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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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Title of Document CFTC FOIA Requests: FY 2005 through FY 2007

Date/date range of document: 05-October-2004 – 27-September-2007

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

| FOIA Number | Date Received | Requester | Subject | Final Disposition |
|--------------------|----------------------|----------------------|--|--------------------------|
| 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 |

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|------------------------|--------------------------|------------------------|--|--------------------------|
| 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 BUCELLATO. | 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 |

