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Description of document: **FOIA CASE LOGS for: the Commodity Futures Trading Commission (CFTC), Washington, DC for FY2005 – FY2007**

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Source of document: Assistant Secretary for FOIA Matters  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st Street, NW  
Washington, DC 20581

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From: "Easter, Stacy" <seaster@CFTC.gov>  
Date: 2007/12/11 Tue AM 06:38:21 CST  
Subject: CFTC FOIA No.: 08-0030

This e-mail is in final response to your October 21, 2007, Freedom of Information Act for the FOIA case log for FY 2005 - 2007.

Commission staff has identified material responsive to your request and has determined that your request should be grant in part and denied in part. Information regarding FOIA requests also made pursuant to the Privacy Act has been redacted from the logs pursuant to exemption 6 of the Freedom of Information Act, 5 U.S.C. § 552(b)(6), pertaining to information the release of which would constitute an unwarranted invasion of personal privacy. A copy of the responsive material, totaling 63 pages, is attached.

You may, if you wish, file an appeal for access to information denied you by this letter. Your appeal must be filed within 30 days of the date of this letter. Your appeal must be in writing and must contain a statement of the grounds upon which you are basing your appeal. Please refer to the FOIA number that has been assigned to this request (FOIA No. 08-0030). Your appeal should be addressed: Freedom of Information Act Appeal, Office of the General Counsel, Commodity Futures Trading Commission, Three Lafayette Centre, 8th Floor, 1155 - 21st Street, N.W., Washington, D.C. 20581. Please send a copy of your appeal to the FOIA Compliance Staff, Commodity Futures Trading Commission, Three Lafayette Centre, 8th Floor, 1155 - 21st Street, N.W., Washington, D.C. 20581. Questions concerning the processing of an appeal should be directed to the Office of the General Counsel at (202) 418-5120.

Please direct any questions you may have concerning the initial processing of your request to me.

Sincerely,

Stacy J. Easter  
Paralegal Specialist  
CFTC - FOIA Compliance Office  
1155 21st Street, NW  
Washington, DC 20581  
202-418-5011 (office)  
202-418-5543 (fax)

# CFTC FOIA REQUESTS: FY 2005 through FY 2007

<b>FOIA Number</b>	<b>Date Received</b>	<b>Requester</b>	<b>Subject</b>	<b>Final Disposition</b>
05-0001	10/5/2004	CROWLEY, SHARON	REQUEST FOR ALL COMPLAINTS FILED FOR DOCKET NO. 01-21 AND 01-23.	TOTAL GRANT
05-0002	10/6/2004	GOLDSTEIN, SIDNEY S.	REQUEST FOR ALL DOCUMENTS RELATING TO INTERPRETATIVE LETTER NO. 03-31 DATED AUGUST 25, 2003.	TOTAL DENIAL
05-0003	10/8/2004	IVANS, RONALD	REQUEST FOR FORM 1-FR AS OF AUGUST 31, 2004 FOR: AETNA INVESTIGATIONS, BANC OF AMERICA FUTURES INC., CALYON FINANCIAL INC., CARGILL INVESTOR SERVICES INC., FC STONE LLC, FIMAT USA INC., ET AL.	PARTIAL GRANT
05-0004	10/13/2004	MAISANO, KIM	REQUEST A COPY OF THE CREDIT CARD HOLDER'S LIST WITH NAME ADDRESSES AND PHONE NUMBERS.	TOTAL GRANT
05-0005	10/13/2004	DICKERSON, A.	REQUEST FOR CFTC FORM 40 STATEMENT OF REPORTING TRADING 62K AND CFTC FORM 102 - IDENTIFICATION OF SPECIAL ACCOUNTS	TOTAL GRANT
05-0006	10/13/2004	BATEMAN, JODY	REQUEST FOR A LIST OF THE GOVERNMENT PURCHASE CARDHOLDERS, PHONE NUMBERS, EMAIL AND MAILING ADDRESSES	TOTAL GRANT
05-0007	10/13/2004	PESCH, CHRISTOPHER	REQUEST FOR ALL DOCUMENTS FILED BY ENERGYCLEAR CORPORATION RELATING TO ITS APPLICATION FOR REGISTRATION AS A DERIVATIVE CLEARING ORGANIZATION INCLUDING BUT NOT LIMITED TO THE ACTUAL APPLICATION.	PARTIAL GRANT
05-0008	10/13/2004	HOLMES, ETHAN	REQUEST FOR ENERGY GROUP PETITION FOR EXEMPTIVE RELIEF (93--006, NC01)	TOTAL GRANT
05-0009	10/15/2004	MOONEY, TIM	REQUEST FOR THE APPLICATION BY OPTIONS CLEARING CORPORATION TO CFTC FOR PERMISSION TO REGISTER AS A DERIVATIVES CLEARING ORGANIZATION	WITHDRAWN

<b>FOIA Number</b>	<b>Date Received</b>	<b>Requester</b>	<b>Subject</b>	<b>Final Disposition</b>
05-0010	10/19/2004	MICKELS, CHARLES G.	REQUEST FOR MAN FINANCIAL TRADES IN " FROZEN CONCENTRATED JUICE " ON JUNE 15, 2004	TOTAL GRANT
05-0011	10/19/2004	RAVNITZKY, MICHAEL	REQUEST FOR RECORDS CONCERNING "REJECTED" TRADING MARKETS OR TRADING COMMODITIES, CFTC LIBRARY CATALOGUE AND MOST RECENT EXECUTIVE DIRECTOR REPORT	TOTAL GRANT
05-0012	10/22/2004	HARGREAVES, CLARE	REQUEST FOR MEMORANDUMS OF UNDERSTANDING REGARDING CO- OPERATION BETWEEN INTERNATIONAL REGULATORY AUTHORITIES	TOTAL GRANT
05-0013	10/20/2004	TSUKADA, YOHEI	REQUEST FOR NYMEX FUTURES AND OPTION CONTRACTS OF CRUDE OIL, WTI MIDLAND AND COMEX FUTURES AND OPTION CONTRACTS OF CRUDE OIL AND DUBAI.	NO RESPONSIVE DOCUMENT
05-0014	10/19/2004	SANCHEZ, VERONICA	REQUEST FOR A STUDY OF THE NATURE, EXTENT AND EFFECTS OF FUTURES TRADING.	TOTAL GRANT
05-0015	10/27/2004	RUCKMAN, ERIC	REQUEST FOR INFORMATION ABOUT MRS. MARIA ROSEN	PARTIAL GRANT
05-0016	10/27/2004	MATIASH, GRETA	REQUEST FOR A COPY OF REFCO'S MOST RECENT FINANCIAL STATEMENT	PARTIAL GRANT
05-0017	10/28/2004	DRAKE, JEFFREY M.	REQUEST FOR VOLUME STATISTICS OF CBOT AND CME FROM 1990 TO PRESENT	TOTAL GRANT
05-0018	10/28/2004	NELSON, JOHN	REQUEST FOR INFORMATION REGARDING THE LEXIS NEXIS CONTRACT FOR A DATABASE OF CFTC'S HISTORIC LEGISLATIVE DOCUMENTS	PARTIAL GRANT
05-0019	10/29/2004	NASTASI, JAMES	REQUEST FOR EXHIBITS FROM 2002 TESTIMONY OF THREE WITNESSES BEFORE THE CFTC IN HEARING TITLED "IN THE MATTER OF ENRON CORP." DOCKET NO. PA 02-02	PARTIAL GRANT

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05-0020	11/2/2004	CARROLL, BRENDEN	REQUEST FOR NOTICE FILED UNDER 17 C.F.R 4.14(A)(8), EXEMPTION FROM REGISTRATION AS A COMMODITY TRADING ADVISOR FOR BOSTON MANAGEMENT AND RESEARCH; AND EATON VANCE MANAGEMENT.	TOTAL GRANT
05-0021	11/3/2004	SAPHIR, ANN	REQUEST FOR NYMEX'S FILING OF CONFIDENTIAL TREATMENT FOR DUBLIN OPERATION AND THE LETTER SUBMITTED TO FOIA THAT INCLUDES ITS JUSTIFICATION	PARTIAL GRANT
05-0022	11/5/2004	CROWLEY, SHARON	REQUEST FOR LETTER FROM JOSHUA M. COHN, ALLEN & OVERY COUNSEL TO NOS CLEARING TO JEAN WEBB DATED DECEMBER 21, 2001 WITH EXHIBITS	PARTIAL GRANT
05-0023	11/5/2004	KAPLAN, JERROLD	REQUEST FOR CASE NO. 0461235 INJUNCTIVE ACTION FILED ON 09/16/04 IN THE SOUTHERN DISTRICT OF FLORIDA AGAINST RANDY JAY BURSTEIN, LESLIE DONALD WEINER, TED LAMAR ROMEO, AND NADAR YAZDANI, ET AL	WITHDRAWN
05-0024	11/8/2004	BELMONT, WILLIAM	REQUEST FOR INFORMATION REGARDING CASE NO. 80-28 AND 80-31 DATED 03/27/1986 REGARDING RICHARD BUCCELLATO.	WITHDRAWN
05-0025	11/9/2004	TALBOT, STEPHEN	REQUEST FOR FINANCIAL STATEMENTS FROM FUTUREWISE TRADING GROUP, INC. AND FUTUREWISE LIMITED PARTNERSHIP.	PARTIAL GRANT
05-0026	11/10/2004	USSHER, LEANNE	REQUEST FOR DATA ON INDIVIDUAL TRADER CONTRACT POSITIONS AT ONE POINT IN TIME, AND OVER TIME, FOR A SINGLE FUTURES MARKET/CONTRACT	TOTAL DENIAL
05-0027	11/10/2004	GILBERG, DAVID J.	REQUEST FOR DOCUMENTS REGARDING NYMEX INC. RULE CERTIFICATIONS AND REQUEST FOR COMMISSION RULE APPROVAL FOR NYMEX SUBMISSION NO. 04.147	PARTIAL GRANT
05-0028	11/12/2004	WALDON, MORGAN	REQUEST FOR OFFICIAL DOCUMENTS AND COURT ORDERS FOR BROADSTREET FINANCIAL CORP. AND FIDELITY TRADING GROUP INC.	REFER TO PROCEEDINGS
05-0029	11/16/2004	CROWLEY, SHARON	REQUEST FOR DOCKET SHEET AND ALL COMPLAINTS FILED IN CFTC DOCKET NUMBER 01-22. IN THE MATTER OF JOHNS.	TOTAL GRANT







































































































































