHETHER ANY DEPARTMENT<br>OR BRANCH OF THE US GOVERNMENT<br>HAS INTERVENED TO "SELL SHORT"<br>ANY CRUDE OIL CONTRACTS AND TO<br>WHAT EXTENT.  | 08-0122 | 08/06/2008 | TOTAL DENIAL               |
| SIMS, THOMAS        | BINION & SIMS,<br>P.C.               | 08/01/2008 | REFERRAL FROM FERC, REQUEST FOR<br>THE COMMISSION'S TRANSCRIPTS OF<br>THE 6 DEPOS. AND EXHIBITS (NO. 23),<br>IN REGARDS TO ENERGY TRANSFER<br>PARTNERS (ETP) INVESTIGATION<br>(BERZINS, BOURNE, KRIMBILL,<br>SALINAS, AND DAIGH). | 08-0123 | 11/21/2008 | PARTIAL GRANT              |
| CARVILL,<br>ARTHUR  |                                      | 08/11/2008 | REQUEST FOR THE FINANCIAL<br>RECORDS OF LAKE PURRUMBETE<br>ANGLING CLUB, MINUTES OF<br>MEETINGS FOR THE LAST 10 YEARS,<br>TENURE AGREEMENTS, CONTRACTS,<br>AND CORRESPONDENCE.  | 08-0124 | 08/12/2008 | NO RESPONSIVE<br>DOCUMENTS |

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| BASKIN, BRIAN         | DOW JONES<br>NEWSWIRES                     | 08/14/2008 | REQUEST FOR ALL CORRESPONDENCE BETWEEN THE CFTC OR ITS EMPLOYEES AND THE NYMEX AND INTERCONTINENTAL EXCHANGE IN THE MONTH OF JULY AND COMMUNICATION WITHIN THE CFTC AND CFTC MEETING RECORDS RELATED TO THE SPECIAL CALL ISSUED IN MAY.                | 08-0125 | 10/23/2008 | PARTIAL GRANT              |
| HOEFLING,<br>KENNETH  | STANDARD AND<br>POOR'S                     | 08/18/2008 | REQUEST FOR PRICE LIMITS FOR VARIOUS COMMODITIES DATING FROM JANUARY 1995 TO THE PRESENT (CBOT, CME, NYMEX, ICE, KBT, & COMEX).  | 08-0126 | 09/08/2008 | TOTAL GRANT                |
| HARTMANN,<br>MICHELLE | SIDLEY AUSTIN<br>LLP                       | 08/21/2008 | REQUEST FOR NOTIFICATION OF OPERATION AS AN EXEMPT COMMERCIAL MARKET: ICAP ELECTRONIC TRADING COMMUNITY, 2/26/07; FLETT EXCHANGE, 1/12/07; INTERCONTINENTAL EXCHANGE INC., 12/27/01.   | 08-0127 | 08/27/2008 | TOTAL GRANT                |
| SCOTT,<br>WILLIAM     | JUDICIAL<br>EQUALITY<br>FOUNDATION<br>INC. | 08/26/2008 | REQUEST FOR RECORDS REGARDING THE IDENTIFICATION OF FOREIGN CURRENCY INVESTMENT FRAUD CONDUCTED IN BROWARD COUNTY, FLORIDA FOR 2006 THROUGH DECEMBER, 1998 THAT CULMINATED IN THE RAID ON DECEMBER 15, 1998 OF MORE THAN TEN TELEMARKETING OPERATIONS. | 08-0128 | 10/07/2008 | NO RESPONSIVE<br>DOCUMENTS |



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| WHITAKER,<br>MATTHEW  | WESTLAW<br>COURT EXPRESS                          | 08/27/2008 | REQUEST FOR ALL RECORDS IN<br>SUPPORT OF THE REQUEST FOR RELIEF<br>IN CFTC STAFF LETTER 02-22, 7/11/01;<br>06-20, 9/7/06; AND ALL RECORDS<br>TRANSMITTED BY CFTC STAFF TO THE<br>PARTIES ASSOCIATED WITH SUCH<br>REQUESTS OR THEIR RESPECTIVE<br>REPRESENTATIVES IN EACH CASE. | 08-0129 | 10/28/2008 | TOTAL GRANT                |
| BOYCE,<br>BRITTANY    | BEAU DIETL &<br>ASSOCIATES                        | 08/27/2008 | REQUEST FOR INFORMATION OR<br>RECORDS REGARDING ANY<br>DISCIPLINARY ACTIONS AGAINST<br>JASON VIJ BAJAJ.  | 08-0130 | 09/18/2008 | NO RESPONSIVE<br>DOCUMENTS |
| RAVNITZKY,<br>MICHAEL |   | 08/27/2008 | REQUEST FOR THE LIST OF PERIODIC<br>EMPLOYEE COLLOQUIA, BROWN BAG<br>LUNCH TALKS, AND EMPLOYEE<br>SEMINARS.  | 08-0131 | 09/08/2008 | TOTAL GRANT                |
| PLACE,<br>RANDALL     | THE LAW<br>OFFICE OF<br>PLACE AND<br>HANLEY, PLLC | 08/27/2008 | REQUEST FOR VARIOUS REPARATIONS<br>CLAIMS, ANSWERS AND HOLDINGS.   | 08-0132 | 10/20/2008 | WITHDRAWN                  |
| DICK, ANNA            | DEWEY<br>PUBLICATION                              | 08/26/2008 | REQUEST FOR THE NAME, TITLE,<br>ADDRESS, FAX NUMBER AND EMAIL<br>ADDRESS FOR VARIOUS POSITIONS IN<br>THE CFTC.   | 08-0133 | 09/18/2008 | TOTAL GRANT                |
| HARTY, DAN            |   | 08/28/2008 | REQUEST FOR REFCO, LLC'S 1-FR<br>REPORT FOR 10/01/05 - 10/31/05.   | 08-0134 | 09/08/2008 | PARTIAL GRANT              |
| HARTY, DAN            | IOWA GRAIN  | 08/28/2008 | REQUEST FOR SENTINEL<br>MANAGEMENT GROUP'S 1-FR REPORT<br>FOR 1/01/08 - 8/31/08.   | 08-0135 | 09/18/2008 | NO RESPONSIVE<br>DOCUMENTS |

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| BYEON, YOUNG HWAN    | FINANCIAL SUPERVISORY SERVICE, KOREA | 08/29/2008 | REQUEST FOR MONTHLY FINANCIAL STATEMENTS FOR SNC INVESTMENTS, INC., BETWEEN JUNE 2007 AND AUGUST 2008.  | 08-0136 | 09/26/2008 | WITHDRAWN               |
| VANDERSTELT, JEFFREY | ATTORNEY JEFFREY D. VANDERSTELT PLC  | 09/03/2008 | REQUEST FOR POLICE REPORT FROM AUGUST 29, 2008 AT 260 SHERIDAN, MUSKEGO, MI 49442 INVOLVING THE FOLLOWING PARTIES: RICHARD HITSMAN, MARIE HITSMAN, TARA HARRIS AND BRANDON TUCKER.  | 08-0137 | 09/08/2008 | NOT AN AGENCY RECORD    |
| DREYFUSS, BARBARA    |                                      | 09/05/2008 | REQUEST FOR RECORDS REGARDING CFTC V. AMARANTH ADVISORS, CASE NO. 07-CV-6682, BEFORE THE US DISTRICT COURT OF THE SOUTHERN DISTRICT OF NEW YORK, SPECIFICALLY THE FULL DEPOSITIONS OF: HUNTER, MAOUNIS, JONES, ARORA, DELUCIA, BOLLING & RUFA | 08-0138 | 10/03/2008 | TOTAL DENIAL            |
| KALTENBACK, DONALD   |                                      | 09/08/2008 | REQUEST FOR THE NINE PAGE BOOKLET ENTITLED "BEFORE TRADING COMMODITIES - GET THE FACTS" AND ANY OTHER EDUCATIONAL BOOKLETS.   | 08-0139 | 09/10/2008 | INFORMATIONAL BROCHURES |
| WADE, EDUARDO E.     |                                      | 09/11/2008 | REQUEST FOR RECORDS OF EDWARD FRANCIS WADE, SSN# 224-05-1211, DOB 7/19/1920 FOR THE TIME PERIOD 1974 TO PRESENT.  | 08-0140 | 09/26/2008 | NO RESPONSIVE DOCUMENTS |

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| BRENNAN, A.<br>KELLY   | BALCH &<br>BINGHAM LLP                    | 09/12/2008 | ALL DOCS RELIED UPON BY THE CFTC<br>IN RE WITH VARIOUS STATEMENT(S)<br>MADE IN THE ORDER INSTITUTING<br>PROCEEDINGS, MAKING FINDINGS AND<br>IMPOSING REMEDIAL SANCTIONS IN<br>CFTC DKT NO.: 03-09, PENDING<br>BEFORE CFTC AND DKT NO. 03-03 (RE:<br>DYNEGY & EL PASO). | 08-0141 | 12/10/2008 | PARTIAL GRANT              |
| HINES, MARIAN<br>L.    |   | 09/16/2008 | INSPECTOR GENERAL REPRISAL<br>COMPLAINT AGAINST COL DENNIS<br>SALTZMAN BY SFC MARIAN L. HINES<br>CASE #DIH-05-6050 DATED JANUARY<br>2005.  | 08-0142 | 09/18/2008 | NOT AN AGENCY<br>RECORD    |
| MANSKE,<br>PHILLIP D.  |   | 09/17/2008 | REQUEST FOR THE KSA'S OR RESUME<br>FOR THE SELECTED APPLICANT FOR<br>JOB ANNOUNCEMENT NUMBER 08-<br>045, TITLE: TECHNICAL WRITER, OPEN:<br>6/5/08 - 7/7/08.  | 08-0143 | 10/01/2008 | WITHDRAWN                  |
| MANSKE,<br>PHILLIP D.  |   | 09/17/2008 | REQUEST FOR THE KSA'S OR RESUME<br>FOR THE SELECTED APPLICANT FOR<br>JOB ANNOUNCEMENT NUMBER 08-<br>031, TITLE: IT SPECIALIST, OPEN:<br>4/3/08 - 5/5/08.   | 08-0144 | 10/01/2008 | WITHDRAWN                  |
| HICKS, TAMMY           | RESEARCH<br>ASSOCIATES OF<br>AMERICA, INC | 09/17/2008 | REQUEST FOR FINANCIAL DISCLOSURE<br>STATEMENTS FOR FILE YEAR 2008<br>(FORM 278) FOR: TERRY ARBIT, BART<br>CHILTON, MICHAEL DUNN, WALTER<br>LUKKEN, SCOTT O'MALIA, AND JILL<br>SOMMERS.   | 08-0145 | 09/22/2008 | NO RESPONSIVE<br>DOCUMENTS |
| DIDATO,<br>MICHAEL ROY |   | 09/17/2008 | REQUEST FOR ALL LAW ENFORCEMENT<br>AND MILITARY RECORDS.   | 08-0146 | 10/01/2008 | WITHDRAWN                  |

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| DUTTA, SANDIP         |                                  | 09/18/2008 | REQUEST FOR INFORMATION REGARDING CME FUTURES CONTRACTS (TRADE DATA).  | 08-0147 | 10/06/2008 | TOTAL DENIAL            |
| ROWLETT, GARY         |                                  | 09/23/2008 | REQUEST FOR INFORMATIONAL MATERIAL REGARDING CFTC.   | 08-0148 | 09/23/2008 | TOTAL GRANT             |
| DENNISTON, TOBY WAYNE |                                  | 09/23/2008 | REQUEST FOR INFORMATION REGARDING THE MATTER OF DENNISTON, PLYAM, ACCELERATION CAPITAL, AND ACCELERATION MERCURY.  | 08-0149 | 10/09/2008 | PARTIAL GRANT           |
| BRIGANTI, VINCENT     | LOWEY DANNENBERG COHEN & HART PC | 09/30/2008 | REQUEST FOR INFORMATION/MATERIAL REGARDING CFTC v. OPTIVER US LLC, OPTIVER HOLDING BV, OPTIVER VOF, DOWSON, VANKEMPEN AND MAIJER, 07 CIV. 6560 (SDNY).   | 08-0150 | 10/20/2008 | PARTIAL GRANT           |
| TORAGANLI, NAZLI      |                                  | 10/07/2008 | REQUEST FOR FIRM LEVEL FINANCIAL HEDGING DATA SUCH AS THE USE OF CURRENCY OPTIONS, FUTURES OR FORWARDS IN MANUFACTURING SECTOR FOR THE PERIOD 1992 - 2005 AS WELL AS TICKER, EMPLOYMENT IDENTIFICATION NUMBERS AND SIC NUMBERS.      | 09-0001 | 10/23/2008 | NO RESPONSIVE DOCUMENTS |
| LYNCH, SARAH          | DOW JONES NEWSWIRES              | 10/08/2008 | REQUEST FOR ALL SOLE SOURCE CONTRACTS AWARDED WITHIN THE LAST 2 YEARS (DEIDRE KING AND THE PROMONTORY GROUP); VARIOUS INFO. REGARDING ALL CFTC EMPLOYEES; LEASE AGREEMENT INFO.; AND SUBMISSIONS FILED FROM BROWN BROTHERS HARRIMAN. | 09-0002 | 11/14/2008 | TOTAL GRANT             |

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| MARTIN, NICK          | CLIFFORD<br>CHANCE LLP  | 10/14/2008 | REQUEST FOR PDFS OF VOLUME 4 OF<br>THE LIFFE HANDBOOK.  | 09-0003 | 10/20/2008 | TOTAL GRANT   |
| PROCTOR,<br>WILLIAM   |                         | 10/14/2008 | REQUEST FOR THE CURRENT POSITION<br>DESCRIPTION AS WELL AS ANY<br>PREVIOUS POSITION DESCRIPTIONS OF<br>EACH PARALEGAL SPECIALIST<br>CURRENTLY EMPLOYED BY CFTC'S OGC.                       | 09-0004 | 10/23/2008 | TOTAL GRANT   |
| KRONGOLD,<br>STEVEN L | KRONGOLD<br>LAW CORP PC | 10/16/2008 | FORWARDED FROM NFA, REQUEST<br>FOR ALL DOCUMENTS RELATING TO<br>RYAN NASSBRIDGES, APC, AND ABEX.  | 09-0005 | 12/01/2008 | PARTIAL GRANT |
| MCPEAK,<br>DONALD L.  |                         | 10/16/2008 | REQUEST FOR COMPLETE CLAIMS, AND<br>REHAB FILES, CLAIM #28 910 625.   | 09-0006 | 10/20/2008 | WITHDRAWN     |
| LEVITON, JASON        |                         | 10/17/2008 | REQUEST FOR INFORMATION<br>REGARDING ACTIONS AND/OR<br>INVESTIGATIONS BY CFTC AGAINST MF<br>GLOBAL.   | 09-0007 | 03/12/2009 | TOTAL DENIAL  |
| KUROV, ALEX           |                         | 10/20/2008 | REQUEST FOR DAILY DATA FOR CRUDE<br>OIL, HEATING OIL, AND NATURAL GAS<br>FUTURES AND OPTIONS ON FUTURES<br>FROM 1998 - PRESENT.   | 09-0008 | 12/04/2008 | TOTAL DENIAL  |
| DREYFUSS,<br>BARBARA  |                         | 10/20/2008 | REQUEST FOR VARIOUS DEPOSITIONS<br>REFERENCED IN THE SHOW CAUSE<br>ORDER ISSUED AGAINST AMARANTH<br>ADVISORS ON JULY 26, 2006.  | 09-0009 | 10/29/2008 | TOTAL DENIAL  |
| SIMS, THOMAS          | BINION & SIMS,<br>PC    | 10/20/2008 | REFERRAL FROM FERC, REQUEST FOR<br>SPREADSHEET 1277, 1288, 01315 &<br>01316 SHOWED TO MR. SMALL ON<br>PAGE 167 OF HIS DEPOSITION (NO.11<br>OF REQUEST), IN REGARDS TO ETP<br>INVESTIGATION. | 09-0010 | 03/10/2009 | TOTAL GRANT   |

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| ADAMS,<br>MARILYN              |                              | 10/21/2008 | REQUEST FOR INFORMATION AND/OR<br>THE WWII RECORDS OF JOHN H<br>ROBERTS AND LLOYD CHAPMAN.   | 09-0011 | 10/21/2008 | NO RESPONSIVE<br>DOCUMENTS |
| SMITH, RICK                    |                              | 10/21/2008 | REQUEST FOR INFORMATIONAL<br>MATERIAL.   | 09-0012 | 10/21/2008 | INFORMATIONAL<br>BROCHURES |
| BOYCE,<br>BRITTANY             | BEAU DIETL &<br>ASSOC.       | 10/21/2008 | REQUEST FOR INFORMATION<br>REGARDING AND DISCIPLINARY<br>ACTIONS AGAINST JOHN CHARLES<br>SUGLIA.   | 09-0013 | 11/14/2008 | NO RESPONSIVE<br>DOCUMENTS |
| PEARSON,<br>BRIAN              | IHC FINANCIAL<br>GROUP, INC. | 10/23/2008 | REQUEST FOR THE FULL LEGAL NAMES<br>AND EMPLOYMENT ADDRESSES OF ALL<br>NON MISSION CRITICAL PERSONNEL<br>EMPLOYED BY CFTC.   | 09-0014 | 11/14/2008 | TOTAL GRANT                |
| GARCIA,<br>ANTONIO<br>CASTILLO |                              | 10/23/2008 | REQUEST FOR INFORMATION OR<br>RECORDS REGARDING ANY<br>IMMIGRATION MATTERS, INCLUDING<br>ANY IMMIGRATION STOPS ON THE<br>BORDER OF SAN YSIDRO, CA.   | 09-0015 | 10/24/2008 | NO RESPONSIVE<br>DOCUMENTS |
| NORWOOD,<br>BRIAN              |                              | 10/24/2008 | REQUEST A FREE CATALOG AND<br>PUBLICATIONS OF CFTC PROGRAM<br>AND SERVICES.  | 09-0016 | 10/24/2008 | INFORMATIONAL<br>BROCHURES |
| REISS, WILLIAM<br>V.           | LABATON<br>SUCHAROW          | 10/30/2008 | REQUEST OF MATERIAL REGARDING<br>ETP AND HOUSTON PIPELINE<br>COMPANY, ETC MARKETING LTD., AND<br>NYMEX CONCERNING A CLASS ACTION<br>PENDING IN THE US DISTRICT COURT<br>FOR THE SOUTHERN DISTRICT OF<br>TEXAS. | 09-0017 | 02/19/2009 | PARTIAL GRANT              |

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| GUILBAULT,<br>ALLISON | BEAU, DIETL &<br>ASSOCIATES          | 10/30/2008 | REQUEST FOR INFORMATION OR<br>RECORDS REGARDING ANY<br>DISCIPLINARY ACTION AGAINST ARI M.<br>RUBENSTIEN.  | 09-0018 | 11/14/2008 | NO RESPONSIVE<br>DOCUMENTS |
| HINDS, MELISSA        | JENNER &<br>BLOCK LLP                | 11/05/2008 | REQUEST FOR COPIES OF THE<br>DOCUMENTS AND INFORMATION I<br>FLAGGED AND/OR IDENTIFIED ON THE<br>INDEX OF THE BOXES (303-06B CFTC<br>DOCKET #01-05) ON SEPTEMBER 18,<br>2008 IN THE CFTC CHICAGO OFFICE.                       | 09-0019 | 12/01/2008 | TOTAL GRANT                |
| REISS, WILLIAM<br>V.  | LABATON<br>SUCHAROW LLP              | 11/05/2008 | REQUEST FOR COPIES OF VARIOUS<br>DOCUMENTS IN REGARDS TO THE<br>PENDING ACTION IN THE UNITED<br>STATES DISTRICT COURT FOR THE<br>SOUTHERN DISTRICT OF TEXAS, IN RE<br>ENERGY TRANSFER PARTNERS<br>NATURAL GAS, 07 CIV. 03349. | 09-0020 | 11/05/2008 | WITHDRAWN                  |
| WALKER, KELLY         | DEPARTMENT<br>OF TREASURY            | 11/05/2008 | SUMMONS TO NFA FOR DOCUMENTS<br>ON FILE FOR CBI LIMITED<br>PARTNERSHIP (CBI LLC), HELM GROUP;<br>EDWINA LEE HOULMIERE; MARCUS A.<br>HOULMIERE; PATRICK E. HOULMIERE;<br>AND COMMODITY BROKERS<br>INTERNATIONAL LLC.           | 09-0021 | 11/14/2008 | FORWARDED TO<br>OGC        |
| THORUP, SARA          | BLACKROCK<br>ALTERNATIVE<br>ADVISORS | 11/05/2008 | REQUEST FOR PUBLIC AND NON-<br>PUBLIC DOCUMENTS ON FILE WITH<br>THE NFA REGARDING MICHAEL ALBERT<br>DOWNS.  | 09-0022 | 11/14/2008 | TOTAL GRANT                |
| GONZALES,<br>DAVID    | WESTERN<br>WASHINGTON<br>UNIVERSITY  | 11/25/2008 | REQUEST FOR NATION-WIDE GUN SALE<br>STATISTICS FOR 2000 - 2008,<br>SPECIFICALLY PISTOL SALES AND<br>ASSAULT RIFE SALES.   | 09-0023 | 11/25/2008 | NO RESPONSIVE<br>DOCUMENTS |

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| SOBEL, NEIL H.         |                            | 11/25/2008 | REQUEST TO AMEND NFA<br>REGISTRATION RECORD FOR NEIL H.<br>SOBEL.  | 09-0024 | 12/16/2008 | TOTAL DENIAL               |
| MARQUEZ,<br>ROLANDO G. | MILBERG LLP                | 10/29/2008 | DOCUMENTS CONCERNING ANY<br>INVESTIGATION BETWEEN 2000 AND<br>2007 OF MIRANT CORPORATION.  | 09-0025 | 01/09/2009 | WITHDRAWN                  |
| BRIXIUS, BROCK         |                            | 12/03/2008 | REQUEST FOR A SITUATION INVOLVING<br>REQUESTER DRINKING SOMETHING,<br>REFERRING TO SOMETHING CALLED A<br>"LOOP" INVESTIGATED   | 09-0026 | 12/03/2008 | NO RESPONSIVE<br>DOCUMENTS |
| HICKEY, PETER          |                            | 12/05/2008 | REQUEST FOR 1-FR REPORTS FOR<br>REFCO, LLC (2004 - 05).  | 09-0027 | 12/05/2008 | PARTIAL GRANT              |
| STATON,<br>JESSICA     | WITHERS<br>BERGMAN         | 12/15/2008 | REQUEST FOR DOCUMENTS: JOHNSON-<br>SHAP_JOINTEXPLANATORYSTATEMENT<br>_C820201; JOHNSON-<br>SHAD_PRESSRELEASE_820201;<br>JOHNSON-<br>SHAD_PRESSRELEASE_811207_CLOSEC<br>OMMMTG_811203 | 09-0028 | 12/30/2008 | TOTAL GRANT                |
| DIETL, RICHARD         | BEAU DIETL &<br>ASSOCIATES | 12/16/2008 | REQUEST FOR INFORMATION<br>REGARDING ANY DISCIPLINARY<br>ACTIONS AGAINST DARRYL BRAY<br>THOMPSON, NFA 0387857  | 09-0029 | 12/23/2008 | NO RESPONSIVE<br>DOCUMENTS |
| CHAMBLIN,<br>ANDRE     |                            | 12/17/2008 | REQUEST FOR INFORMATION<br>REGARDING REGULATIONS OF<br>TRADING FUTURES IN COMMODITIES<br>AND THE RIGHTS OF CUSTOMERS.  | 09-0030 | 12/30/2008 | INFORMATIONAL<br>BROCHURES |
| ROGERS, KEVIN          |                            | 12/23/2008 | REQUEST FOR INFORMATIONAL<br>MATERIAL REGARDING CFTC AND<br>INVESTING.   | 09-0031 | 12/30/2008 | INFORMATIONAL<br>BROCHURES |



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| BAXTER,<br>ROBERT      |                                     | 12/29/2008 | REQUEST FOR RECORDS OF<br>CONSUMER COMPLAINTS AGAINST<br>ROSENTHAL COLLINS GROUP, LLC,<br>RECEIVED SINCE DECEMBER 31, 1999.   | 09-0032 | 01/27/2009 | TOTAL GRANT                |
| BOGARDUS,<br>KEVIN     | CAPITOL HILL<br>PUBLISHING<br>CORP. | 12/30/2008 | REQUEST FOR FOIA LOG, FROM JULY<br>2008; CORRESPONDENCES FROM<br>CONGRESS; SCHEDULES FOR LUKKEN,<br>DUNN, SOMMERS, & CHILTON;<br>CORRESPONDENCE FROM SEN.<br>OBAMA; & GUIDELINES FROM OBAMA-<br>BIDEN TRANSITION PROJECT. | 09-0033 | 02/09/2009 | PARTIAL GRANT              |
| BAXTER,<br>ROBERT      |                                     | 12/29/2008 | REQUEST FOR RECORDS OF<br>CONSUMER COMPLAINTS AGAINST<br>CQG INC. RECEIVED SINCE DECEMBER<br>31, 1999.  | 09-0036 | 01/27/2009 | NO RESPONSIVE<br>DOCUMENTS |
| KNOBLOCK,<br>CHRISTINE | CHRISTINE<br>PAINTING INC.          | 01/06/2009 | REQUEST FOR INFORMATION<br>REGARDING BID SOLICITATION CFOM-<br>08-SO-0157.  | 09-0034 | 01/12/2009 | NO RESPONSIVE<br>DOCUMENTS |
| GRIMM,<br>WILLIAM R.   | BARROW &<br>GRIMM PC                | 01/06/2009 | REQUEST FOR DEPOSITION<br>TRANSCRIPTS DATED OCTOBER 2, 2003<br>- JANUARY 14, 2004, FOR FORMER<br>ONEOK TRADING EMPLOYEES.   | 09-0035 | 01/16/2009 | TOTAL GRANT                |
| GARCIA, EDWIN          |                                     | 01/07/2009 | REQUEST FOR DEPARTMENT OF<br>CORRECTIONS ADMINISTRATIVE<br>DIRECTIVE.   | 09-0037 | 01/07/2009 | WRONG AGENCY               |
| STRONG, JOI            | LASER PRINTER<br>PLUS               | 01/07/2009 | REQUEST FOR INFORMATION ON THE<br>CURRENT CONTRACT REGARDING<br>OFFICE SUPPLIES FOR THE AGENCY.   | 09-0038 | 02/09/2009 | NO RESPONSIVE<br>DOCUMENTS |

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| CHO, GRACE          | CAPITOL DISTRICT INFORMATION         | 01/08/2009 | REQUEST FOR THE CFTC DIVISION OF ENFORCEMENT'S PROCEDURES MANUAL THAT COVERS RULES AND PROCEDURES FOR CONDUCTING INVESTIGATIONS/LITIGATIONS.                       | 09-0039 | 02/17/2009 | PARTIAL GRANT           |
| TELLER, KATHERINE   | US ENERGY INFORMATION ADMINISTRATION | 01/13/2009 | REQUEST FOR 2008 DAILY DATA FOR NATURAL GAS CONTRACTS ON NYMEX, INCLUDING THE OPEN INTEREST, VOLUME OF TRADE, HIGH/LOW AND SETTLEMENT PRICE. CONTRACT CODE 023651. | 09-0040 | 02/26/2009 | NO CREATE               |
| SMITH, B. E.        |                                      | 01/15/2009 | REQUEST TO FORWARD FOR LEHMAN BROTHERS FROM A HOMELESS CLASS ACTIONS LITIGANTS DENIED INFORMA PAUPERIS.  | 09-0041 | 01/15/2009 | WRONG AGENCY            |
| FRANKEL, PIA K.     |                                      | 01/21/2009 | REQUEST FOR THE RETURN ON CHARGE FILE #541-2007-01259 FOR THE DENVER FIELD OFFICE.   | 09-0042 | 01/21/2009 | WRONG AGENCY            |
| SMITH, PERCY        |                                      | 01/21/2009 | REQUEST FOR POSTAL SERVICE'S PAY FOR PERFORMANCE PROGRAM IN THE NORTH FLORIDA DISTRICT.  | 09-0043 | 01/21/2009 | WRONG AGENCY            |
| IRIZARRY, ORLANDO   |                                      | 01/21/2009 | REQUEST INFORMATION REGARDING COMMODITY FUTURES TRADING, TRADING COMMISSION AND CONTRACT.  | 09-0044 | 01/22/2009 | INFORMATIONAL BROCHURES |
| SCHMAHL, MICHAEL M. | MCGUIREWOODS LLP                     | 01/23/2009 | REQUEST FORWARDED FROM NFA FOR DOCUMENTS FOR SENTINEL MANAGEMENT GROUP, INC.   | 09-0045 | 02/20/2009 | PARTIAL GRANT           |
| WYBIRAL, LESLIE     | LOUIS F. BURKE PC                    | 02/03/2009 | REQUEST FORWARDED FROM NFA FOR DOCUMENTS FOR DOUGLAS NEWMAN, ANTHONY PAUL, DONALD SLITER, AND SLI TRADE LLC.   | 09-0046 | 02/20/2009 | PARTIAL GRANT           |

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| RE SHIN, PONG           |  | 02/02/2009 | REQUEST FOR COPIES OF DOCUMENTS SENT TO PONG RE SHIN THAT WAS PREVIOUSLY SENT TO ENFORCEMENT FROM BEN OUYANG FOIA.                               | 09-0047 | 03/13/2009 | WITHDRAWN               |
| STEELE, JOHN<br>MICHAEL |  | 02/05/2009 | REQUEST FOR THE USACE FINDINGS, CONCLUSIONS AND RECOMMENDATIONS IN THE IG INVESTIGATION CONDUCTED ON THE USACE, CHARLESTON, SC DISTRICT IN 2005. | 09-0048 | 02/05/2009 | NO RESPONSIVE DOCUMENTS |
| ZUCKERMAN, JEFFREY      | PILLSBURY<br>WINTHROP<br>SHAW PITTMAN<br>LLP   | 01/29/2009 | REQUEST FOR VARIOUS DOCUMENTS IN REGARDS TO CFTC V. KEVIN CASSIDY (BMO).   | 09-0049 | 03/24/2009 | TOTAL DENIAL            |
| REDWING, ANA            |  | 02/09/2009 | REQUEST FOR ENTIRE BIA PERSONEL FILE ON ANA REDWING.   | 09-0050 | 02/09/2009 | NO RESPONSIVE DOCUMENTS |
| REDWING, ANA            |  | 02/09/2009 | REQUEST FOR BIA MEDWEST REGION'S REPORT ON ANA REDWING'S FEDERAL NAME PLATE.   | 09-0051 | 02/09/2009 | NO RESPONSIVE DOCUMENTS |
| BOGARDUS, KEVIN         | THE HILL                                       | 02/04/2009 | REQUEST FOR VARIOUS CONTROL DOCUMENTS IN REGARDS TO SEN. FEINSTEIN, NELSON, WYDEN, CANTWELL, DORGAN, KYL, HALL, REID, KOHL, AND REP. LATTA.      | 09-0052 | 02/26/2009 | PARTIAL GRANT           |
| GRIFFIN, OLIVIA         | FIRSTADVANTA<br>GE<br>INVESTIGTIVE<br>SERVICES | 02/09/2009 | REQUEST FROM NFA FOR NON-PUBLIC INFORMATION IN BRUCE STANLEY KOVNER'S FILE.  | 09-0053 | 02/20/2009 | PARTIAL GRANT           |

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| ZIMMER, ED            |                                      | 02/09/2009 | REQUEST FOR THE IDENTITIES OF TWO US BANKS HOLDING POSITIONS IN FEBRUARY 3RD CMX SILVER AS DETAILED IN THE FEBRUARY BANK PARTICIPATION REPORT AT <a href="http://www.cftc.gov/dea/bank/deafeb09f.htm">www.cftc.gov/dea/bank/deafeb09f.htm</a> . | 09-0054 | 03/18/2009 | TOTAL DENIAL            |
| THORUP, SARA          | BLACKROCK<br>ALTERNATIVE<br>ADVISORS | 02/09/2009 | REQUEST FORWARDED FROM NFA FOR NON-PUBLIC INFORMATION FOR ANDREW EDMUND HASS.   | 09-0055 | 02/20/2009 | TOTAL DENIAL            |
| LUSTREA,<br>DEBRA J.  | CME GROUP                            | 02/09/2009 | REQUEST FOR A LIST OF PAST/PRESENT COMMISSIONERS AND TERMS.   | 09-0056 | 02/17/2009 | TOTAL GRANT             |
| GAZA, MARY            |                                      | 02/17/2009 | REQUEST FOR DOCUMENTATION SUPPORTING THAT PRUDENTIAL SECURITIES FUTURES MANAGEMENT AND/OR SEAPORT FUTURES MANAGEMENT SECURED AN EXEMPTION FROM CFTC TO USE INTERNATIONAL GAAP FOR FINANCIAL STATEMENTS FOR INTERNATIONAL FUTURES FUND B.        | 09-0057 | 03/18/2009 | NO RESPONSIVE DOCUMENTS |
| RAVNITZKY,<br>MICHAEL |                                      | 02/17/2009 | REQUEST FOR A LIST OF ALL CLOSED CFTC OIG INVESTIGATIONS FOR ALL YEARS AVAILABLE.   | 09-0058 | 02/25/2009 | TOTAL GRANT             |
| MANELLA, ROSS         | HINSHAW &<br>CULBERTSON<br>LLP       | 02/18/2009 | REQUEST FOR ALL RECORDS PERTAINING TO KARIM ARMAND THAT THE CFTC HAS RECEIVED OR CREATED DURING THE PAST 15 YEARS.  | 09-0059 | 03/12/2009 | NO RESPONSIVE DOCUMENTS |

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| MANELLA, ROSS       | HINSHAW &<br>CULBERTSON<br>LLP                  | 02/18/2009 | REQUEST FOR ALL RECORDS<br>PERTAINING TO COLBERT INVESTMENT<br>MANAGEMENT THAT THE CFTC HAS<br>RECEIVED OR CREATED SINCE 1997.  | 09-0060 | 03/12/2009 | NO RESPONSIVE<br>DOCUMENTS |
| MANELLA, ROSS       | HINSHAW &<br>CULBERTSON<br>LLP                  | 02/18/2009 | REQUEST FOR ALL RECORDS<br>PERTAINING TO ARMACO INC. THAT<br>THE CFTC HAS RECEIVED OR CREATED<br>SINCE 1997.  | 09-0061 | 03/12/2009 | NO RESPONSIVE<br>DOCUMENTS |
| SHOCH, LOUIS<br>E.  | MAIER SHOCH<br>LLP                              | 02/19/2009 | REQUEST FOR A COPY OF ALL RECORDS<br>THAT THE MCGRAW HILL COMPANIES,<br>INC. PRODUCED TO THE CFTC IN<br>RESPONSE TO CFTC'S April 15, 2005<br>SUBPOENA AND/OR IN COMPLIANCE<br>WITH THE US DISTRICT JUDGE ROYCE<br>C. LAMBERTH'S OCTOBER 4, 2005<br>ORDER (DDC CASE MISC. NO. 05-235 | 09-0062 | 04/07/2009 | TOTAL DENIAL               |
| SHOCH, LOUIS<br>E.  | MAIER SHOCH<br>LLP                              | 02/20/2009 | REQUEST FOR ALL RECORDS THAT<br>INTELLIGENCE PRESS INC. PRODUCED<br>TO CFTC IN RESPONSE TO ANY<br>SUBPOENA OR OTHER TYPE OF<br>REQUEST FOR INFORMATION FROM<br>CFTC BETWEEN JANUARY 1, 2000 AND<br>THE PRESENT.   | 09-0063 | 03/27/2009 | NO RESPONSIVE<br>DOCUMENTS |
| GRIFFIN, OLIVIA     | FIRST<br>ADVANTAGE<br>INVESTIGATIVE<br>SERVICES | 02/20/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC DOCUMENTS FOR<br>ANDREW ERIC LAW, NFA# 404568.   | 09-0064 | 03/04/2009 | PARTIAL GRANT              |
| BRUNELLE,<br>GEORGE | BRUNELLE &<br>HADJIKOW, PC                      | 02/20/2009 | REQUEST FOR RECORDS AND<br>INFORAMTION REGARDING CFTC'S<br>INVESTIGATION OF IA TRADING.COM<br>AND INTERACTIVE BROKERS, INC.   | 09-0065 | 03/24/2009 | TOTAL DENIAL               |

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| MOSHIER,<br>VICTOR L.       |                                   | 02/23/2009 | REQUEST FOR INFORMATION<br>REGARDING 1965 CIC OFFICER<br>CHARLES SANBORN, ABOARD THE USS<br>COOK APD 130.   | 09-0066 | 02/24/2009 | WRONG AGENCY               |
| HOEY, STEPHEN               |                                   | 02/23/2009 | REQUEST FOR EXACT INFORMATION<br>USED IN DETERMINATION AND<br>MEASURES NEEDED TO CORRECT<br>MISINFORMATION REGARDING FBOP<br>DECISION ON OCTOBER 20, 2008<br>INVOLVING HIRING REQUIREMENTS<br>NOT BEING MEET. | 09-0067 | 02/24/2009 | WRONG AGENCY               |
| LEWIS,<br>JONATHAN          |                                   | 02/24/2009 | REQUEST FOR INFORMATIONAL<br>MATERIAL.  | 09-0068 | 02/25/2009 | INFORMATIONAL<br>BROCHURES |
| RAVNITZKY,<br>MICHAEL       |                                   | 02/24/2009 | REQUEST FOR A COPY OF THE<br>MEETING MINUTES OR TRANSCRIPT<br>FOR THE AD HOC MEETING ON<br>REGULATORY PARITY OF THE GLOBAL<br>MARKETS ADVISORY COMMITTEE ON<br>JUNE 18 AND JULY 9, 1999.                      | 09-0069 | 04/24/2009 | TOTAL GRANT                |
| GARCIA,<br>CARLOS           |                                   | 02/25/2009 | REQUEUST FOR 1-FR FOR RAUL GIRON<br>AND/OR MERCADO DE FUTUROS, SA.  | 09-0070 | 03/04/2009 | NO RESPONSIVE<br>DOCUMENTS |
| MAURENE,<br>NEHORAH         |                                   | 02/25/2009 | REQUEST FOR RECORD/DETAILS OF<br>THE IMMIGRATION COURTS REMOVAL<br>PROCEEDINGS IN THE MATTER OF<br>NEHORAH MAURENE.   | 09-0071 | 02/26/2009 | WRONG AGENCY               |
| GRESSMAN,<br>WILLIAM (BILL) | OFFICE OF<br>GOVERNMENT<br>ETHICS | 02/25/2009 | CONSULTATION REGARDING TWO<br>REQUEST THEY RECEIVED FOR GARY<br>GENSLER'S (PRESIDENT CFTC<br>CHAIRMAN NOMINEE) ETHICS<br>AGREEMENT.   | 09-0072 | 02/26/2009 | TOTAL GRANT                |

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| BENKE, GAVIN           |                          | 03/04/2009 | REQUEST FOR CORRESPONDENCE AND DOCUMENTS RELATING TO THE COMPANY ENRON'S BUSINESS PRACTICES FROM 1996-2001.   | 09-0073 | 03/24/2009 | NO RESPONSIVE DOCUMENTS |
| JOHNSON, EDWIN G.      |                          | 03/04/2009 | REQUEST FOR INFORMATIONAL AND REGISTRATION MATERIAL.  | 09-0074 | 03/04/2009 | TOTAL GRANT             |
| WALD, LAUREN           | LOUIS F. BURKE PC        | 03/04/2009 | REQUEST FORWARDED FROM NFA FOR NON-PUBLIC INFORMATION ON FILE FOR RICHARD D. LUPORI.  | 09-0075 | 03/04/2009 | TOTAL GRANT             |
| BLACK, KAREN E.        |                          | 03/09/2009 | REQUEST FOR COPIES OF ALL PHOTOS AND INTERNAL PAPERS OF INVESTIGATION AND EVIDENCE PERTAINING TO THE NOVEMBER 9, 2007 ACCIDENT IN MCFARLAND CA, NTSB #LAX08FA028. | 09-0076 | 03/09/2009 | WRONG AGENCY            |
| CONTRERAS-WOODS, NOEMI |                          | 03/09/2009 | REQUEST FOR THE AUDITED 1-FR FOR JP MORGAN FUTURES INC. FOR 12/31/06 - 12/31/07.  | 09-0077 | 03/19/2009 | PARTIAL GRANT           |
| RAVNITZKY, MICHAEL     |                          | 03/10/2009 | REQUEST FOR WRITTEN RESULTS OF THE INVESTIGATION REGARDING THE INTERAGENCY TASK FORCE ON COMMODITY MARKETS INTERIM REPORT ON CRUDE OIL.                           | 09-0078 | 03/27/2009 | TOTAL GRANT             |
| MOLEND, DAVID          |                          | 03/11/2009 | REQUEST TO REVIEW CFTC INTERPRETATIVE LETTERS: 75-18, 96-01, 96-02, 96-03, 84-1, 85-1, 85-2, 85-4, 85-5 AND 86-1.   | 09-0079 | 03/17/2009 | TOTAL GRANT             |
| LAUTEN, LYND           | GLOBAL MARINE POWER INC. | 03/12/2009 | REQUEST FOR POLICE REPORT FOR INCIDENT THAT HAPPENED ON THE PROPERTY OF GLOBAL MARINE POWER INC. ON JANUARY 24, 2008 IN CALVERTON NY.                             | 09-0080 | 03/12/2009 | WRONG AGENCY            |

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| GREENSPON,<br>MARC J. | LAW OFFICE OF<br>MARC J.<br>GREENSPON | 03/13/2009 | REQUEST FOR MERCHANTS EXCHANGE<br>MOST RECENT RULEBOOK.   | 09-0081 | 03/23/2009 | NO RESPONSIVE<br>DOCUMENTS |
| COLEMAN,<br>BARUCH    |                                       | 03/17/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC INFORMATION<br>REGARDING CURTIS K. CHEUNG AND<br>SHUN PUN LIMITED.                     | 09-0082 | 03/24/2009 | PARTIAL GRANT              |
| RAVNITZKY,<br>MICHAEL |                                       | 03/17/2009 | REQUEST FOR CLOSING MEMO AND<br>FINAL REPORT FOR VARIOUS<br>INSPECTOR GENERAL INVESTIGATIONS.                                       | 09-0083 | 04/06/2009 | TOTAL GRANT                |
| CARPENTER,<br>EDWARD  |                                       | 03/17/2009 | REQUEST FOR HISTORY OF BRUCE<br>BARSOTTI HAVING A FEDERAL<br>FIREARMS LICENSE.  | 09-0084 | 03/17/2009 | WRONG AGENCY               |
| ABADSAFIAN,<br>SHAHIN |                                       | 03/13/2009 | REQUEST TO AMEND SHAHIN<br>ABADSAFIAN'S NFA REGISTRATION BY<br>REMOVING SIEGEL TRADING<br>COMPANY.                                  | 09-0085 | 04/07/2009 | TOTAL DENIAL               |
| ABNEY, ALLEN          |                                       | 03/19/2009 | REQUEST FOR ANY INFORMATION<br>CONCERNING INVESTMENT BANKING<br>AND PERTAINING TO CFTC.   | 09-0086 | 03/23/2009 | INFORMATIONAL<br>BROCHURES |
| TAYLOR, WADE<br>D.    |                                       | 03/19/2009 | REQUEST FOR INFORMATION ON<br>COMMODITIES, INCLUDING<br>HISTORICAL PRICES FOR LUMBER,<br>PORK BELLIES, CORN AND SOYBEANS.           | 09-0087 | 03/23/2009 | INFORMATIONAL<br>BROCHURES |
| SCHWARTZ,<br>DAVID    |                                       | 03/18/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC RECORDS REGARDING<br>PEREGRINE FINANCIAL GROUP INC.<br>AND RUSSELL RALPH WASENDORF SR. | 09-0088 | 03/23/2009 | TOTAL GRANT                |



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| LERNER, JULIE    |   | 03/20/2009 | REQUEST FOR TRADING UNITS AND TRADING MONTHS AND DELIVERY PERIOD ON OR BEFORE JULY 2000 OR HOW THEY'VE CHANGED FOR: CME/CBOT COMMODITIES: WHEAT, CORN, SOYBEAN, SOYBEAN MEAL, ROUGH RICE; NYBOT/ICE COMMODITIES: COFFEE, SUGAR COCOA. COTTON | 09-0089 | 04/08/2009 | WITHDRAWN               |
| ALLEN, DAVID R.  |   | 03/23/2009 | REQUEST FOR CFTC ADVISORY 94-2.  | 09-0090 | 03/30/2009 | WITHDRAWN               |
| PARELES, MICHAEL | UNITED FOOD AND COMMERCIAL WORKERS          | 03/26/2009 | REQUEST FOR DOCUMENTS PRODUCED OR RECEIVED FROM SARA LILYGREN, DAVID MENOTTI OR ARCHIBALD SCHAFER AKA ARCHIE SCHAFER, THREE AGENTS OF TYSON FOOD INC.  | 09-0091 | 05/13/2009 | NO RESPONSIVE DOCUMENTS |
| PARELES, MICHAEL | UNITED FOOD AND COMMERCIAL WORKERS          | 03/26/2009 | REQUEST FOR DOCUMENTS PRODUCED OR RECEIVED REGARDING OR FROM TYSON FOOD INC.   | 09-0092 | 05/13/2009 | TOTAL GRANT             |
| GLOYD, STEVE     | EMI   | 03/24/2009 | REQUEST FOR THE DATABASE LIST OF ALL RECIPIENTS ON THE CFTC ELECTRONICALLY DISTRIBUTED PRESS RELEASE; ALL MARKET REPORT SUBSCRIBERS AND CONTACT INFORMATION FOR FUTURES INDUSTRY REGISTRANTS.  | 09-0093 | 05/21/2009 | TOTAL DENIAL            |
| GOLDBERG, JOE    | AMERICAN FEDERATION OF GOVERNMENT EMPLOYEES | 03/31/2009 | REQUEST FOR A LIST OF POSITIONS EXEMPT FROM THE FAIR LABOR STANDARDS ACT.  | 09-0094 | 05/01/2009 | WITHDRAWN               |

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| MOHORCIC,<br>SUSAN   | PAYTON &<br>ASSOCIATES,<br>LLC | 04/08/2009 | REQUEST FOR THE COMPLAINT,<br>COMMISSION ORDER, CEASE AND<br>DESIST ORDER, FINANCIAL<br>STATEMENTS AND ANNUAL REPORT<br>FOR L/H GLOBAL INVESTMENTS LLC,<br>CFTC No. 08-05.                       | 09-0095 | 04/24/2009 | PARTIAL GRANT              |
| KEYES, RESHEA        |                                | 04/10/2009 | REQUEST FOR POLICE REPORT FROM<br>APRIL 3, 2009 REGARDING DENISE<br>DOCKETT TAYLOR, SHAYNE DANIELS<br>AND ISAIAH KEYS.   | 09-0096 | 04/14/2009 | WRONG AGENCY               |
| ALI, GULNAZ          |                                | 04/13/2009 | REQUEST FOR CFTC'S ANNUAL REPORT<br>FOR 2007.  | 09-0097 | 04/14/2009 | NO RESPONSIVE<br>DOCUMENTS |
| BUNCH, S.<br>DOUGLAS | COHEN<br>MILSTEIN              | 04/09/2009 | REQUEST FOR COPIES OF MANUALS,<br>HANDBOOKS, MEMOS AND OTHER<br>DOCS WHICH DESCRIBES INTERNAL<br>POLICIES AND PROCEDURES AT MF<br>GLOBAL; AND 1-FR.  | 09-0098 | 05/08/2009 | PARTIAL GRANT              |
| WINDOR, JO-<br>ANN   |                                | 04/15/2009 | REQUEST FOR INFORMATION<br>REGARDING SEARCHING FOR ORIGINAL<br>ENTRY CARD INTO THE US.   | 09-0099 | 04/16/2009 | WRONG AGENCY               |
| LYNCH, SARAH         | DOW JONES<br>NEWSWIRES         | 04/16/2009 | REQUEST FOR AN ITEMIZED LIST OF<br>ALL CONGRESSIONAL REQUESTS<br>RECEIVED BY COMMODITY FUTURES<br>TRADING COMMISSION BETWEEN<br>MARCH 2008 AND APRIL 2009.                                       | 09-0100 | 04/22/2009 | PARTIAL GRANT              |
| KAUFMAN,<br>AARON    |                                | 04/17/2009 | REQUEST FOR A LIST OF OPINIONS<br>(ENFORCEMENT AND REPARATIONS)<br>EITHER DRAFTED, AUTHORED, OR<br>OTHERWISE WORKED ON BY ELLYN<br>ROTH WHO WAS A ASSISTANT<br>GENERAL COUNSEL FROM 1984 - 2001. | 09-0101 | 04/20/2009 | NO RESPONSIVE<br>DOCUMENTS |

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| NORSWORTHY,<br>PATRICIA |  | 04/17/2009 | REQUEST FOR INFORMATION<br>REGARDING RICHARD BURNS WHO<br>WAS STATIONED AT FORT BRAGG IN<br>1970 AND THEN LATER AT FORT<br>DEVENS BETWEEN 1971 - 1975.  | 09-0102 | 04/17/2009 | WRONG AGENCY |
| NICELY, JANICE          | LRP<br>PUBLICATIONS                        | 04/17/2009 | REQUEST FOR ANY NEW OR UPDATES<br>TO EMPLOYEE HANDBOOKS,<br>PERSONNEL INSTRUCTIONS, POLICIES,<br>MEMORANDA, RECORDS,<br>MANAGEMENT DIRECTIVE BETWEEN<br>MARCH 3, 2008 - MARCH 31, 2009  | 09-0103 | 05/14/2009 | TOTAL GRANT  |
| BLAND, R.<br>TRABUE     | ICE  | 04/20/2009 | REQUEST FOR INFORMATION OR<br>RECORDS REGARDING COMMISSION<br>SERIATIM APPROVAL AND<br>SUPPORTING DOCUMENTS AND<br>MEMORANDA APPROVING THE NYMEX<br>REQUEST TO DISAGGREGATE THE<br>POSITION LIMITS AND POSITION<br>ACCOUNTABILITY LEVELS. | 09-0104 | 05/19/2009 | TOTAL GRANT  |
| CLINE, STACY Q.         | CAPLIN &<br>DRYSIDE CHTD.                  | 04/20/2009 | REQUEST FOR A LIST OF CFTC'S<br>COVERED OFFICIALS.  | 09-0105 | 05/14/2009 | TOTAL GRANT  |
| BURNS,<br>HEATHER       |  | 04/20/2009 | REQUEST FOR JANUARY 18, 2009<br>POLICE REPORT BY STATE TROOPER<br>AGEMA AGAINST WILLIAM BURNS.  | 09-0106 | 04/20/2009 | WRONG AGENCY |
| LACHAPPELLE,<br>JOHN    |  | 04/20/2009 | REQUEST FOR COPY OF COMPLAINT<br>REFERENCE #22427763  | 09-0107 | 04/20/2009 | WITHDRAWN    |
| WHITMORE,<br>KIM        | MID-AMERICA<br>POOL<br>RENOVATION,<br>INC. | 04/20/2009 | REQUEST FOR A FOIA FORM TO<br>REQUEST INFORMATION ON A BID IN<br>LAKEVIEW, IL FOR THE CARL<br>SANDBURGH HIGH SCHOOL.  | 09-0108 | 04/20/2009 | WRONG AGENCY |

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| WALKER, KELLY         | FIRST<br>ADVANTAGE<br>INVESTIGATION<br>SERVICES | 04/21/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC DOCUMENTS ON FILE<br>WITH NFA FOR MARTIN DOUGLAS<br>SASS.   | 09-0109 | 04/30/2009 | PARTIAL GRANT              |
| LYNCH, SARAH          | DOW JONES                                       | 04/22/2009 | REQUEST FOR VARIOUS<br>CONGRESSIONAL CORRESPONDENCE<br>SENT TO CFTC BETWEEN MARCH 1,<br>2008 - APRIL 16, 2009.   | 09-0110 | 05/21/2009 | PARTIAL GRANT              |
| FETISOVA,<br>MARIA    |   | 04/22/2009 | REQUEST FOR I-589 ASYLUM<br>APPLICATION.   | 09-0111 | 04/23/2009 | NO RESPONSIVE<br>DOCUMENTS |
| BELL, JESSE LEE       |   | 04/22/2009 | REQUEST FOR INFORMATION ON THE<br>SECOND CHANGE ACT SIGNED BY<br>PRESIDENT GEORGE W. BUSH.   | 09-0112 | 04/23/2009 | NO RESPONSIVE<br>DOCUMENTS |
| BURNS, JEROME         |   | 04/24/2009 | REQUEST OF INFORMATIONAL<br>MATERIAL REGARDING THE CFTC.   | 09-0113 | 04/24/2009 | TOTAL GRANT                |
| GRIFFIN, OLIVIA       | FIRST<br>ADVANTAGE<br>INVESTIGATIVE<br>SERVICES | 04/24/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC INFORMATION ON FILE<br>FOR ANDREW ERIC FRIEDWALD, NFA ID<br>0325342.  | 09-0114 | 05/04/2009 | TOTAL DENIAL               |
| OXLEY,<br>BENJAMIN J. | K&L GATES LLP                                   | 04/24/2009 | REQUEST FOR RECORDS PERTAINING<br>TO THE STUDIES REFERENCED ON PG<br>12 OF THE WRITTEN TESTIMONY OF<br>ACTING CHAIRMAN LUKKEN &<br>COMMISSIONER DUNN BEFORE THE<br>PERMANENT SUBCOMMITTEE ON<br>INVESTIGATIONS COMMITTEE ON<br>HOMELAND SECURITY & GOV'T<br>AFFAIRS US SENATE. 7/9/07. | 09-0115 | 05/22/2009 | TOTAL GRANT                |

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| LYNCH, SARAH          | DOW JONES<br>NEWSWIRES     | 04/27/2009 | REQUEST FOR A LIST OF<br>CORRESPONDENCE SENT AND<br>RECEIVED BETWEEN CFTC, THE WHITE<br>HOUSE AND THE OMB BETWEEN<br>JANUARY 1, 2007 - APRIL 27, 2009.  | 09-0116 | 06/02/2009 | TOTAL GRANT                |
| DEAVERS,<br>LINDA SUE |                            | 04/29/2009 | REQUEST FOR ANY INFORMATION<br>/RECORDS ON FILE WITH THE CFTC ON<br>LINDA SUE DEAVERS (FORMALLY<br>WISE).   | 09-0117 | 05/08/2009 | PARTIAL GRANT              |
| BOYCE,<br>BRITTANY    | BEAU DIETL &<br>ASSOCIATES | 04/30/2009 | REQUEST FOR INFORMATION OR<br>RECORDS REGARDING DISCIPLINARY<br>ACTIONS AGAINST MARK S. GARBIN,<br>NFA ID 0232197.  | 09-0118 | 05/04/2009 | NO RESPONSIVE<br>DOCUMENTS |
| GRUSH, ERIC H.        | SIDLEY &<br>AUSTIN         | 05/08/2009 | REQUEST FOR THE DAILY GROSS SHORT<br>AND GROSS LONG POSITIONS OF EACH<br>PERSON HOLDING JUNE 2005 TEN<br>YEAR NOTE FUTURES CONTRACTS<br>TRADED ON THE CBOT DURING MAY 1,<br>2005 - JUNE 30, 2005. | 09-0119 | 06/04/2009 | TOTAL DENIAL               |
| GILLIAM, JASON        |                            | 05/14/2009 | REQUEST FOR EMPLOYMENT<br>INFORMATION REGARDING GREGORY<br>GRANT WALKER.  | 09-0120 | 06/04/2009 | NO RESPONSIVE<br>DOCUMENTS |
| GILLIAM, JASON        |                            | 05/14/2009 | REQUEST FOR A COPY OF<br>INTERPRETIVE LETTER 85-2, ISSUED ON<br>AUGUST 6, 1985; AND INITIATING<br>CORRESPONDENCE DATED APRIL 30,<br>1985.   | 09-0121 | 06/16/2009 | TOTAL GRANT                |
| LEE, DASEUL           |                            | 05/15/2009 | REQUEST FOR 2008 CFTC ANNUAL<br>REPORT.   | 09-0122 | 05/15/2009 | NO RESPONSIVE<br>DOCUMENTS |

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| HILL, DAVID J.           | SKADDEN ARPS<br>SLATE<br>MEAGHER &<br>FLOM LLP | 05/15/2009 | REQUEST FOR DEPOSITION<br>TRANSCRIPTS AND EXHIBITS OF PETER<br>BERZINS, ROBERT BOURNE, MIKE<br>KRIMBILL, MARTIN SALINAS, AND JOHN<br>DAIGH IN CONNECTION WITH ETP<br>INVESTIGATION, DOCKET NO. IN06-3.   | 09-0123 | 06/24/2009 | TOTAL GRANT                |
| LEE, DASEUL              |  | 05/19/2009 | REQUEST FOR 1984 -1985 CFTC<br>ANNUAL REPORT.  | 09-0124 | 05/20/2009 | NO RESPONSIVE<br>DOCUMENTS |
| SHENON, PHILIP           | HUFFINGTON<br>POST                             | 05/19/2009 | REQUEST FOR ALL RECORDS OF<br>LOBBYING CONTACTS BETWEEN CFTC<br>AND MARK PATTERSON, FROM 2001 -<br>PRESENT.  | 09-0125 | 06/18/2009 | TOTAL DENIAL               |
| MARINOPOULOS, PANAGIOTIS |  | 05/20/2009 | REQUEST FOR MOST RECENT FILING<br>FROM THE INTERCONTINENTAL<br>EXCHANGE (ICE, PART 36 OF THE<br>COMMISSION REGULATION.   | 09-0126 | 06/09/2009 | WITHDRAWN                  |
| FOLEY, KEVIN             | KATTEN<br>MUCHIN<br>ROSENMAN LLP               | 05/20/2009 | REQUEST FOR ALL DOCUMENTS<br>SUBMITTED BY OR ON BEHALF OF<br>TOKYO FINANCIAL EXCHANGE INC;<br>KOREA EXCHANGE; AND SFE<br>CORPORATION IN CONNECTION WITH<br>EACH ENTITY'S REQUEST FOR<br>EXEMPTION PURSUANT TO<br>COMMISSION RULE 30.10AND ANY<br>SUPPLEMENTAL REQUEST. | 09-0127 | 08/06/2009 | PARTIAL GRANT              |
| THORUP, SARA             | BLACKROCK<br>ALTERNATIVE<br>ADVISORS           | 05/28/2009 | REQUEST FORWARDED FROM THE NFA<br>FOR NON-PUBLIC INFORMATION FOR<br>COLIN JONATHAN SMITH, NFA#<br>0376710.   | 09-0128 | 06/19/2009 | TOTAL GRANT                |
| DAVIS,<br>MICHAEL        |  | 05/28/2009 | REQUEST FOR INFORMATIONAL<br>MATERIAL,   | 09-0129 | 06/04/2009 | INFORMATIONAL<br>BROCHURES |

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| THEIS, DANIEL<br>MATHEW        | 05/21/2009 | REQUEST FOR RESPONSE TO<br>CONGRESSIONAL INQUIRY DATED MAY<br>1, 2009 FROM 1 SOW/CC AND OR LT.<br>COL RAYMOND JAMES, 1 SOHMXS/CC.  | 09-0130 | 05/28/2009 | NO RESPONSIVE<br>DOCUMENTS |
| CHUANG,<br>CHERRY              | 05/20/2009 | REQUEST FOR REPORT ON THE<br>COMMISSION'S LARGER TRADER<br>REPORTING SYSTEM, JANUARY 1992.   | 09-0131 | 06/10/2009 | TOTAL DENIAL               |
| DINORCIA,<br>LUCIANO           | 05/28/2009 | REQUEST FOR A COPY OF BNP<br>PARIBAS'S ORIGINAL 30.10 FILED IN<br>THE 1990'S.  | 09-0132 | 06/05/2009 | TOTAL GRANT                |
| ANNOUAL, STROOCK<br>LARISSA D. | 05/29/2009 | REQUEST FOR NOTICES OF INTENT TO<br>OPERATE AN EXEMPT COMMERCIAL<br>FOR TRADECAPTURE EXCHANGE; ICAP<br>COMMODITY AND COMMODITY<br>DERIVATIVES TRADING SYSTEM;<br>ICAPTURE; LIQUIDITYPORT LLC;<br>TRADITIONCOAL.COM; PREBON<br>ENERGY; AND TRADECAPTURE OTC<br>CORP | 09-0133 | 07/08/2009 | PARTIAL GRANT              |
| MANSKE,<br>PHILLIP D.          | 05/29/2009 | REQUEST FOR HR RECORDS IN<br>REGARDS TO THE INFORMATION<br>SUPPLIED BY THE APPLICANT HIRED<br>FOR JOB ANNOUNCEMENT NO. 09-003,<br>INDUSTRY ECONOMIST; OPEN DATE:<br>10/2/2008; CLOSE DATE: 10/16/2008.   | 09-0134 | 06/18/2009 | NO RESPONSIVE<br>DOCUMENTS |









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| HOWIE,<br>NICHOLAS                      |  | 06/02/2009 | REQUEST FOR COPIES OF ALL RECORDS OF COMMUNICATION BETWEEN CFTC AND ROBERT F. MCDONNELL OR HIS OFFICES BETWEEN 1989 - MARCH 1, 2009; AND FOIA REQUEST FILED SINCE JANUARY 1, 2004 MENTIONING MR. MCDONNELL.                 | 09-0135 | 06/18/2009 | NO RESPONSIVE DOCUMENTS |
| NORTON, MILES D.<br>DLA PIPER US<br>LLP |  | 06/04/2009 | REQUEST FOR ALL COMMUNICATIONS BETWEEN THE CFTC AND BEAR STEARNS RE: THE INVESTIGATION INTO BEAR STEARNS' LATE TRADING AND DECEPTIVE MARKET TIMING PRACTICES IN TRADING MUTUAL FUNDS, JANUARY 1, 1999 - SEPTEMBER 30, 2003. | 09-0136 | 08/12/2010 | PARTIAL GRANT           |
| SMITH, SAMUEL                           |  | 06/04/2009 | REQUEST FOR GENERAL INFORMATION REGARDING CFTC.   | 09-0137 | 06/04/2009 | INFORMATIONAL BROCHURES |
| CASEY, SUSAN                            | SERVICE<br>EMPLOYEES<br>INTERNATIONAL<br>UNION | 06/09/2009 | REQUEST FOR COPIES OF ALL CONTRACTS MADE BETWEEN CFTC AND SECURITY CONTRACTORS IN DC, VA AND MD; AND ALL COLLECTIVE BARGAINING AGREEMENTS MADE BETWEEN UNIONS REPRESENTING SECURITY PERSONNEL AND CONTRACTORS.              | 09-0138 | 06/18/2009 | NO RESPONSIVE DOCUMENTS |

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| SCHERMAN,<br>WILLIAM S.  | SKADDEN ARPS<br>SLATE<br>MEAGHER &<br>FLOM LLP | 06/08/2009 | REQUEST FOR ALL EXCULPATORY<br>INFORMATION REGARDING CLAIMS<br>THAT ETP MANIPULATED THE PRICE OF<br>NATURAL GAS IN THE HOUSTON SHIP<br>CHANNEL MARKET AND/OR THE<br>MONTHLY INDEX PRICE OF NATURAL<br>GAS REPORTED IN THE NATURAL GAS<br>TRADE PRESS.                         | 09-0139 | 10/20/2009 | PARTIAL GRANT              |
| ARMSTRONG,<br>ADDISON A. | TFS ENERGY<br>FUTURES                          | 06/08/2009 | REQUEST FOR HISTORICAL OPEN<br>INTEREST AND VOLUME FIGURES FOR<br>THE PROMPT AND SECOND MONTH<br>CONTRACTS FOR FINANCIAL SWAP,<br>HENRY HUB FINANCIAL LD1 FIXED<br>PRICE.   | 09-0140 | 06/29/2009 | NO CREATE                  |
| WEBSTER,<br>BRYAN M.     | MCDERMONT,<br>WILL & EMERY                     | 06/09/2009 | REQUEST FOR DOCS. RECEIVED BY<br>CFTC RELATING TO CHEDDAR CHEESE<br>BLOCKS OR BARRELS<br>PURCHASED/SOLD ON THE CME<br>CHEESE SPOT CALL IN MAY/JUNE 2004<br>& PRODUCED IN THE MATTER OF<br>CERTAIN TRADING IN CASH CHEESE,<br>CASH MILK & MILK FUTURES MARKETS<br>DURING 2004. | 09-0141 | 06/29/2009 | FORWARDED TO<br>ENF        |
| THORUP, SARA             | BLACKROCK<br>ALTERNATIVE<br>ADVISORS           | 06/16/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC DOCUMENTS ON FILE FOR<br>SHAILESH VASUNDHRA, NFA#311831.   | 09-0142 | 06/18/2009 | TOTAL GRANT                |
| LANE,<br>LAWRENCE        |  | 06/15/2009 | REQUEST FOR DIRECTORY OF<br>FUTURES/COMMODITIES DEALERS<br>AVAILABLE.   | 09-0143 | 06/18/2009 | NO RESPONSIVE<br>DOCUMENTS |

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| MEYERSTEIN,<br>AVI   | PATTON BOGGS<br>LLP | 06/16/2009 | REQUEST FOR ALL DOCUMENTS<br>RELATED TO THE INVESTIGATION<br>AND/OR CASE AGAINST BP PRODUCTS<br>NORTH AMERICA.   | 09-0144 | 06/30/2010 | PARTIAL GRANT              |
| TEPPER, MARK<br>A.   |                     | 06/16/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC INFORMATION ON FILE<br>FOR RICARDO GARCIA JR. AND HARRIS<br>SHAPIRO.  | 09-0145 | 06/18/2009 | TOTAL DENIAL               |
| ASHLEY, JILLIAN      | ALLEN & OVERY       | 06/19/2009 | REQUEST FOR RF00-002, BROKERTEC<br>FUTURES EXCHANGE LLC APPLICATION<br>FOR CONTRACT MARKET<br>DESIGNATION.   | 09-0146 | 06/19/2009 | TOTAL GRANT                |
| UPCHURCH,<br>JESSICA | GSA PRINT<br>DEPOT  | 06/25/2009 | REQUEST FOR A COMPLETE<br>RELEASABLE GPC PURCHASE CARD<br>HOLDER LIST.   | 09-0147 | 07/07/2009 | TOTAL GRANT                |
| OKAMURA,<br>ROBERT   |                     | 06/25/2009 | REQUEST FOR INFORMATIONAL<br>MATERIAL REGARDING THE CFTC AND<br>TRADING.   | 09-0148 | 06/25/2009 | INFORMATIONAL<br>BROCHURES |
| GERTZ, JAMES         |                     | 07/02/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC INFORMATION ON FILES<br>WITH THE NFA FOR PALM BEACH<br>FUTURES & OPTIONS, INC. #401764.   | 09-0149 | 08/04/2009 | PARTIAL GRANT              |
| TUCKER, TODD         | PUBLIC CITIZEN      | 07/02/2009 | REQUEST FOR ALL RECORDS RELATED<br>TO NEGOTIATIONS RELATED TO THE<br>WORLD TRADE ORGANIZATION'S<br>FINANCIAL SERVICES AGREEMENT AND<br>THE DOHA ROUND-RELATED<br>NEGOTIATIONS. | 09-0150 | 09/24/2009 | PARTIAL GRANT              |
| ROGER, KEVIN         |                     | 07/02/2009 | REQUEST FORWARDED FROM THE FTC<br>FOR INFORMATIONAL MATERIAL<br>REGARDING THE MARKET AND THE<br>CFTC.  | 09-0151 | 07/09/2009 | NO RESPONSIVE<br>DOCUMENTS |

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| MANZELLA,<br>JOHN        |  | 07/08/2009 | REQUEST ALL FOR INVESTIGATIVE<br>INFORMATION REGARDING CFTC V<br>BARKI, LLC, CASE NO. 3:09CV106 FOR<br>THE PERIOD 2/25/9 - 7/8/09.  | 09-0152 | 08/27/2009 | TOTAL DENIAL               |
| OKAMURA,<br>ROBERT       |  | 07/10/2009 | REQUEST FOR A PRINTED COPY OF THE<br>CFTC BROCHURE ON FOREX FRAUD.  | 09-0153 | 07/14/2009 | INFORMATIONAL<br>BROCHURES |
| MARTIN,<br>MICHAEL DAVID |  | 07/14/2009 | REQUEST FOR THE HOUSE<br>SUBCOMMITTEE ON OVERSIGHT AND<br>INVESTIGATIONS, RE: OIL FUTURES<br>TRADING; FY 2008 CFTC BUDGET;<br>RECENT OIG REPORT; ANNUAL<br>REPORT; EDUCATIONAL MATERIAL<br>REGARDING CFTC | 09-0154 | 07/14/2009 | TOTAL GRANT                |
| BREHM,<br>ROBERT         |  | 07/14/2009 | REQUEST FOR AN INDEX AND<br>DESCRIPTION OF ALL MAJOR<br>INFORMATION & RECORDS SYSTEMS.  | 09-0155 | 08/04/2009 | TOTAL GRANT                |
| MCFADDEN,<br>DIANE       |  | 07/10/2009 | REQUEST FOR PATENT INFORMATION.   | 09-0156 | 07/14/2009 | WRONG AGENCY               |
| MCGLYNN,<br>CHRISTOPHER  | DEPARTMENT<br>OF TREASURY -<br>IRS             | 07/17/2009 | REQUEST FOR REGISTRATION RECORDS<br>FOR: ROBERT PECORD, VICKY PECORD,<br>CAPITAL ASSET GROUP LLC, CAPITAL FX<br>LLC, SILVER MAPLE HOLDING CORP.   | 09-0157 | 07/31/2009 | PARTIAL GRANT              |
| PADE. JEFFREY<br>A.      | SKADDEN ARPS<br>SLATE<br>MEAGHER &<br>FLOM LLP | 07/14/2009 | REQUEST FOR ALL INFORMATION<br>REGARDING NEW YORK MERCANTILE<br>EXCHANGE'S ACCESS TRADING<br>SYSTEM.  | 09-0158 | 09/08/2009 | WITHDRAWN                  |
| NEWS, BILL               | NFC GLOBAL                                     | 07/20/2009 | REQUEST FOR FINANCIAL<br>INFORMATION FOR FILINGS OR<br>REGISTRATIONS FOR SWISS FINANCIAL<br>SERVICES, INC.  | 09-0159 | 08/06/2009 | PARTIAL GRANT              |

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| HARTMAN,<br>KAITLYN    | DATA SECURITY<br>INC.     | 07/27/2009 | REQUEST FOR CFTC TELEPHONE<br>DIRECTORY AND ORGANIZATIONAL<br>CHART.   | 09-0160 | 08/04/2009 | TOTAL GRANT   |
| VOGEL,<br>KENNETH P.   | POLITICO                  | 07/28/2009 | REQUEST FOR COPIES ALL CFTC<br>CORRESPONDENCE RECEIVED OR SENT<br>TO EMPLOYEES OR OFFICIALS OF<br>VARIOUS MEDIA ORGANIZATIONS IN<br>2009.  | 09-0161 | 04/15/2010 | PARTIAL GRANT |
| MANSARAY,<br>NAMATIE   | BRUNENKANT &<br>CROSS LLC | 07/31/2009 | REQUEST FOR CFTC ORDER ISSUED ON<br>JULY 24, 2009, RELATING TO THE<br>FEDERAL REGISTER NOTICE ISSUED<br>JUNE 12, 2009.   | 09-0162 | 08/06/2009 | TOTAL GRANT   |
| VOGEL, KEN             | POLITICO                  | 07/28/2009 | REQUEST FOR INFORMATION ON<br>WAIVER GRANTS, POLITICAL<br>APPOINTEES.  | 09-0163 | 08/04/2009 | TOTAL GRANT   |
| RITCHEY,<br>TIMOTHY J. | PECK BLOOM<br>LLC         | 07/31/2009 | REQUEST FOR THE MEMO RE: THE<br>CME'S PROPOSED DEMUTUALIZATION<br>PLAN AND ALL APPENDICES; ANY<br>LETTERS WITH THEIR ATTACHMENTS<br>DATED MAY 16, 2000 - JUNE 13, 2000<br>BETWEEN CFTC AND CME; ALL<br>APPROVAL LETTERS AND/OR ORDERS. | 09-0164 | 09/30/2009 | PARTIAL GRANT |
| DUAN, YAXIN            | YALE<br>UNIVERSITY        | 08/04/2009 | REQUEST FOR ENTIRE HISTORY OF<br>TRANSACTION FROM CBOT T-BOND<br>FUTURES PIT DURING 1998.  | 09-0165 | 08/27/2009 | TOTAL DENIAL  |
| MEYER, JEFF            | ZIFIAN                    | 08/05/2009 | REQUEST FOR DIRECTIVES PERTAINING<br>TO IT PORTFOLIO MANAGEMENT<br>GUIDANCE UNDER MANDATE FROM<br>THE CLINGER-COHEN ACT OF 1996<br>AND OMB CIRCULAR A-130.   | 09-0166 | 08/28/2009 | WITHDRAWN     |

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| MEYER,<br>GREGORY    | FINANCIAL<br>TIMES                            | 08/05/2009 | REQUEST FOR ALL CORRESPONDENCE<br>BETWEEN CFTC AND THE SEC<br>RELATING TO THE US NATURAL GAS<br>FUND (UNG) AND EXCHANGE TRADED<br>FUND AND COMMODITY POOL,<br>BETWEEN APRIL 1, 2009 - AUGUST 5,<br>2009; AND NOTES AND MINUTES OF<br>ANY DISCUSSIONS RELATING TO UNG<br>BETWEEN STAFF. | 09-0167 | 09/16/2009 | NO RESPONSIVE<br>DOCUMENTS |
| FOOTLINK,<br>JESSE   | PECK BLOOM<br>LLC                             | 08/06/2009 | REQUEST FOR DOCUMENTS<br>REGARDING THE MERGER OF CME,<br>SPECIFICALLY ANY LETTERS AND/OR<br>RULES SUBMITTED TO CFTC BY THE<br>CME AND ANY DOCUMENTS OF<br>APPROVAL BY CFTC.  | 09-0168 | 09/10/2009 | TOTAL GRANT                |
| WANG,<br>YVONNE      | MMG   | 08/05/2009 | REQUEST FOR APPROVAL LETTER<br>WHEN THE CFTC APPROVED THE CBOT<br>ON ITS ELECTRONIC PLATFORM,<br>PROJECT A.  | 09-0169 | 09/30/2009 | TOTAL GRANT                |
| MUELLER,<br>VICTORIA | GEOVERA<br>SPECIALTY<br>INSURANCE<br>SERVICES | 08/07/2009 | REQUEST FOR A COPY OF THE "CISCO"<br>RESTRAINING ORDER CASE<br>06CV71042132 IN THE MATTER OF<br>NAZARENE R. LAURANT V. HAROLD LEE<br>JACKSON ISSUED ON NOVEMBER 15,<br>2006 AND EXPIRING FEBRUARY 15,<br>2007 ISSUED BY BEAUFOR COUTNY<br>SHERIFF OFFIC.                               | 09-0170 | 08/11/2009 | NO RESPONSIVE<br>DOCUMENTS |
| JOHNSON,<br>DONNA P. | STROOCK<br>STROOCK &<br>LAVAN LLP             | 08/10/2009 | REQUEST THE FORM AND RATE FILING<br>AND ALL THE REVIEWERS OBJECTIONS<br>AND COMPANYS RESPONSES<br>REGARDING, MASSACHUSETTS BAY,<br>DEPT. FILE # R2008001733.   | 09-0171 | 08/11/2009 | NO RESPONSIVE<br>DOCUMENTS |



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| GRAESE, ANNE<br>MARIE<br>CLEMENT,<br>GLORIA |                                      | 08/11/2009 | REQUEST FOR FUTURES TRADING.  | 09-0172 | 08/11/2009 | INFORMATIONAL<br>BROCHURES |
|   |                                      | 08/12/2009 | REQUEST FOR A LIST IDENTIFYING THE<br>RECORDS THE CFTC POSSESSES<br>PERTAINING TO GLORIA CLEMENT AND<br>ALL RECORDS COVERED BY NOTICE<br>CFTC-44 (PERSONNEL SECURITY FILES).            | 09-0173 | 08/20/2009 | TOTAL GRANT                |
| THORUP, SARA                                | BLACKROCK<br>ALTERNATIVE<br>ADVISORS | 08/13/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC RECORDS ON FILE WITH<br>THE NFA REGARDING KIRK P.<br>WICKMAN   | 09-0174 | 09/30/2009 | TOTAL GRANT                |
| COLDIRON,<br>KEVIN                          | ALGERT<br>COLDIRON<br>INVESTORS      | 08/13/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC RECORDS ON FILE WITH<br>NFA REGARDING JP MORGAN<br>ALTERNATIVE ASSET MANAGEMENT<br>INC.  | 09-0175 | 10/16/2009 | WITHDRAWN                  |
| IVANS, RONALD                               | PRUDENTIAL<br>BACHE<br>COMMODITIES   | 08/14/2009 | REQUEST FOR THE JUNE 2009 1-FR<br>FOR: JP MORGAN FUTURES; BNP<br>PARIBAS COMMODITY FUTURES; ADM<br>INVESTOR SERVICES; RJ O'BRIEN<br>ASSOCIATES LLC; AND ROSENTHAL<br>COLLINS GROUP LLC. | 09-0176 | 09/30/2009 | PARTIAL GRANT              |
| RODRIGUEZ,<br>GUADALUPE                     | WGS                                  | 08/14/2009 | REQUEST FOR THE JUNE 23, 2009<br>SOLICITATION NUMBER: RFQ30703-<br>0022-9 FROM THE DEPARTMENT OF<br>JUSTICE BUREAU OF PRISONS. IN FCI<br>JESUP.   | 09-0177 | 08/14/2009 | NO RESPONSIVE<br>DOCUMENTS |
| GOODWILL,<br>VALERIE                        |                                      | 08/14/2009 | REQUEST FOR INFORMATION<br>REGARDING SON'S CASE INCLUDING<br>COURT TRANSCRIPTS  | 09-0178 | 08/14/2009 | NO RESPONSIVE<br>DOCUMENTS |

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| QUINTON,<br>SUZZANNE  | BEUS GILBERT<br>PPLC     | 08/17/2009 | REQUEST FOR REFCO LLC'S 1-FR FOR<br>2/2004, 5/2004, 8/2004, 11/2004,<br>2/2005, 5/2005, AND 8/2005.  | 09-0179 | 08/18/2009 | WITHDRAWN                  |
| BUFFALO,<br>CLARENCE  | IMAPDATA                 | 08/19/2009 | REQUEST FOR THE VENDOR NAME,<br>ADDRESS, CONTRACT AWARD<br>AMOUNT, CONTRACT NAME, AND<br>DUNS NUMBER FOR<br>SUBCONTRACTORS FROM AUSTRALIA.   | 09-0180 | 08/27/2009 | NO RESPONSIVE<br>DOCUMENTS |
| LEWIS, DAVID E.       | VANDERBILT<br>UNIVERSITY | 08/24/2009 | REQUEST FOR COPIES OF RESUMES OF<br>PERSONS CONSIDERED FOR OR;<br>APPOINTED TO A SCHEDULE C<br>POSITION; EMPLOYED AS A NON-<br>CAREER MEMBER OF THE SENIOR<br>EXECUTIVE SERVICE; & EMPLOYED AS<br>SENATE CONFIRMED PRESIDENTIAL<br>APPOINTMENTS, FROM JAN. 20, 2001 -<br>SEPT. 1, 2009 | 09-0181 | 11/27/2009 | PARTIAL GRANT              |
| PRINCE,<br>ROBERT     | SBC GLOBAL               | 08/24/2009 | REQUEST FOR INFORMATION ON ALL<br>CFTC INVESTIGATIONS AND REPORTS<br>REGARDING GOLDMAN SACHS AND<br>MORGAN STANLEY IN THEIR ROLES IN<br>MANIPULATION OR GAMING OF THE<br>OIL MARKETS.  | 09-0182 | 09/14/2009 | WITHDRAWN                  |
| BLACKWELL,<br>WOODROW |                          | 08/25/2009 | REQUEST FOR RECORD OF A 911 CALL<br>IN TEANECK, NJ FROM.   | 09-0183 | 08/26/2009 | NO RESPONSIVE<br>DOCUMENTS |
| CLAIR,<br>KENNETH     | THOMSON<br>REUTERS       | 08/26/2009 | REQUEST FOR CFTC LETTER 87-04<br>DATED NOVEMBER 18, 1987   | 09-0184 | 09/30/2009 | TOTAL GRANT                |

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| DEMPSEY,<br>LORRAINE | STANDARD<br>BANK PLC                 | 08/27/2009 | REQUEST FOR CFTC NO ACTION LETTER DATED OCTOBER 10, 1989 WITH RESPECT TO THE UK PART 30 EXEMPTION ORDER RE: LME FIRMS; AND CFTC LETTER 97-010 17 CFR PART 1 SECURITIES REPRESENTING INVESTMENT OF CUSTOMER FUNDS HELD IN SEGREGATED ACCOUNTS BY FCM'S. | 09-0185 | 09/03/2009 | TOTAL GRANT                |
| THORUP, SARA         | BLACKROCK<br>ALTERNATIVE<br>ADVISORS | 08/27/2009 | REQUEST FORWARDED FROM NFA FOR NON-PUBLIC INFORMATION ON FILE FOR SCOTT PAUL STOREY.   | 09-0186 | 08/27/2009 | TOTAL DENIAL               |
| FENDELL, TERRY       |                                      | 08/27/2009 | REQUEST FOR DEATH CERTIFICATE.   | 09-0187 | 08/27/2009 | NO RESPONSIVE<br>DOCUMENTS |
| DIWAN, ROGER         |                                      | 08/27/2009 | REQUEST FOR DATA FOR CRUDE OIL, LIGHT SWEET POSITIONS ON ICE EUROPE FOR A FUTURES ONLY AND OPTIONS AND FUTURES COMBINED ACROSS VARIOUS CATEGORIES, FROM JANUARY 1, 2005 AND AUGUST 27, 2009.   | 09-0188 | 09/01/2009 | PARTIAL GRANT              |
| FOMIN, BORIS<br>M.   |                                      | 08/28/2009 | REQUEST TO AMEND RECORD OF REGISTRATION.   | 09-0189 | 11/27/2009 | FORWARDED TO<br>DCIO       |
| ASHKENAZI,<br>DAFNA  | MMG<br>PARTNERS                      | 08/31/2009 | REQUEST FOR ANY DESCRIPTION RELATING TO CBOT'S "PROJECT A" AUTOMATED TRADING SYSTEM'S "TRADE MATCHING ALGORITHM".  | 09-0190 | 10/08/2009 | WITHDRAWN                  |
| STONE,<br>WILLIAM W. | HOLZER HOLZER<br>& FISTEL LLC        | 09/01/2009 | REQUEST FOR DOCUMENTS RELATING TO CFTC'S INVESTIGATION OF ROBERT PRICE COPELAND.   | 09-0191 | 09/23/2009 | TOTAL DENIAL               |

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| YOUNG, MARK D.   | KIRKLAND & ELLIS                 | 09/02/2009 | REQUEST FOR THE MEMORANDUM DATED DECEMBER 8, 1997 FROM THE DIVISION OF ECONOMIC ANALYSIS TO THE COMMISSION REGARDING THE CBOT'S PCS CATASTROPHE SINGLE EVENT INSURANCE CONTRACTS. | 09-0192 | 09/23/2009 | TOTAL GRANT             |
| PATENT, LAWRENCE | K&L GATES                        | 09/14/2009 | REQUEST FOR FINANCIAL STATEMENTS FOR: ADM INVESTOR SERVICES, COMMERCIAL BROKERAGE CORP, PRUDENTIAL BACHE COMMODITIES, STRIKEPOINT TRADING AND THE PRICE FUTURES GROUP.            | 09-0193 | 10/07/2009 | PARTIAL GRANT           |
| BAXTER, ROBERT   |                                  | 09/11/2009 | REQUEST FOR CONSUMER COMPLAINTS AGAINST FORTUCAST MARKET TIMING RECEIVED SINCE DECEMBER 31, 1987.   | 09-0194 | 09/30/2009 | NO RESPONSIVE DOCUMENTS |
| CHIN, YVETTE M.  | NATIONAL SECURITY ARCHIVE        | 09/16/2009 | REQUEST FOR RECORDS CONCERNING THE IMPLEMENTATION OF PRESIDENT OBAMA'S JANUARY 21, 2009 MEMO AND/OR ATTORNEY GENERAL HOLDER'S MARCH 19, 2009 MEMO.                                | 09-0195 | 09/30/2009 | NO RESPONSIVE DOCUMENTS |
| SARKIN, KIMBERLY | INTERGRATED MARINE SERVICES INC. | 09/16/2009 | REQUEST FOR INFORMATION REGARDING CONTRACT NUMBER N00244-066-C-0024 AWARDED ON MAY 18, 2006.  | 09-0196 | 10/08/2009 | NO RESPONSIVE DOCUMENTS |
| FICKERT, DAVID   |                                  | 09/17/2009 | REQUEST FOR CURRENT STAFF INFORMATION, INCLUDING PAY, NAME AND GRADE.   | 09-0197 | 09/30/2009 | TOTAL GRANT             |

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| PEARSON,<br>NYRAN ROSE | CAFFERTY<br>FAUCHER LLP                     | 09/17/2009 | REQUEST FOR SHORT AND LONG<br>POSITION DATA ON CBOT FUTURES<br>AND OPTIONS CONTRACTS ON<br>OCTOBER 31, 2001.   | 09-0198 | 10/08/2009 | TOTAL DENIAL               |
| PHILIPP,<br>MICHAEL    | WINSTON &<br>STRAWN                         | 09/21/2009 | REQUEST FOR LETTER SUBMITTED BY<br>THE BORSA ITALAIANA-IDEM DIVISION<br>TO OGC REQUESTING RELIEF FOR THE<br>MIB 30 STOCK INDEX IN 1995 OR 1994.<br>THE CFTC GRANTED RELIEF ON<br>AUGUST 30, 1995, CFTC LETTER NO. 95-<br>74.   | 09-0199 | 11/27/2009 | TOTAL GRANT                |
| PHILIPP,<br>MICHAEL    | WINSTON &<br>STRAWN                         | 09/21/2009 | REQUEST FOR LETTER SUBMITTED BY<br>THE BORSA ITALAIANA-IDEM DIVISION<br>IN RESPECT OF THE IDEM MINI-<br>FUTURES CONTRACTS BASED ON THE<br>MIB 30 INDEX ON NOVEMBER 2, 2000<br>AND FEBRUARY 1, 2001. CFTC LETTER<br>WAS ISSUED ON MAY 16, 2001, CFTC<br>LETTER 01-42. | 09-0200 | 11/27/2009 | TOTAL GRANT                |
| HALL, HEATHER          | LEXISNEXIS                                  | 09/21/2009 | REQUEST FOR THE JANUARY 1996<br>LETTER WRITTEN BY CFTC CHAIR MARY<br>SCHAPIRO TO CONGRESSMEN<br>ROBERTS AND BLILEY DEALING WITH<br>SWAP AGREEMENT AND IF THERE ARE<br>FUTURES CONTRACTS.   | 09-0201 | 10/08/2009 | TOTAL GRANT                |
| ENRICH, DAVID          | WALL STREET<br>JOURNAL                      | 09/28/2009 | REQUEST FOR ALL CONTRACTS<br>BETWEEN CFTC AND CITIGROUP INC.<br>SINCE SEPTEMBER 30, 2007.  | 09-0202 | 10/08/2009 | NO RESPONSIVE<br>DOCUMENTS |
| SHENON, PHILIP         | HUFFINGTON<br>POST<br>INVESTIGATIVE<br>FUND | 09/24/2009 | REQUEST COPIES OF ALL 2009<br>CALENDARS AND PHONE RECORDS FOR<br>CHAIRMAN GARY GENSLE.   | 09-0203 | 02/19/2010 | PARTIAL GRANT              |

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| STALEY, R.A.         |                         | 10/02/2009 | REQUEST FOR CURRENT ADDRESS FOR DANIEL BOAHME.   | 10-0001 | 10/19/2009 | NO RESPONSIVE DOCUMENTS |
| GIBSON, DEBBIE       |                         | 10/13/2009 | REQUEST FOR PASSPORT INFORMATION ON STANLEY ANN DUNHAM, STANLEY ANN OBAMA, ANN OBAMA, OR ANN DUNHAM.   | 10-0002 | 10/19/2009 | NO RESPONSIVE DOCUMENTS |
| MACK, TODD           | WESTLAW<br>COURTEXPRESS | 10/14/2009 | REQUEST FOR SENTINEL MANAGEMENT GROUP INC.'S 12/31/2006 ANNUAL FINANCIAL STATEMENT.  | 10-0003 | 10/19/2009 | PARTIAL GRANT           |
| WONG, WESLEY<br>J    |                         | 10/15/2009 | REQUEST FOR INFORMATION REGARDING NOTICE I-03-22, SPECIFICALLY IF THE COMMISSION FILED A FORMAL COMPLAINT AGAINST MICHAEL F. PAYNE AND FUTRONIX TRADING LTD.   | 10-0004 | 10/19/2009 | TOTAL GRANT             |
| WEIRICH, DAVID       |                         | 10/19/2009 | REQUEST FOR: 1. WRITTEN STATEMENT REGARDING CFTC'S RATIONAL ON WHY SPECULATION IS NECESSARY; AND 2. ANY COMMUNICATIONS BETWEEN CFTC & FUTURES MARKET PARTICIPANTS CONCERNING POTENTIAL CFTC INVOLVEMENT IN LIMITING SPECULATION IN PHYSICALLY SETTLED FUTURES. | 10-0005 | 12/22/2009 | PARTIAL GRANT           |
| GREENBELT,<br>STEVEN | CROWELL &<br>MORING LLC | 10/15/2009 | REQUEST FORWARDED FROM THE FEDERAL ENERGY REGULATORY COMMISSION FOR WITNESS TESTIMONY SUBMITTED IN AMARANTH ADVISORS LLC, ET AL DOCKET NO. IN07-26-004.  | 10-0006 | 01/29/2010 | TOTAL DENIAL            |

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| MCELDUFF,<br>DANIEL   | ELX FUTURES LP                               | 10/19/2009 | REQUEST FOR OCTOBER 15 OR 16,<br>2009 FILING OF CBOT, A RULE<br>INTERPRETATION UNDER PART 40.6<br>REGARDING CBOT RULE 538.  | 10-0007 | 01/08/2010 | TOTAL GRANT                |
| LAURITO,<br>JOSHUA    |  | 10/20/2009 | REQUEST FOR VARIOUS FREQUENTLY<br>REQUESTED FOIA'S.   | 10-0008 | 11/27/2009 | TOTAL GRANT                |
| MONROE, JOHN          |  | 10/20/2009 | REQUEST FOR INFORMATIONAL<br>MATERIAL.  | 10-0009 | 10/30/2009 | INFORMATIONAL<br>BROCHURES |
| CARPANTIER,<br>LIONEL | ICHEC BRUSSELS<br>SCHOOL OF<br>MANAGEMENT    | 10/20/2009 | REQUEST FOR CRUDE DATA FOR<br>NYMEX.  | 10-0010 | 02/23/2010 | TOTAL DENIAL               |
| COHEN, JAY            | BENJAMIN<br>OFFICE SUPPLY<br>& SERVICES INC. | 10/22/2009 | REQUEST FOR LIST OF CREDIT CARD<br>HOLDERS IN THE DC OFFICE.  | 10-0011 | 11/12/2009 | TOTAL GRANT                |
| MICHAEL,<br>RANDALL   |  | 10/30/2009 | REQUEST FOR INFORMATIONAL<br>MATERIAL.  | 10-0012 | 10/30/2009 | INFORMATIONAL<br>BROCHURES |
| LYNCH, SARAH          | DOW JONES<br>NEWSWIRES                       | 10/29/2009 | REQUEST MEMOS, EMAILS, REPORTS,<br>ECONOMIC ANALYSIS AND DOCS IN<br>WHICH STAFF DISCUSS THE INDEX<br>INVESTMENT AND SWAP DATA,<br>COMMITMENT OF TRADERS REPORTS,<br>CFTC SURVEILLANCE DATA &<br>THOUGHTS ON QUALITY OF LARGE<br>TRADER COI AND INDEX DATA, 1/1/08<br>10/31/09 | 10-0013 | Open       | PARTIAL GRANT              |
| COLDIRON,<br>KEVIN    | ALGERT<br>COLDIRON<br>INVESTORS LLC          | 10/23/2009 | REQUEST FOR FINANCIAL STATEMENTS<br>OF JP MORGAN INCUBATOR CAYMAN<br>FUND LP AND JP MORGAN INCUBATOR<br>LP.   | 10-0014 | 11/17/2009 | PARTIAL GRANT              |

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| RAND, GARY                  | GARY RAND &<br>SUZANNE E.<br>RAND-LEWIS<br>PLCS | 10/29/2009 | REQUEST FOR COMPLAINT OF<br>DISCRIMINATION FILED WITH DFEH<br>AND EEOC BY STEVEN ORTEGA AND<br>LAURA BOYER.  | 10-0015 | 10/30/2009 | NO RESPONSIVE<br>DOCUMENTS |
| ELLISON,<br>SCOTTY          |   | 10/30/2009 | REQUEST FOR INFORMATIONAL<br>MATERIAL.   | 10-0016 | 10/30/2009 | INFORMATIONAL<br>BROCHURES |
| CAROLLO,<br>RUSSELL         |   | 11/05/2009 | REQUEST FOR ALL DATABASES<br>CONTAINING INFORMATION RELATED<br>TO TRAVEL BY CFTC EMPLOYEES<br>AND/OR FINANCED BY CFTC.   | 10-0017 | 12/02/2009 | NO RESPONSIVE<br>DOCUMENTS |
| SIEGEL, MYRON               | MAYRON E.<br>SIEGEL &<br>ASSOCIATES,<br>LTD     | 11/05/2009 | REQUEST FOR ALL MATERIAL<br>DEVELOPED IN THE CFTC<br>INVESTIGATION OF ANTHONY DEMASI,<br>ROBERT VOEGEL, JOSEPH P.<br>CACCIATORE AND/OR JOSEPH P.<br>CACCIATORE JR. | 10-0018 | 12/22/2009 | TOTAL GRANT                |
| PROCTOR,<br>WILLIAM         |   | 11/06/2009 | REQUEST FOR THE POSITION<br>DESCRIPTORS AND THEIR<br>QUALIFICATIONS, I.E. RESUMES, FOR<br>ALL GRADE CT-9 ADMINISTRATIVE<br>ASSISTANTS AND STAFF ASSISTANTS.        | 10-0019 | 12/22/2009 | PARTIAL GRANT              |
| FISHER-<br>MCKONE,<br>AMBER | FIRST<br>ADVANTAGE<br>INVESTIGATIVE<br>SERVICES | 11/13/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC INFORMATION FOR<br>BARRETT CHRISTOPHER BROWN.   | 10-0020 | 11/16/2009 | PARTIAL GRANT              |
| FISHER-<br>MCKONE,<br>AMBER | FIRST<br>ADVANTAGE                              | 11/16/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC DOCUMENTS FOR A.R.<br>THANE RITCHIE.  | 10-0021 | 11/17/2009 | TOTAL GRANT                |
| LAROCHE, GREG               | LAROCHE<br>RESEARCH<br>PARTNERS LLC             | 12/09/2009 | REQUEST FOR VARIOUS FINANCIAL<br>STATEMENTS.   | 10-0022 | 03/02/2010 | PARTIAL GRANT              |



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| RAVNITZKY,<br>MICHAEL |                        | 11/19/2009 | REQUEST FOR CFTC REPORT<br>PRODUCED FOR CONGRESS DURING<br>THE PAST (5) YEARS AND ARE NOT<br>POSTED ON CFTC.GOV.   | 10-0023 | 01/20/2010 | PARTIAL GRANT |
| DOWNEY,<br>MICHELE    | SEWARD &<br>KISSEL     | 11/19/2009 | REQUEST 4.5 NOTICE FILINGS FOR<br>VARIOUS ENTITIES PRIOR TO 1998.  | 10-0024 | 01/08/2010 | WITHDRAWN     |
| SEELEY, TINA<br>DAVIS | BLOOMBERG              | 11/30/2009 | REQUEST FOR THE DAILY LIST OF<br>APPOINTMENTS FOR CHAIRMAN GARY<br>GENSLER FROM HIS SWEARING IN<br>DATE UNTIL THE PRESENT.   | 10-0025 | 02/19/2010 | TOTAL GRANT   |
| PASSACRETA,<br>LEE    | MAYER BROWN<br>& PLATT | 12/01/2009 | REQUEST FOR INCOMING LETTERS<br>REGARDING CFTC LETTERS 95-103 AND<br>97.38.  | 10-0026 | 12/01/2009 | TOTAL GRANT   |
| SCOTT, ANNA           | NATIONAL<br>CORP.      | 11/30/2009 | REQUEST FOR INCOMING LETTERS<br>REGARDING CFTC LETTERS 95-103 AND<br>97.38.  | 10-0027 | 12/01/2009 | TOTAL GRANT   |
| WYBIRAL,<br>LESLIE    | LOUIS F. BURKE<br>PC   | 12/02/2009 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC DOCUMENTS FOR FOREX<br>CAPITAL MARKETS LLC.   | 10-0028 | 12/10/2009 | PARTIAL GRANT |
| WALDMAN,<br>PETER     | BLOOMBERG<br>NEWS      | 12/03/2009 | REQUEST CORRESPONDENCE<br>BETWEEN CFTC PERSONNEL AND THE<br>INDEPENDENT MONITOR ENGAGED BY<br>BP PRODUCTS NORTH AMERICA INC. IN<br>ACCORDANCE TO THE CONSENT<br>ORDER FOR PERMANENT INJUNCTION<br>AND ORDER RELIEF, DATED OCTOBER<br>25, 2007. | 10-0029 | 01/19/2010 | PARTIAL GRANT |
| DOWNEY,<br>MICHELE A. | SEWARD &<br>KISSEL LLP | 12/03/2009 | REQUEST FOR INCOMING<br>CORRESPONDENCE ASSOCIATED WITH<br>CFTC LETTERS NOS. 08-01, 06-27 AND<br>06-16.   | 10-0030 | 12/10/2009 | TOTAL GRANT   |

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| LYNCH, SARAH           | DOW JONES<br>NEWSWIRES | 12/04/2009 | REQUEST FOR A COPY OF A REQUEST<br>SENT TO CFTC 10 YEARS AGO FROM<br>REGIONAL TRANSMISSION OPERATOR<br>PJM INTERCONNECTED INC.<br>REQUESTING NO-ACTION LETTER<br>FROM THE CFTC.              | 10-0031 | 02/23/2010 | NO RESPONSIVE<br>DOCUMENTS |
| MCKEON, KEVIN<br>C.    |                        | 12/08/2009 | REQUEST FOR CORRESPONDENCE<br>BETWEEN CFTC AND THE OFFICE OF<br>CHARLIE BASS; MIKE FITZPATRICK,<br>STEVE CHABOT, AND STEVE PEARCH.   | 10-0032 | 01/20/2010 | NO RESPONSIVE<br>DOCUMENTS |
| PRITIKIN,<br>MARTIN H. | WHITTER LAW<br>SCHOOL  | 12/08/2009 | REQUEST FOR LISTING OF TEN HIGHEST<br>FINES IMPOSED BY CFTC BETWEEN<br>2000 AND 2008.  | 10-0033 | 01/11/2010 | TOTAL GRANT                |
| KASTLE, CHAD           |                        | 12/10/2009 | REQUEST FOR INFORMATION<br>RELATING TO THE MILLER ACT BONDS<br>CITED AT TITLE 48 OF THE CODE OF<br>FEDERAL REGULATION, SECTION<br>53.228.  | 10-0034 | 12/10/2009 | NO RESPONSIVE<br>DOCUMENTS |
| COHEN,<br>ALEXANDER    | PUBLIC CITIZEN         | 11/27/2009 | REQUEST FOR A LOG OF<br>CORRESPONDENCES SINCE JANUARY<br>2009 OF CURRENT MEMBERS OF THE<br>HOUSE OF REPRESENTATIVES AND THE<br>SENATE, EXCLUDING RECORDS OF<br>CONSTITUENTS' CORRESPONDENCE. | 10-0035 | 01/11/2010 | TOTAL GRANT                |
| CARSON, JOE            |                        | 11/27/2009 | REQUEST FOR RECORDS RELATED TO<br>CFTC'S COMPLIANCE WITH 5 USC<br>2302(C), "PREVENT PROHIBITED<br>PERSONNEL PRACTICES".  | 10-0036 | 12/22/2009 | TOTAL GRANT                |

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| EVERLY, STEVE         | THE KANSAS<br>CITY STAR             | 12/10/2009 | REQUEST FOR A LIST OF COMPANIES<br>OR INDIVIDUALS THAT CFTC GRANTED<br>WAIVERS OF STANDARD POSITION<br>LIMITS ON CRUDE-OIL OPTIONS OR<br>FUTURES AND LETTERS/DOCUMENTS<br>GRANTING THE WAIVERS. | 10-0037 | 03/17/2010 | TOTAL DENIAL               |
| LAROCHE, GREG         | LAROCHE<br>RESEARCH<br>PARTNERS LLC | 12/10/2009 | REQUEST FOR A LIST OF CFTC<br>REGISTRANTS WHICH INCLUDE THE<br>FOLLOWING FIELDS OF INFORMATION:<br>NFA ID, NAME OF REGISTRANT, AND<br>CRD/IARD NUMBER.  | 10-0038 | 12/22/2009 | FORWARDED TO<br>NFA        |
| WASHINGTON,<br>AUNDRE |                                     | 11/23/2009 | REQUEST FOR CFTC INFORMATIONAL<br>MATERIAL.   | 10-0039 | 12/10/2009 | INFORMATIONAL<br>BROCHURES |
| FUENTES,<br>HENRY L.  | SAX MACH<br>FROMM CO. PC            | 12/17/2009 | REQUEST FOR REFCO LLC'S 1-FR FOR<br>10/2005.  | 10-0040 | 12/31/2009 | TOTAL GRANT                |
| PETERSON, SAM         | CHATHAM<br>FINANCIAL                | 12/22/2009 | REQUEST FOR THE TRANSCRIPT,<br>MINUTES, SLIDES AND OTHER<br>MATERIAL FROM DECEMBER 9TH<br>MEETING OF THE CFTC GLOBAL<br>MARKETS ADVISORY COMMITTEE.   | 10-0041 | 01/26/2010 | TOTAL GRANT                |
| WALKER, CHRIS         | CAPSTONE<br>ADVISORY<br>GROUP       | 12/24/2009 | REQUEST FOR 1-FR'S FOR REFCO LLC<br>AND CARGILL INVESTOR SERVICES INC.  | 10-0042 | 12/31/2009 | TOTAL GRANT                |
| BATRA,<br>RADHIKA     | COLUMBIA<br>UNIVERSITY              | 12/03/2009 | REQUEST FOR A LIST OF FUTURE<br>REGISTRATIONS PER YEAR FROM 1974 -<br>2008.   | 10-0043 | 01/11/2010 | TOTAL GRANT                |

|                           |                    |            |   |         |            |                         |
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| LYNGH, SARAH N.           | DOW JONES NEWSWIRE | 12/30/2009 | REQUEST FOR EVERY DRAFT PROPOSAL CIRCULATED INTERNALLY CONCERNING THE PLAN TO IMPOSE POSITION LIMITS ON ENERGY FUTURES PRODUCTS AND/OR OTHER COMMODITIES OF FINITE SUPPLY AND ALL COMMENTS SUBMITTED BY COMMISSIONERS AND STAFF IN RESPONSE TO EACH DRAFT | 10-0042 | Open       | PARTIAL GRANT           |
| HOM, SYLVIAN              |                    | 12/31/2009 | REQUEST FOR INTERPRETATIVE LETTER NO. 86-02.  | 10-0045 | 01/06/2010 | NO RESPONSIVE DOCUMENTS |
| CAROLLO, RUSSELL          |                    | 12/22/2009 | REQUEST FOR COPIES OF ALL RECORDS RELATED IN ANY WAY - WITH THE EXCEPTION OF RECORDS COVERED BY MY REQUEST OF NOVEMBER 5, 2009 (10-0017) - TO TRAVEL BY CFTC EMPLOYEES AND/OR FINANCED BY CFTC SINCE JANUARY 1, 2009.                                     | 10-0118 | 06/11/2010 | NO RESPONSIVE DOCUMENTS |
| ALLMOND, SAMUEL M.        |                    | 01/05/2010 | REQUEST FOR SECURITY BACKGROUND INVESTIGATION FOR THE REQUESTER.  | 10-0048 | 01/11/2010 | WRONG AGENCY            |
| FRENCH, PETER             |                    | 01/07/2010 | REQUEST FOR INFORMATION REGARDING COMPLAINTS, INVESTIGATIONS, VIOLATIONS, SANCTIONS, OR ENFORCMENTSS ACTIONS RELATED TO: METACAPITAL MANAGEMENT LP, METACAPITAL MANAGEMENT LLC, AND DEEPAK M. NARULA.   | 10-0047 | 01/29/2010 | NO RESPONSIVE DOCUMENTS |
| STEPHENSON, DAVID CARROLL |                    | 01/07/2010 | REQUEST FOR ANY INFORMATION THAT THE AGENCY HAS ON DAVID CARROLL STEPHENSON.  | 10-0046 | 01/26/2010 | NO RESPONSIVE DOCUMENTS |

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| MOORE,<br>HERBERT P.        | GALLAGHER,<br>BRIODY &<br>BUTLER        | 01/08/2010 | REQUEST FOR FILE NUMBER RF02-001   | 10-0049 | 01/08/2010 | TOTAL GRANT                |
| DORSEY,<br>PHILLIP L.       |   | 01/08/2010 | REQUEST FOR A LIST OF PUBLICATIONS<br>AVAILABLE.   | 10-0050 | 01/11/2010 | TOTAL GRANT                |
| KOENIG, BERYL<br>JOAN       |   | 01/12/2010 | REQUEST FOR ALL DOCUMENTS IN<br>AGENCY FILES RELATED TO BERYL JOAN<br>KOENIG (WEST).   | 10-0051 | 02/18/2010 | NO RESPONSIVE<br>DOCUMENTS |
| HARRIS, MITCH               |   | 01/14/2010 | REQUEST FOR GUIDELINES THAT CMS<br>PROVIDED TO WPS FOR<br>RECONSIDERATIONS AND APPEALS.  | 10-0052 | 01/20/2010 | NOT AN AGENCY<br>RECORD    |
| VORRASI, MARC<br>RECYCLING  | METROPOLITAN<br>RECYCLING               | 01/19/2010 | REQUEST FOR RECYCLING CONTRACT<br>FROM NY MUNICIPALITIES.  | 10-0053 | 01/26/2010 | NO RESPONSIVE<br>DOCUMENTS |
| KOPIWODA,<br>JEFFREY E.     | SUPERFUND<br>ASSET<br>MANAGEMENT<br>INC | 01/19/2010 | REQUEST ALL CORRESPONDENCE<br>BETWEEN CFTC AND OTHER US OR<br>FOREIGN REGULATORY AGENCY<br>CONCERNING OR RELATING TO<br>SUPERFUND.   | 10-0054 | 04/06/2010 | PARTIAL GRANT              |
| BUNCH, S.<br>DOUGLAS        | COHEN<br>MILSTEIN                       | 01/21/2010 | REQUEST FOR DOCUMENTS<br>PERTAINING TO MF GLOBAL LTD. (SEE<br>FOIA 09-0098).   | 10-0057 | 11/09/2010 | TOTAL DENIAL               |
| GRATEROL,<br>CARLOS R.      | THE DAILY<br>CHUCK                      | 01/25/2010 | REQUEST FOR ALL MATERIAL RELATED<br>TO INTRADE, THE INTRADE<br>PREDICTION MARKET, INTRADE THE<br>PREDICTION MARKET LIMITED,<br>TRADESPORTS LTD,<br>WWW.INTRADE.COM, JOHN DELANEY,<br>CARL WOLFENDEN, AND<br>INTRADE.COM. | 10-0055 | 02/19/2010 | PARTIAL GRANT              |
| SANDS,<br>BENJAMAN<br>SCOTT |   | 01/27/2010 | REQUEST FOR ALL DOCUMENTS<br>RELATING TO BENJAMAN SCOTT<br>SANDS.  | 10-0056 | 02/23/2010 | NO RESPONSIVE<br>DOCUMENTS |

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| AMAZEEN,<br>PAUL G.  | IMALUX<br>CORPORATION                | 02/03/2010 | REQUEST FOR INFORMATION<br>REGARDING FDA 510(K).  | 10-0058 | 02/18/2010 | NO RESPONSIVE<br>DOCUMENTS |
| NISSEN,<br>WILLIAM   | SIDLEY &<br>AUSTIN                   | 02/05/2010 | REQUEST FOR CFTC ORDER ENTERED<br>ON SEPTEMBER 27, 2006 IN<br>ENFORCEMENT CASE AGAINST<br>ANDREW MACHATA AND ROLLING<br>MEADOW RANCH, INC. AS DESCRIBED<br>IN CFTC PRESS RELEASE 5237-06.   | 10-0059 | 03/19/2010 | TOTAL GRANT                |
| DUNN, ANGELA<br>S.   | NASDAQ OMX                           | 02/05/2010 | REQUEST FOR FILE NUMBER RF02-001.   | 10-0060 | 02/18/2010 | TOTAL GRANT                |
| PERRY,<br>TIMOTHY T. | UNIVERSITY OF<br>MINNESOTA<br>DULUTH | 02/12/2010 | REQUEST FOR CTR DATA FOR<br>EURODOLLAR FUTURES CONTRACTS<br>EXCHANGED ON THE CME FLOOR AND<br>GLOBEX FROM 2007-09 OR TIME AND<br>SALES DATA.  | 10-0061 | 02/23/2010 | TOTAL DENIAL               |
| CRONIN,<br>KATHLEEN  | CME GROUP                            | 02/12/2010 | REQUEST FOR RECORDS RELATED TO<br>ELX FUTURES, LP'S REUEST FOR<br>APPROVAL OF AMENDMENT TO RULE<br>IV-15A; SUBMISSION 10/20/09<br>REQUESTING A STAY; SUPPLIEMENTAL<br>FILINGS, 11/12/09; LETTER, 1/4/2010;<br>OTHER COMMUNICATION/MEETING<br>WITH ELX; ELX RULE; NOTICE RA0907-<br>1. | 10-0062 | 03/19/2010 | PARTIAL GRANT              |
| THORUP, SARA         | BLACKROCK<br>ALTERNATIVE<br>ADVISORS | 02/19/2010 | REQUEST FORWARDED FROM NFA FOR<br>NON-PUBLIC INFORMATION FOR<br>MICHAEL WELD CLARK.   | 10-0063 | 02/19/2010 | PARTIAL GRANT              |

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| HASH, LARRY        |   | 02/22/2010 | REQUEST FOR PHOTOS DURING THE CONSTRUCTION PHASE OR BEFORE WWII MADE WHEN THE RAAP WAS BUILT IN DUBLIN, VA, THE STORAGE FACILITY. MY FAMILY OWNS PROPERTY JOINING THIS FACILITY. I AM A HISTORIAN & HAVE PLOTTED THE LANDS PRIOR TO THE US ACQUIRING THEM. | 10-0064 | 02/23/2010 | NO RESPONSIVE DOCUMENTS |
| MERCER, GAIL       | WOODARD<br>EMHARDT<br>MORIARTY<br>MCNETT &<br>HENRY | 02/25/2010 | REQUEST FOR ALL MATERIAL SUBMITTED BY MEDIA DERIVATIVES INC IN CONNECTION WITH ITS APPLICATION TO BE DESIGNATED AS A CONTRACT MARKET, SEPTEMBER 11 & 25, 2009.   | 10-0068 | 05/13/2010 | PARTIAL GRANT           |
| LEHEW,<br>LAUREN   |   | 02/25/2010 | REQUESTING COPY OF THE MOST RECENT SF-2, US GOVERNMENT LEASE FOR REAL PROPERTY, FOR THE CFTC DC OFFICE.  | 10-0069 | 03/26/2010 | WITHDRAWN               |
| COVEL,<br>MICHAEL  |   | 03/01/2010 | REQUEST FOR DISCLOSURE DOCUMENTS FOR THE LAST 5 YEARS FOR DEKKER CAPITAL MANAGEMENT LLC, NFA 0345134 AND INCLINE INVESTMENT MANAGEMENT LLC, NFA 0418078.   | 10-0070 | 03/12/2010 | FORWARDED TO NFA        |
| MADOFF,<br>ABIGAIL | COLLABORATIVE GOVERNANCE INITIATIVE                 | 03/01/2010 | REQUEST FOR ALL EMPLOYEES AT THE CFTC UNDER THE SENIOR EXECUTIVE SERVICE AND CONTACT INFORMATION.  | 10-0071 | 03/12/2010 | NO RESPONSIVE DOCUMENTS |

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| BARR, DAVID             |                                       | 03/02/2010 | REQUEST FOR ANY AND ALL RECORDS OF COMMUNICATIONS BETWEEN CFTC & THE FOLLOWING GOVERNMENT OFFICIALS: MITCHELL DANIELS JR, PIYUSH JINDAL, SARAH PALIN, TIMOTHY PAWLENTY, JOHN THUNE, MICHAEL HUCKABEE, AND WILLARD ROMNEY AND THEIR OFFICES.         | 10-0065 | 05/28/2010 | WITHDRAWN               |
| ZUNIGA, CESAR A.        |                                       | 03/02/2010 | REQUEST FOR INFORMATIONAL MATERIAL.   | 10-0066 | 03/12/2010 | TOTAL GRANT             |
| WASHINGTON, AUNDRE      |                                       | 03/02/2010 | REQUEST FOR INFORMATIONAL MATERIAL.   | 10-0067 | 03/12/2010 | TOTAL GRANT             |
| PATENT, LAWRENCE B.     | K&L LLP                               | 03/03/2010 | REQUEST FOR ANY LETTERS ISSUED BY CFTC OR ITS STAFF AND THE RELATED INCOMING LETTERS TO WHICH THEY RESPOND, ADDRESSING THE ISSUE OF SO-CALLED PROPRIETARY TRADING SHOPS, ALSO KNOWN AS 'PRO SHOPS' AND PROPRIETARY ACCOUNTS DURING 2006 TO PRESENT. | 10-0072 | 04/15/2010 | TOTAL GRANT             |
| JERROLD, SALZMAN        | SKADDEN ARPS SLATE MEAGHER & FLOM LLP | 03/03/2010 | REQUEST FOR THE LETTER DATED OCTOBER 6, 2009, WHICH ELX SAYS THE COMMISSION SENT TO IT IN CONJUNCTION WITH THE COMMISSION'S APPROVAL OF ITS EFF RULE.   | 10-0078 | 03/16/2010 | TOTAL GRANT             |
| TOMPKINS, MARY LARRAINE |                                       | 03/04/2010 | REQUEST FOR MEDICAID RECOVERY FROM JUNE 2002 THROUGH DECEMBER 2003.   | 10-0074 | 03/12/2010 | NO RESPONSIVE DOCUMENTS |



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| ZUNIGA, CESAR<br>A.   |                        | 03/05/2010 | REQUEST FOR INFORMATION ON<br>GENERAL ELECTRIC, PFIZER,<br>MICROSOFT, AMAZON, CISCO.   | 10-0075 | 03/12/2010 | NO RESPONSIVE<br>DOCUMENTS |
| RATHBUN,<br>MARK      |                        | 03/05/2010 | REQUEST FOR INFORMATION ON<br>REGULATORY STOCK BROKERS AND THE<br>TEST CALLED SERIES 7 FOR STOCK<br>BROCKERS.  | 10-0076 | 03/12/2010 | NO RESPONSIVE<br>DOCUMENTS |
| MCELHATTON,<br>JIM    |                        | 03/05/2010 | REQUEST FOR AGENCY SPECIFIC<br>REPORTS PREPARED BY THE<br>TRANSITION TEAM AND THE<br>TRANSITION REPORT PREPARED BY<br>CFTC DURING NOVEMBER 2008 AND<br>JANUARY 2009. | 10-0077 | 04/29/2010 | NO RESPONSIVE<br>DOCUMENTS |
| CANNESTRA,<br>NATALIE | WILLIAM BLAIR<br>& CO. | 03/11/2010 | REQUEST FOR THE MOST RECENT 1-FR<br>FOR PEREGRINE FINANCIAL GROUP<br>INC, VISION FINANCIAL MARKETS LLC,<br>AND YORK BUSINESS ASSOCIATES LLC.                         | 10-0073 | 03/18/2010 | PARTIAL GRANT              |
| PERRY, R.<br>SCOTT    |                        | 03/11/2010 | REQUEST FOR CONTRACT<br>SPECIFICATIONS FOR ANY<br>COMMODITIES CONTRACTS THAT<br>INVOLVE PRECIOUS METALS.   | 10-0079 | 06/03/2010 | WITHDRAWN                  |
| SCHUCK, HENRY         | DISCOVERORG            | 03/17/2010 | REQUEST FOR THE ORGANIZATIONAL<br>CHART FOR THE OFFICE OF THE CHIEF<br>INFORMATION OFFICER.  | 10-0080 | 04/06/2010 | TOTAL GRANT                |
| GOGGIN,<br>JEFFREY    | BEUS GILBERT<br>PLLC   | 03/17/2010 | REQUEST FILE NUMBER RF05-008,<br>REFCO 3/2004 - 2/2005.  | 10-0081 | 03/18/2010 | TOTAL GRANT                |
| WASHINGTON,<br>AUNDRE |                        | 03/19/2010 | REQUEST FOR CBOT'S ADDRESS AND<br>MATERIAL ON FIGURING OUT PROFIT<br>ON CONTRACTS.   | 10-0082 | 03/29/2010 | TOTAL GRANT                |

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| JONES, MATTHEW L.   | JONES & ADAMS, PA      | 03/19/2010 | REQUEST (SUBPOENA) FORWARDED FROM NFA FOR NON-PUBLIC REGISTRATION DOCUMENTS ON FILE FOR CHRISTOPHER LLOYD BOURNE, GLOBEFX CLUB INC. AND JEREMY MUNSON GLOBE.   | 10-0083 | 03/29/2010 | PARTIAL GRANT           |
| RAPPAPORT, ADAM J.  | CREW                   | 03/22/2010 | REQUEST FOR CORRESPONDENCE BETWEEN CFTC AND ANY MEMBER, COMMITTEE, OR EMPLOYEE OF CONGRESS RELATED TO ALL FINANCIAL REGULATORY REFORM PROPOSALS AND SUGGESTIONS FROM MARCH 1, 2008 AND PRESENT.                            | 10-0084 | Open       |                         |
| ARAVIND, ABHAYA     | COLUMBIA UNIVERSITY    | 03/25/2010 | REQUEST FOR CFTC ANNUAL REPORT FOR 1974 TO 1980.   | 10-0086 | 04/12/2010 | TOTAL GRANT             |
| MASON, D. E. RICE   |                        | 03/29/2010 | REQUEST FOR LICENSING INFORMATION.   | 10-0085 | 03/29/2010 | TOTAL GRANT             |
| GILES, JIM          | NEW SCIENTIST MAGAZINE | 04/07/2010 | REQUEST FOR ALL RECORDS THAT INCLUDE DATA ON OR SUMMARIES OF THE SEARCH WARRANTS SUBPOENAS AND COURT ORDERS SERVED ANNUALLY BY CFTC INVESTIGATORS AGAINST: GOOGLE, YAHOO!, MICROSOFT, AOL, FACEBOOK, TWITTER. AND MYSPACE. | 10-0087 | 05/04/2010 | NO RESPONSIVE DOCUMENTS |
| RICHARDS, LAURA     |                        | 04/08/2010 | REQUEST FOR A COPY OF MY PERSONNEL SECURITY FILE COVERED BY CFTC-44.   | 10-0088 | 04/20/2010 | NO RESPONSIVE DOCUMENTS |
| LEE, CHRISTOPHER S. |                        | 04/13/2010 | REQUEST FOR ALL INFORMATION OR RECORDS REGARDING MY APPLICATION TO THE CFTC CHIEF PRIVACY OFFICER POSITION.  | 10-0089 | 05/13/2010 | TOTAL GRANT             |

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| COLY, YOLANDA NAMWOLF |  | 04/14/2010 | REQUEST FOR RECORDS RELATING TO CFTC'S FOIA COMPLIANCE OFFICE'S UTILIZATION OF OUTSIDE LEGAL COUNSEL AND THE RESULTING COST WITH RESPECT TO MINORITY CONTRACTING, LIKE POLICIES RE RECRUITMENT, AFFIRMATIVE ACTION AND EQUAL OPPORTUNITY STATEMENT. | 10-0090 | 04/14/2010 | NO RESPONSIVE DOCUMENTS |
| MACK, KEVIN J.        | SKADDEN, ARPS, SLATE, MEAGHER & FLOM LLP | 04/15/2010 | REQUEST FOR INFORMATION REGARDING NYMEX'S ACCESS TRADING SYSTEM   | 10-0091 | 06/01/2010 | WITHDRAWN               |
| LEVY, SUSAN J.        |  | 04/19/2010 | REQUEST FOR ENTIRE FILE CONCERNING JAN JURAN AND MAN FINANCIAL DBA MF GLOBAL INC.   | 10-0092 | 05/04/2010 | WITHDRAWN               |
| WHITAKER, MATTHEW     | WESTLAW COURTEXPRESS                     | 04/22/2010 | REQUEST FOR A COPY OF THE LETTER DATED 10/10/89 FROM THE DIVISION OF TRADING AND MARKETING, REGARDING BANK GUARANTEE(S) TO COVER FORWARD PROFITS AND CLEARING EXPOSURES OF THE LONDON METAL EXCHANGE.   | 10-0093 | 05/14/2010 | TOTAL GRANT             |
| MORONG, CHRISTINE     | SKADDEN ARPS SLATE MEAGHER & FLOM LLP    | 04/22/2010 | REQUEST FOR PUBLIC COPY OF A REPORT CALLED THE 1992 NYMEX ACCESS REPORTS REFERENCED WITHIN A CITATION ON A NOVEMBER 1994 REPORT WRITTEN BY MARY SHAPIRO ENTITLED "COMPUTERIZED TRADING".  | 10-0094 | 05/14/2010 | TOTAL GRANT             |

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| DAVIS, BRAD                                 |  | 04/22/2010 | REQUEST FOR ALL INFORMATION PERTAINING TO THE ETHICS CHARGES INVOLVING JOHN WISE AND THE CFTC.  | 10-0095 | 06/03/2010 | TOTAL DENIAL            |
| COLY, YOLANDA NAMWOLF                       |  | 04/26/2010 | REQUEST FOR RECORDS RELATING TO CFTC'S FOIA COMPLIANCE OFFICE'S UTILIZATION OF OUTSIDE LEGAL COUNSEL AND THE RESULTING COST, LIKE, (PRIVATE LAW FIRM NAME, SUBJECT MATTER OF , COPIES OF AGREEMENTS, LEGAL FEES, NAMES OF CERTIFIED MINORITY).                | 10-0097 | 04/29/2010 | NO RESPONSIVE DOCUMENTS |
| SKELLEY, LYNNE FEDSOURCES, Inc.             |  | 04/27/2010 | COPY OF THE BASIC AWARDED CONTRACT INCLUDING THE STATEMENT OF WORK FOR THE CONTRACT AWARDED FROM SOLICITATION #CFIT09SO0080 UNDER THE PROFESSIONAL SERVICES FOR DEVELOPMENT OF CFTC'S TRADE SURVEILLANCE SYSTEM PROGRAM. CONTRACTING OFFICER WAS NICK GRAHAM. | 10-0096 | 08/20/2010 | PARTIAL GRANT           |
| THORUP, SARA BLACKROCK ALTERNATIVE ADVISORS |  | 04/29/2010 | REQUEST FORWARDED FROM NFA FOR DOCUMENTS RELATED TO JAMES GERARD GLYNN, NFA#406841.   | 10-0098 | 06/16/2010 | TOTAL GRANT             |
| HARRISON, ALEX METAL BULLETIN               |  | 04/29/2010 | REQUEST FOR DOCUMENTS RELATING TO THE USE OF COMMODITIES MARKETS FOR THE PURPOSE OF MONEY-LAUNDERING AND OR TAX EVASION SINCE 2007.   | 10-0099 | 06/03/2010 | WITHDRAWN               |

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| HEINZ, DAVID      |                                  | 04/30/2010 | REQUEST FOR VARIOUS INFORMATION REGARDING CFTC JOB OPENINGS 10-022, 10-023, AND 10-0024 FUTURES TRADING INVESTIGATOR.                         | 10-0100 | 05/13/2010 | TOTAL GRANT   |
| JACOBSON, CRAIG   | CLAUSEN MILLER PC                | 05/04/2010 | REQUEST FOR ALL DOCUMENTS PERTAINING TO THE INVESTIGATION/ACTION AGAINST MF GLOBAL FILED BY CFTC IN DECEMBER, 2009.                           | 10-0101 | 11/09/2010 | TOTAL DENIAL  |
| HAN, JAEHYUN      |                                  | 05/07/2010 | REQUEST FOR DATA REGARDING S&P500 INDEX FUTURES AUDIT TRAIL DATA FROM 2005 - 2009.  | 10-0102 | 05/28/2010 | TOTAL DENIAL  |
| SINCLAIR, GARY M. | GARY M. SINCLAIR AT LAW          | 05/12/2010 | REQUEST FOR MOST RECENT 1-FR FOR PEREGRINE FINANCIAL GROUP, INC.  | 10-0104 | 05/28/2010 | PARTIAL GRANT |
| LODER, ASJYLYN    | BLOOMBERG NEWS                   | 05/13/2010 | REQUEST FOR LOG OF FOIA REQUESTS FROM JANUARY 1, 2009 TO PRESENT.   | 10-0105 | 05/14/2010 | PARTIAL GRANT |
| LODER, ASJYLYN    | BLOOMBERG NEWS                   | 05/13/2010 | REQUEST FOR ALL INFORMATION RELEASED TO DOW JONES (10-0013) INCLUDING INTERNAL DOCUMENTS REGARDING POSITION LIMITS DEBATE.                    | 10-0106 | 06/01/2010 | PARTIAL GRANT |
| LODER, ASJYLYN    | BLOOMBERG NEWS                   | 05/13/2010 | REQUEST FOR ALL DOCUMENTS REGARDING CFTC DOCKET NO. 10-10 AND 10-11, AGAINST MORGAN STANLEY AND UBS SECURITIES LLC                            | 10-0107 | 07/15/2010 | TOTAL DENIAL  |
| HORN, GEOFFREY    | LOWEY DANNENBERG COHEN & HART PC | 05/17/2010 | REQUEST FOR INFORMATION, RECORDS OR TESTIMONY RELATING AND PRODUCED IN: IN THE MATTER OF MOORE CAPITAL MANAGEMENT LLP, ET AL., DOCKET# 10-09. | 10-0103 | 06/29/2010 | TOTAL DENIAL  |

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| KLOHONATZ,<br>JAN |                            | 05/19/2010 | REQUEST FOR THE CONSENT ORDER BY<br>WELLS FARGO BANK DATED ON OR<br>ABOUT NOVEMBER 19, 1987 IN THE<br>CENTRAL DISTRICT OF CALIFORNIA<br>CASE NO. 87-07792.  | 10-0109 | 05/28/2010 | TOTAL GRANT                |
| GRIFFETH, RYAN    | LOTUS<br>BROKERAGE         | 05/21/2010 | REQUEST FOR THE MINUTES OF THE<br>AGRICULTURAL ADVISORY COMMITTEE<br>MEETINGS FOR THE LAST TWO YEARS.   | 10-0110 | 06/10/2010 | TOTAL GRANT                |
| MEYER,<br>GREGORY | FINANCIAL<br>TIMES         | 05/21/2010 | CFTC RESEARCH PROJECT THAT<br>STUDIES WHETHER OR NOT THE<br>BEHAVIOR OF CRUDE SPREADS OVER<br>THE PAST SEVERAL YRS WAS RELATED<br>TO POSITIONS IN WEST TEXAS<br>INTERMEDIATE CRUDE FUTURES<br>POSITIONS OR OIL STORAGE ISSUES AT<br>CUSHING IN CFTC MEMO TO TIMOTHY<br>GEITHNER 8/21/09 | 10-0111 | 06/10/2010 | NO RESPONSIVE<br>DOCUMENTS |
| WAGNER,<br>DANIEL | THE<br>ASSOCIATED<br>PRESS | 05/26/2010 | REQUEST FOR RECORDS RELATED TO<br>THE VOLATILE TRADING ACTIVITY THAT<br>TOOK PLACE MAY 6, 2010.   | 10-0112 | 08/20/2010 | PARTIAL GRANT              |
| HALL, HEATHER     | LEXIS NEXIS                | 05/26/2010 | REQUEST FOR DECISION IN THE<br>MATTER OF PHILADELPHIA<br>ALTERNATIVE ASSET MANAGEMENT<br>LLC REGISTRANT, CFTC DOCKET NO. SD<br>08-05 DATE MARCH 6, 2009.  | 10-0113 | 06/16/2010 | TOTAL GRANT                |
| LYNCH, SARAH      | DOW JONES<br>NEWSWIRES     | 05/26/2010 | REQUEST COPY OF REPORTS<br>COMPLETED BY THE PROMONTORY<br>FINANCIAL GROUP, HIRED TO<br>PERFORM A REVIEW OF CFTC'S DMO<br>AND SURVEILLANCE FUNCTIONS.  | 10-0114 | 11/05/2010 | PARTIAL GRANT              |

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| LYNCH, SARAH          | DOW JONES NEWSWIRES            | 05/27/2010 | REQUEST FOR COPIES OF ALL INVESTIGATIVE DOCUMENTS RELATED TO THE CASE INVOLVING MORGAN STANLEY AND UBS WHO WERE FINED BY CFTC FOR CONCEALING A LARGE BLOCK OF CRUDE OIL TRADE ON 2/6/2009.  | 10-0115 | Open       |               |
| MUCHONEY, JENNIFER M. | PEREGRINE FINANCIAL GROUP INC. | 06/01/2010 | REQUEST FORWARDED FROM NFA FOR NON-PUBLIC DOCUMENTS REGARDING AMBER MAXWELL AND GARLON JAMES MAXWELL.   | 10-0126 | 08/03/2010 | PARTIAL GRANT |
| WARREN, ROBERT        |                                | 06/02/2010 | REQUEST FOR RECORDS REGARDING RAY OLSON AKA SOARING PHOENIX LLC OR MORGAN DETHOUARS OR JO RAE DIENHART FROM ANY BANK OR TRADING ACCOUNTS BEARING THESE NAMES, INCLUDING FIRST BANK OF COLORADO, HARRIS TRUST & SAVINGS BANK AND RJ O'BRIEN. | 10-0116 | 08/10/2010 | PARTIAL GRANT |
| KLOHONATZ, JAN        |                                | 06/03/2010 | REQUEST FOR THE "CONSENT" FILED BY WELLS FARGO BANK MENTIONED IN THE CONSENT ORDER BY WELLS FARGO BANK DATED ON OR ABOUT NOVEMBER 19, 1987.   | 10-0117 | 06/22/2010 | TOTAL GRANT   |
| TEINOWITZ, IRA        | THE WRAP.COM                   | 06/04/2010 | REQUEST FOR A REPORT TO COMMISSIONERS ON ISSUES RAISED IN CONNECTION WITH MOVIE BOX OFFICE FUTURES PREPARED BY RICK SHILTZ OR OTHER STAFF.  | 10-0119 | 12/06/2010 | TOTAL DENIAL  |

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| SHULTZ,<br>GAYLEA   | KIRKLAND &<br>ELLIS LLP               | 06/04/2010 | REQUEST FOR A LETTER/MEMO FROM<br>WENDY L. GRAMM (FORMER CFTC<br>CHAIRPERSON) TO SENATOR PATRICK<br>LEAHY DATED AUGUST 25, 1989<br>CONCERNING THE FUTURES MARKET<br>AND CBOT.   | 10-0120 | 08/03/2010 | PARTIAL GRANT |
| GROSSACK,<br>DAVID  | LAW OFFICE OF<br>DAVID<br>GROSSACK-PC | 06/07/2010 | REQUEST FOR ALL COMPLAINTS<br>CONCERNING TRADING AND/OR<br>MARKET PRACTICES AS THE CHICAGO<br>CLIMATE FUTURE EXCHANGE; ANY<br>INVESTIGATIVE SUBPOENAS ISSUED BY<br>CFTC AND ANY DISCLOSURE<br>STATEMENTS FILED BY CCFX. | 10-0121 | Open       |               |
| ELATAB,<br>MUHAMMAD |                                       | 06/08/2010 | REQUEST FOR CANTOR FITZGERALD'S<br>FILINGS RELATED TO EFFORTS TO<br>CREATE A REGULATED, INTERNET-<br>BASED EXCHANGE FOR DOMESTIC BOX<br>OFFICE RECEIPT CONTRACTS (AKA<br>MOVIE BOX OFFICE CONTRACTS).                   | 10-0122 | 08/11/2010 | WITHDRAWN     |
| HORWITZ, JESSE      | HARVARD LAW<br>SCHOOL                 | 06/09/2010 | REQUEST FOR ENTRY LEVEL<br>PROFESSIONALS (LAWYERS,<br>ECONOMIST, ACCOUNTANTS, AND<br>EXAMINERS) SALARIES FOR THE PAST<br>20 YEARS.  | 10-0123 | 06/16/2010 | WITHDRAWN     |
| MEYER,<br>GREGORY   | FINANCIAL<br>TIMES                    | 06/11/2010 | REQUEST FOR ALL RESEARCH AND<br>DOCUMENTATION<br>PRODUCED/GATHERED IN RELATION<br>TO TRADING ACTIVITY IN CRUDE OIL<br>MARKETS ON SEPTEMBER 22, 2008<br>AND DAYS IMMEDIATELY PRIOR.                                      | 10-0124 | 08/26/2010 | PARTIAL GRANT |



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| WOODALL,<br>KATE S.  | PATTON BOGGS<br>LLP       | 06/12/2010 | REQUEST FOR ACUVEST INC. AND<br>PEREGRINE FINANCIAL GROUP INC.'S 1-<br>FR-IB AND GUARANTEE AGREEMENTS<br>FOR THE YEARS 2004 - 2009.  | 10-0108 | 07/16/2010 | PARTIAL GRANT |
| COHEN, JAY           | BENJAMIN<br>OFFICE SUPPLY | 06/15/2010 | REQUEST FOR A LIST OF CREDIT CARD<br>HOLDERS (NAME AND PHONE<br>NUMBERS) WHO ARE AUTHORIZED TO<br>BUY OFFICE SUPPLIES.   | 10-0125 | 06/24/2010 | TOTAL GRANT   |
| RUDDY, MARK<br>E.    | RUDDY LAW<br>OFFICES PLLC | 06/23/2010 | REQUEST FOR INFORMATION OR<br>RECORDS REGARDING STEVE AGOPIAN<br>OR AMERICAN FUTURES TRADING INC.<br>SUBMITTED TO THE CFTC FROM JUNE<br>1, 2008 TO JUNE 23, 2010.                          | 10-0127 | 08/18/2010 | TOTAL DENIAL  |
| BEHNFELDT,<br>CARLA  | NASDAQ OMX                | 06/28/2010 | REQUEST FOR THE ERIS EXCHANGE LLC<br>EXEMPT BOARD OF TRADE<br>NOTIFICATION FILED WITH THE CFTC<br>AS OF 2/4/2010 AND THE<br>ACKNOWLEDGEMENT LETTER SENT BY<br>CFTC ON 4/30/2010.           | 10-0128 | 11/09/2010 | TOTAL GRANT   |
| NISSEN,<br>WILLIAM   | SIDLEY &<br>AUSTIN LLP    | 06/28/2010 | REQUEST FOR THE COMPLAINT AND<br>SETTLEMENT DECISION DATED<br>NOVEMBER 2, 1993 IN THE CASE OF<br>MCVEAN TRADING & INVESTMENT,<br>DOCKET NO. 94-4 AS DESCRIBED IN<br>CFTC RELEASE #3712-93. | 10-0132 | 08/03/2010 | TOTAL GRANT   |
| HESS,<br>CHRISTOPHER |                           | 07/08/2010 | REQUEST FOR INFORMATIONAL<br>MATERIAL.   | 10-0129 | 07/15/2010 | TOTAL GRANT   |

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| MCGRATH,<br>CHRISTOPHER<br>M. | LOVELL<br>STEWART<br>HALEBIAN<br>JACOBSON LLP | 07/14/2010 | REQUEST FOR INFORMATION<br>REGARDIING CFTC ACTION IN THE<br>MATTER OF MOORE CAPITAL<br>MANAGEMENT LP, MOORE CAPITAL<br>ADVISORS, LLC AND MOORE ADVISORS<br>LTD., CFTC DOCKET NO. 10-09. | 10-0130 | 12/7/2010  | TOTAL DENIAL         |
| HEILIZER,<br>DEBORAH G.       | SUTHERLAND<br>ASBILL &<br>BRENNAN LLP         | 07/20/2010 | REQUEST FOR ALL DOCUMENTS<br>RELATING TO THE ORDER ISSUED BY<br>CFTC ON JULY 27, 1995 AGAINST MG<br>REFINING AND MARKETING, INC. AND<br>MG FUTURES, INC.                                | 10-0131 | 10/22/2010 | PARTIAL GRANT        |
| JOHNSON,<br>WILLIAM           |   | 07/29/2010 | REQUEST FOR A LIST OF THE NAMES,<br>GRADES AND YEARLY SALARIES OF ALL<br>ATTORNEYS EMPLOYED BY THE CFTC<br>AS OF 7/29/2010.   | 10-0134 | 09/07/2010 | TOTAL GRANT          |
| RANDALL,<br>MICHAEL           |   | 07/30/2010 | REQUEST FOR EDUCATIONAL<br>MATERIAL CONCERNING FUTURES AND<br>COMMODITIES.  | 10-0133 | 08/03/2010 | TOTAL GRANT          |
| MCGRATH,<br>CHRISTOPHER<br>M. | LOVELL<br>STEWART<br>HALEBIAN<br>JACOBSON LLP | 08/04/2010 | REQUEST FOR MATERIAL CONCERNING<br>CFTC REPORT ENTITLED "STAFF<br>REPORT ON COTTON FUTURES AND<br>OPTION MARKET ACTIVITY DURING<br>THE WEEK OF MARCH 3, 2008".                          | 10-0135 | 10/18/2010 | PARTIAL GRANT        |
| GOOLSBY, JOHN<br>A.           | ENTRIX  | 08/13/2010 | REQUEST FOR MOST RECENT DREDGE<br>AND FILL PERMIT FOR MEADOW<br>POINTE IN PASCO COUNTY.   | 10-0136 | 08/19/2010 | NOT AGENCY<br>RECORD |

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| HIGGINS, TODD           | CROSBY &<br>HIGGINS LLP                        | 08/17/2010 | FORWARD FROM NFA REQUEST FOR<br>NON-PUBLIC INFORMATION FOR<br>ALEXEI V. VHEKHLOV; PETTER<br>KAMBOLIN; SYSTEMATIC ALPHA<br>FUTURES; SYSTEMATIC ALPHA<br>MANAGEMENT LLC; AND THOR ASSET<br>MANAGEMENT INC. | 10-0150 | 09/07/2010 | TOTAL GRANT                |
| HENDERSON,<br>GEORGE T. | RECOVERY<br>POINT<br>SYSTEMS, INC.             | 08/17/2010 | REQUEST FOR INFORMATION FOR THE<br>FOLLOWING IN RESPONSE TO RFQ NO.<br>CFIT-10-SO-9152: NAMES OF OTHER<br>BIDS AND AMOUNTS BID; AMOUNT<br>SUBMITTED BY OTHER BIDDERS; AND<br>NAMES OF OTHER BIDDERS.     | 10-0137 | 09/07/2010 | PARTIAL GRANT              |
| KELLEY,<br>THOMAS O.    | MCGRATH<br>NORTH                               | 08/17/2010 | REQUEST FOR VARIOUS INFORMATION<br>REGARDING LAWRENCE J. WOLF;<br>GERALD E. WORTMAN; SHERMAN<br>COUNTY MANAGEMENT INC;<br>SHERMAN COUNTY BANK; AND PRIME<br>TRADING COMPANY INC.                         | 10-0138 | 09/30/2010 | TOTAL GRANT                |
| RAVNITZKY,<br>MICHAEL   |  | 08/19/2010 | REQUEST FOR A COPY OF EACH ETHICS<br>WAIVER PROVIDED AT THE CFTC SINCE<br>JANUARY 1, 2001.   | 10-0139 | 09/07/2010 | NO RESPONSIVE<br>DOCUMENTS |
| GRAIFMAN,<br>BRIAN      | GUSRAE,<br>KAPLAN &<br>BRUNO &<br>NUSBAUM PPLC | 08/20/2010 | REQUEST FOR ANY SUBMISSIONS BY<br>NYMEX OR CME REGARDING: NYMEX<br>RULE 8.03; CME RULE408.C; NYMEX<br>RULE 8.26; AND CME RULE 411.   | 10-0141 | 09/10/2010 | TOTAL GRANT                |







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| WHITE, MARIA      |  | 08/23/2010 | REQUEST FOR REGISTRATION AND FILINGS FOR SHUTCO BROKERAGE AT THE CME FROM APRIL 1994 - JANUARY 1996, PARTICULARLY ANY SANCTIONS OR DISCIPLINARY ACTIONS AGAINST THE COMPANY OR ITS OFFICERS.   | 10-0142 | 09/07/2010 | NO RESPONSIVE DOCUMENTS |
| SARELSON, MATTHEW | SARELSON LAW FIRM                      | 08/27/2010 | Request all documents relating to any investigation into Larry M. Webman; Melvin Webman and Lyle Wexler in CFTC v. Webman, et al.  | 10-0144 | Open       |                         |
| KIETA, KRISTINE   | SHEPHERD, SMITH, EDWARDS & KANTAS, LLP | 08/31/2010 | Request all public and non-public records for: Velocity Futures, LP or Velocity Futures, LLC (NFA ID #0317696); Jack Edward Earnest (NFA ID # 0317697) ; and Norbert Grupe (NFA ID # 0038749).   | 10-0145 | 11/09/2010 | PARTIAL GRANT           |
| STEIN, DAVID      |  | 09/02/2010 | Request Peregrine Financial Group Inc. Focus Reports or 1-FRs for the periods ended 12/31/09 and 7/31/10.  | 10-0146 | 09/20/2010 | PARTIAL GRANT           |
| STEIN, DAVID      |  | 09/02/2010 | Request for Penson, GHCO Focus Reports or 1 FRs for the periods ended 12/31/09 and 7/31/10.  | 10-0147 | 09/20/2010 | PARTIAL GRANT           |
| NICELY, JANICE    | LRP Publications                       | 09/02/2010 | Request for documents issued from the CFTC (new or updated) between 4/1/09 - 8/31/2010: Employee Handbook, Personnel Instructions, Policies, Memoranda, Records, Management Directives & any additional employee manuals, guides, or arbitration awards. | 10-0148 | 09/20/2010 | TOTAL GRANT             |

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| MORGANO, PETER   | FIRST ADVANTAGE INVESTIGATIVE SERVICES | 09/03/2010 | REQUEST FORWARDED FROM NFA FOR REGISTRATION DOCUMENTS FOR CHARLES E. DAVIDSON, NFA# 198322.   | 10-0143 | 09/20/2010 | TOTAL GRANT             |
| SMATHERS, JASON  |  | 09/03/2010 | REQUEST FOR A COPY OF A LOG OF ALL FOIA REQUEST RECEIVED BY CFTC IN AUGUST 2010.  | 10-0149 | 09/03/2010 | TOTAL GRANT             |
| GOODRICH, JARY   |  | 09/03/2010 | REQUEST FOR INFORMATIONAL MATERIAL.   | 10-0151 | 09/07/2010 | INFORMATIONAL BROCHURES |
| WHITE, MARIA     |  | 09/07/2010 | REQUEST ANY RECORDS OR REGISTRATIONS FOR DOUGLAS A. DUCEY, BORN APRIL 1964.   | 10-0152 | 12/8/2010  | NO RESPONSIVE DOCUMENTS |
| SMATHERS, JASON  |  | 09/10/2010 | REQUEST FOR ALL FOIA REQUEST WHERE THE REQUEST AROUSED THE SUSPICION OF THE PERSON OR AGENCY WHO RECEIVED THE FOIA AND WHERE THE REQUEST WAS PROVIDED TO AN INVESTIGATOR OR INVESTIGATIVE AGENCY TO DETERMINE IF THE REQUEST WAS FOR CRIMINAL PURPOSES. | 10-0153 | 09/10/2010 | NO RESPONSIVE DOCUMENTS |
| STACHEWICZ, JEFF | FOIA GROUP INC.                        | 09/13/2010 | REQUEST FOR A FINAL CONTRACTOR PERFORMANCE RATING REPORTS FOR THE MOST RECENTLY 3 YEAR PERIOD.  | 10-0154 | 09/30/2010 | NO RESPONSIVE DOCUMENTS |
| PESSIN, ADAM     | FINE KAPLAN AND BLACK                  | 09/14/2010 | REQUEST FOR INFORMATION REGARDING "QUOTE STUFFING" AND/OR "LATENCY ARBITRAGE" AND/OR FINRA CASE #20070076782-01 (TRILLIUM BROKERAGE) THAT WERE COMPILED SINCE JANUARY 1, 2009.  | 10-0155 | Open       |                         |



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| CHICCO, MEG         | DECHERT             | 09/21/2010 | REQUEST FORWARDED FROM THE SECRETARIAT'S OFFICE FOR AN ORDER DATE 2/9/83 IN REPARATION #77-269.   | 10-0156 | 09/21/2010 | TOTAL GRANT             |
| LYNCH, SARAH N.     | DOW JONES NEWSWIRES | 09/23/2010 | REQUEST FOR ALL NOTICES ISSUED TO EXCHANGES AND CLEARINGHOUSES DMO NOTIFYING THEY WERE IN VIOLATION OF A CORE PRINCIPLE(S), FROM WHEN CFMA OF 2000 TOOK EFFECT THROUGH SEPTEMBER 24, 2010; COPIES OF RESPONSES FROM ENTITIES SHOWING PROOF OF CORRECTIVE ACTION | 10-0157 | 2/2/2011   | NO RESPONSIVE DOCUMENTS |
| EATON, EVELINE      |                     | 09/28/2010 | REQUEST FOR PASSPORT INFORMATION.   | 10-0158 | 09/30/2010 | NO RESPONSIVE DOCUMENTS |
| PITTMAN, KELLY GENE |                     | 09/29/2010 | REQUEST FOR ANY INFORMATION LINKING ME TO ANY ONGOING INVESTIGATION/STUDIES INVOLVING MILITARY'S "NON-LETHAL WEAPONS PROGRAMS", BEHAVIORIAL MODIFICATION, THE USE OF ELECTROMAGNETIC, STATIC, MICROWAVE , BIOCHEMICAL, MICROCHIP TECHNOLOGIES, AND CIA,,<br>ETC | 10-0159 | 09/30/2010 | NO RESPONSIVE DOCUMENTS |

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| Jones, Nate          | 10/1/2010  | Request for all documents related to "the several specific steps" that White House Chief of Staff Rahm Emanuel and White House Counsel to the President Bob Bauer instructed your agency to take in a March 16, 2010 memo to all agency and department heads. | 11-00002-FOIA | 10/18/2010 | Granted in Full                                |
| Wang, Qin            | 10/7/2010  | Request for tick data on E-mini SP500 futures from 1997 to 2009.  | 11-00003-FOIA | 12/20/2010 | DENIED<br>PURSUANT TO<br>EXEMPTIONS 3<br>AND 4 |
| Moldzio,<br>Guenter  | 10/7/2010  | Request for documents relating to Soaring Phoenix.  | 11-00004-FOIA | 10/19/2010 | GRANTED IN<br>PART; DENIED IN<br>PART          |
| Wybiral, Leslie      | 10/7/2010  | Request for information, records, and/or testimony concerning, relating to, and/or produced in connection with the following proceeding: In the Matter of Rosenthal Collins Group, LLC, CFTC Docket No. 10-21.  | 11-00005-FOIA | Open       | Assigned                                       |
| Armbruster,<br>Janet | 10/12/2010 | Request for any document between the North American Derivatives Exchange ("Nadex") and the Chicago Mercantile Exchange Group Inc. or any of its subsidiaries.   | 11-00006-FOIA | 1/13/2011  | NO RESPONSIVE<br>DOCUMENTS                     |

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| Barr, David        | 10/14/2010 | Request for any and all records of communication between CFTC and Mitchell Elias Daniels Jr., Piyush Jindal, Sarah Louise Palin, Timothy James Pawlenty, John Randolph Thune, Michael Dale Huckabee, Willard Mitt Romney, Newton Leroy Gingrich, and Haley Reeves Barbour.  | 11-00007-FOIA | 12/17/2010 | GRANTED IN FULL         |
| Falis, Melvin      | 10/18/2010 | Request for memo dated January 29, 2008, from the CFTC Division of Market Oversight to the Commission relating to a review of changes to the CBOT and CME rules in the rulebook harmonization process. This memo was referred to at footnote 4 page 8 of the Rule Enforcement Review of the CBO and CME by DMO, dated September 13, 2010. | 11-00008-FOIA | Open       | Assigned                |
| Boulange, Deondrea | 12/9/2010  | Request for any information CFTC has regarding Deondrea Brother Boulange.   | 11-00008-FPA  | 1/18/2011  | NO RESPONSIVE DOCUMENTS |
| Mason, Michael     | 10/21/2010 | Request for names and titles of all the former listed principals and any former listed holding company(s) for Hedgepoint Partners LLC, NFA# 354007.   | 11-00010-FOIA | 10/27/2010 | REQUEST WITHDRAWN       |
| Mattioli, Dianne   | 10/21/2010 | Request for information regarding Moore Capital Management LP, civil case number 10CV3617 from US District Court for the Southern District of New York, particularly whether CFTC has a current investigation against Moore (more current than CFTC Docket No: 10-09).  | 11-00011-FOIA | 10/26/2010 | REQUEST WITHDRAWN       |

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| Mertens,<br>Juergen     | 10/22/2010 | Request for information on Wolfgang Flotto, Wolfgang Floetl, or Wolfgang K. Flottl.   | 11-00012-FOIA | 11/18/2010 | NO RESPONSIVE DOCUMENTS |
| Kempf, Robin            | 10/29/2010 | Request for OIG information for 2005 - 2010.  | 11-00013-FOIA | 11/24/2010 | GRANTED IN FULL         |
| McGrath,<br>Christopher | 11/2/2010  | Request for information relied on by the CFTC in its Order Instituting Proceedings Making Findings and Imposing Remedial Sanctions dated November 13, 2009, in the Matter of EMI Financial Products LLC, Docket No. 10-02; Information concerning the trading and expiration of the September 2005 10-year Treasury Note Futures Contract traded on CBOT, the trading of the cheapest-to-deliver note underlying the September Contract, information concerning any deliveries on the September Contract, and information concerning communications of EMI Financial Products LLC relating to the September Contract or the CTD note underlying the September Contract. | 11-00014-FOIA | Open       | Assigned                |
| Pichardo,<br>Vianny     | 10/29/2010 | Request for any and all purchase orders, delivery orders, and/or contracts entered into within the past ten years where CFTC and Verizon Communications Inc. were parties.  | 11-00015-FOIA | 12/8/2010  | GRANTED IN FULL         |

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| Levy, Susan        | 11/8/2010  | Request for all documents in connection with the action entitled In the Matter of Moore Capital Management LP, Moore Capital Advisors LLC and Moore Admisors Ltd., docket no. 10-09          | 11-00016-FOIA | 12/7/2010  | WITHHELD IN TOTAL       |
| Corcoran, Andrea   | 11/8/2010  | Request for the March 13, 2009 Promontory Report sent to Sarah Lynch in response to FOIA No. 10-0114 on 10/28/2010.  | 11-00017-FOIA | 11/10/2010 | GRANTED IN FULL         |
| Evratt, Maureen    | 11/10/2010 | Request for 1-FR for Refco for the period of 3/1/2004 - 2/28/2005.   | 11-00018-FOIA | 11/16/2010 | GRANTED IN FULL         |
| Levy, Susan        | 11/12/2010 | Request for documents pertaining to MF Global Ltd.   | 11-00019-FOIA | 12/23/2010 | DENIED IN FULL          |
| Bass, Frank        | 11/16/2010 | Request for copies of correspondence to the CFTC between January 1, 2010 - present from various US House Representatives.  | 11-00021-FOIA | 12/8/2010  | NO RESPONSIVE DOCUMENTS |
| Mattingly, Phil    | 11/11/2010 | Request for any and all correspondence sent to the Commission or to any of the Commissioners from members or staff of the U.S. House and the U.S. Senate from June 1, 2010-Novemeber 1, 2010 | 11-00022-FOIA | 12/17/2010 | GRANTED IN FULL         |
| Carstarphen, Adlai | 11/17/2010 | Request for CFTC requirements for starting a commodity exchange  | 11-00023-FOIA | 12/8/2010  | NO RESPONSIVE DOCUMENTS |
| Hall, Heather      | 11/19/2010 | Request for the CFTC decision Docket No. 93-5 dated December 5, 1996   | 11-00024-FOIA | 12/15/2010 | GRANTED IN FULL         |
| Kempf, Robin       | 11/22/2010 | Request for the CFTC OIG semiannual for the period ending September 30, 2005.  | 11-00026-FOIA | 11/30/2010 | GRANTED IN FULL         |
| Thompson, Mark     | 11/30/2010 | Request for informational material.  | 11-00027-FOIA | 11/30/2010 | GRANTED IN FULL         |

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| Ortiz, Jonas        | 11/30/2010 | Request for informational material.  | 11-00028-FOIA | 11/30/2010 | GRANTED IN FULL  |
| Cobb, Wendy         | 12/9/2010  | Request for names, job descriptions and salaries of all CFTC Administrative Asst. and Staff Asst. grade 9 - 11   | 11-00029-FOIA | 12/23/2010 | GRANTED IN FULL  |
| Brush, Silla        | 12/10/2010 | Request for any and all records relating to the CFTC's referral of forged letters to the US Justice Department on December 1.                          | 11-00030-FOIA | 12/17/2010 | DENIED IN FULL   |
| Muchoney, Jennifer  | 12/3/2010  | Request forwarded from NFA for non-public documents on file for Steven Brewer.   | 11-00034-FOIA | 12/15/2010 | GRANTED IN PART; DENIED IN PART                            |
| Bornstein, Jonathan | 12/16/2010 | Request for 5 copies of CFTC's directory.  | 11-00036-FOIA | 12/22/2010 | NO RESPONSIVE DOCUMENTS                                    |
| Albone, D.          | 12/22/2010 | Requester states that she is a teacher whose class is studying aspects of the US government; she seeks information regarding CFTC's area of expertise. | 11-00037-FOIA | 12/23/2010 | GRANTED IN FULL  |
| ellington, lamar    | 1/5/2011   | Requester seeks information on import-export of onions between the U.S and India   | 11-00038-FOIA | 1/13/2011  | NO RESPONSIVE DOCUMENTS                                    |
| Phillips, G.        | 1/11/2011  | Request for general information on trading commodity futures   | 11-00039-FOIA | 1/11/2011  | GRANTED IN FULL  |
| Warsing, Jeffrey    | 1/7/2011   | 11-00040-FOIA Incoming Letter  | 11-00040-FOIA | 1/24/2011  | GRANTED; CERTAIN PORTIONS REDACTED PURSUANT TO EXEMPTION 6 |

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| Wilson, Duncan | 1/19/2011 | Request for information on the CFTC's investigation into the 'flash crash' of May 6, 2010 and the CFTC's efforts to restore market stability and confidence. Requestor seeks: CFTC records referred to the Treasury and the National Economic Council pertaining to the market events of May 6, 2010; CFTC records of meetings with chief executives of trading venues on May 10, 2010; CFTC records of interviews with market participants; and CFTC records of communications with significant market participants | 11-00041-FOIA | Open      |                         |
| Thomas, Nancy  | 1/18/2011 | Requestor seeks a copy of the internal CFTC report prepared by the Promontory Financial Group and is referenced in the Dow Jones Newswires article dated November 12, 2010   | 11-00042-FOIA | Open      |                         |
| Spillane, J.   | 1/18/2011 | Requestor seeks a true copy (from the negatives) of his photo which he states are attached to his email request  | 11-00043-FOIA | 1/20/2011 | NO RESPONSIVE DOCUMENTS |

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| Slipakoff, Brian | 1/19/2011 | Requestor Seeks Interrogatories, Requests for Production of Documents and Tangible Things, and/or Requests for Admission, as well as Answers, Responses, or Objections Thereto Sent and Received by the Commission in the Lawsuit Captioned CFTC v. Sentinel Management, et al., No. 08CV2410 (Northern Dist. of Ill.)  | 11-00044-FOIA Open |
| Aripoli, Scott   | 1/20/2011 | Requestor Seeks all Documents and Information Related to the CFTC's Investigation of Dairy Farmers of America, Inc. and Its Officers Gary Hanman and Gerald Bos Resulting in the December 16, 2008 CFTC Order, Docket No. 09-02   | 11-00045-FOIA Open |
| Homer, Peter     | 1/21/2011 | Requestors Seeks Any Documents, Communications, Correspondence, Notes of Telephone Conversations, Affidavits, Declarations, Transcripts, Witness Statements or Customer Complaints in Connection with Violations of the Commodity Exchange Act by Global Asset Management, Inc., American Precious Metals, Inc., Berkshire Asset Management, LLC, Diversified Precious Metals International, Inc., International Metals Management, Leland National Gold Exchange, and United States Metal Corporation. | 11-00046-FOIA Open |



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| Estrada, Joan     | 1/21/2011 | Requestor Seeks Invoices for Furniture Cleaning, Carpet Cleaning and Installation and Repair Services Performed Within the Last Two Years   | 11-00047-FOIA | Open      |                         |
| Davis, Michael    | 1/21/2011 | Request for General Information on Commodity Pools, Commodity Pool Operators, and Commodity Trading Advisors  | 11-00048-FOIA | 1/25/2011 | GRANTED IN FULL         |
| Woodward, Amy     | 1/25/2011 | Request for A Copy of the Commodity Futures Trading Commission's FOIA Log from July 1, 2010 to January 1, 2011  | 11-00049-FOIA | Open      |                         |
| Keegan, Heather   | 1/25/2011 | Request for Financial Pool Reports of Spark Management, LP  | 11-00050-FOIA | Open      |                         |
| Briganti, Vincent | 1/28/2011 | Requests Information, Documents, Records, and/or Testimony Concerning, Relating to, and/or Produced In the Matter of Andrew W. Daniels, Edward L. Taylor, Glenn A. Swanson, Global Asset Advisors d/b/a Daniels Trading, and Daniels Trading Group LLC. CFTC Docket No. 11-05 | 11-00051-FOIA | Open      |                         |
| Shults, G. Adam   | 1/31/2011 | Request for I-130 Form for Jagruti Patel (WAC-05-029-53370_   | 11-00052-FOIA | 1/31/2011 | NO RESPONSIVE DOCUMENTS |
| Bergin, Tom       | 1/31/2011 | Request a Copy of Notes Taken by CFTC Staff After Review of Internal Review by KPMG of BP's Energy Trading Practices in 2006  | 11-00053-FOIA | Open      |                         |
| Boneau, Craig     | 2/1/2011  | Request for Documents Pertaining to Futures Trading Activities Engaged in by Agape World  | 11-00054-FOIA | Open      |                         |

|                     |          |  |               |          |                            |
|---------------------|----------|--|---------------|----------|----------------------------|
| Stousland,<br>Grant | 2/4/2011 | Request for the Names of Individuals<br>Who Received Relief from the<br>Judgment Against the Defendants in<br>CFTC v. FTI Financial Group, et al., (97-<br>Civ-7061) | 11-00055-FOIA | Open     |                            |
| Homer, Peter        | 2/4/2011 | Request for Copy of Leverage<br>Contract(s) Submitted with an<br>Applicatoin to Register a Leverage<br>Commodity   | 11-00056-FOIA | Open     | Request for Docs<br>Sent   |
| Gulotta,<br>Andrew  | 2/4/2011 | Request for Information or Records of<br>all Currently Registered Series-3<br>Brokers  | 11-00057-FOIA | 2/8/2011 | NO RESPONSIVE<br>DOCUMENTS |
| Ciavolella, John    | 2/4/2011 | Request for the Results of the<br>Investigation of Mike Dumitru &<br>International Currency Market<br>Management, Corp.  | 11-00058-FOIA | Open     |                            |