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Description of document: Complaints received by the Commodity Futures Trading Commission (CFTC) Office of Inspector General (OIG) CY2013-CY2014

Request date: 04-May-2015

Released date: 29-September-2015

Posted date: 02-November-2015

Source of document: Freedom of Information Act Request
FOIA Compliance Office
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street NW
Washington, DC 20581
Email: FOIASubmissions@cftc.gov

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FOIA Office

U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
Telephone: (202) 418-5105
Facsimile: (202) 418-5124
www.cftc.gov

September 29, 2015

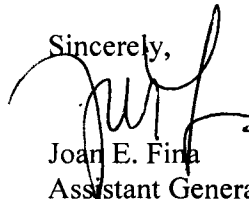
RE: 15-00144-FOIA
Complaints received by the CFTC
OIG during calendar years 2013 and
2014.

This is in response to your request dated May 4, 2015, under the Freedom of Information Act seeking access to copies of the complaints received by the CFTC Office of the Inspector General during calendar years 2013 and 2014. In accordance with the FOIA and agency policy, we have searched our records, as of May 5, 2015, the date we received your request in our FOIA office.

We have located 250 pages of responsive records. The records originated in the Office of the Inspector General and were redacted by that office in black to protect identifying information. I am granting partial access to, and am enclosing copies of, the accessible records. Portions of the records are exempt from release under FOIA Exemption 6, 5 U.S.C. § 552(b)(6), because individuals' right to privacy outweighs the general public's interest in seeing personal identifying information. *See The Lakin Law Firm v. FTC*, 352 F.3d 1122 (7th Cir. 2003). Those portions the FOIA Office determined are exempt, are redacted in a white box with the code (b)(6).

If you are not satisfied with this response to your request, you may appeal by writing to 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, within 30 days of the date of this letter. Please enclose a copy of your original request and a copy of this response. If you believe that we should choose to disclose additional materials beyond what the FOIA requires, please explain why this would be in the public interest.

If you have any questions about the way we handled your request, or about our FOIA regulations or procedures, please contact Linda Mauldin at 202-418-5497

Sincerely,

Joan E. Fina
Assistant General Counsel

From: OIGEmail
To: Enforcement
Subject: FW: illegal operations
Date: Tuesday, January 22, 2013 2:28:00 PM
Attachments: [REDACTED]

Greetings from CFTC OIG –

This looks more appropriate for you than for us.

judy

From: [REDACTED]
Sent: Thursday, January 17, 2013 3:22 PM
To: OIGEmail
Subject: illegal operations

Dear,

Im getting offers from [REDACTED] forex broker, he say have offices in NY, Im check the NFA and CFTC website and this company not have llicense or are registered in USA.

Please check the file attached and also you can check the contact details webpage of the broker.

[REDACTED]

Kind Regards.

[REDACTED]

-->

Ringle, Judith A

From: Baptiste, Tony
Sent: Tuesday, January 22, 2013 1:11 PM
To: Lavik, A. Roy; Ringle, Judith A; Kelley, Edward; ED kelley ([REDACTED])
Subject: New Anonymous Complaint received today

This morning [REDACTED] informed me that he has concerns about "Excessive" travel scheduled to be taken by [REDACTED] in Fiscal Year 2013 specifically, two ([REDACTED]) out of four trips for [REDACTED]. According to [REDACTED], in recent memory, no one else in [REDACTED] has taken this level of foreign travel and [REDACTED] is consuming approximately [REDACTED] % of the FY 13 [REDACTED] travel budget of [REDACTED]. Further, [REDACTED] has not conveyed to other managers (including [REDACTED]) the purpose for his trips.

[REDACTED] feels that there may not be a business reason for the overseas trips and that "excessive" staff time is devoted to planning and executing the foreign trips. [REDACTED] requested anonymity because he fears repercussions from him disclosing this information. I did ask if [REDACTED] had approved the [REDACTED] trips. [REDACTED] said that he didn't know. [REDACTED] did not have information regarding [REDACTED] trips during FY2012. I also told [REDACTED] that I will NOT get back to him on any findings related to this matter.

If [REDACTED] approved the trips then very little could be said about [REDACTED] trips.

From: Baptiste, Tony
To: Adamske, Steven
Subject: FW: report fraud, waste and abuse at CFTC
Date: Thursday, January 24, 2013 2:41:00 PM

Steve,

This request may be more appropriate for your office. If it is not, please let me know and I will try to find someone else to help this person.

Tony

From: [REDACTED] [mailto:[REDACTED]]
Sent: Thursday, January 24, 2013 2:25 PM
To: OIGEmail
Subject: OIG: report fraud, waste and abuse at CFTC

Is there a way for me to learn about the numbers of CFTC regulatory findings in recent years relating to broker-dealers and the actions taken by the CFTC as a result? Any kind of report I might be able view on the website or elsewhere?



The information contained in this electronic message and/or its attachments is intended for the named recipient(s) only. The electronic message and/or its attachments may contain confidential, non-public or privileged information disclosure of which is restricted by applicable law, including the federal securities laws. If you are not an intended recipient, or the employee or agent responsible for delivering this message to the intended recipient(s), do not copy, distribute or rely on the information contained herein. If you have received this message in error, please notify the sender immediately by reply and immediately delete this message and any attachments. Unless otherwise noted, any views expressed in this message and/or its attachments are those of the author and do not necessarily reflect the views of the [REDACTED] or its staff.

From: [REDACTED]
To: [OIGEmail](#)
Cc: [Baptiste, Tony](#)
Date: Tuesday, November 26, 2013 10:37:32 AM
Attachments: [Employee suggestion to reduce waste.pdf](#)

Roy, Judy and Tony,

I attach a copy of my suggest to reduce waste on unused office space. Of course, you would find window offices on another floor!

[REDACTED]



Employee Suggestions

 Edit Response

Employee Name (Last, First Middle)	[REDACTED]
My Suggestion will:	[REDACTED]
Problem.	[REDACTED]
Suggestion.	[REDACTED]
Savings and/or benefit.	[REDACTED]
CFIC Email Address	[REDACTED]
Phone Number (XXX-XXX-XXXX)	[REDACTED]
Position Title	[REDACTED]
Occupational Series	[REDACTED]
Grade	[REDACTED]
Location	[REDACTED]
Division/Office	[REDACTED]
Reference Number (HR Use Only)	[REDACTED]

Created at [REDACTED]
Last Modified [REDACTED]

From: Gomersall, Patricia A.
Sent: Tuesday, November 05, 2013 9:14 AM
To: Ringle, Judith A
Cc: Malas, George; Ricci, Charles A.
Subject: RE: Call to my direct line

Thanks Judy!!

From: Ringle, Judith A
Sent: Monday, November 04, 2013 4:29 PM
To: Gomersall, Patricia A.
Subject: Call to my direct line

I just answered a call from [REDACTED]. He states that he is having problems contacting [REDACTED], [REDACTED], and they owe him money on his account. He is in New Zealand. His phone # in New Zealand is [REDACTED]. His email is [REDACTED]

He said he has also left voicemail with CFTC Enforcement.

I noticed CFTC sanctioned a company named [REDACTED]. I have no idea if it is the same outfit.

[REDACTED]

Judy Ringle x5109



U.S. Department of Justice

RECEIVED
Office of the Inspector General

2013 DEC 11 Investigations Division
5:20

OIG 1425 New York Avenue NW, Suite 7100
Washington, D.C. 20530

November 6, 2013

Commodity Futures Trading Commission
Office of the Inspector General
3 Lafayette Center
1155 21st Street
Washington, DC 20581

Dear Inspector General:

The Department of Justice, Office of the Inspector General (DOJ/OIG) received the attached correspondence. The issues raised are not within the jurisdiction of the DOJ/OIG. These matters may, however, be within the jurisdiction of your office. Therefore, we are forwarding this material to you for whatever action you deem appropriate.

The Inspector General Act requires that the identity of complainants not be disclosed unless disclosure is unavoidable during the course of an investigation. Please keep this request in mind in connection with any action that you should take regarding this matter.

Please refer to OIG file No. 2014-00923 in any correspondence relating to this matter.

Sincerely,

Office of the Inspector General
Investigations Division

Attachment

X - CFTC
ackno

February 14th, 2013

Mr. Thomas F. McLaughlin
Assistant Inspector General, Investigations Division
Office of Inspector General
950 Pennsylvania Ave., NW
Washington, DC 20530

Re: Publishing of Plea Agreement by Commodity Futures Trading Commission

Dear Mr. McLaughlin:

While in prison, the possession of one's plea agreement was a punishable offense. The information therein was considered extremely dangerous and potentially lethal.

[REDACTED] of the quasi-governmental CFTC, which initiated charges against me seven years ago, has now published my plea agreement on-line. If the danger within prison walls is considered potentially mortal by having that information in one's possession, is it any less so giving it to the world?

[REDACTED] assigns, have also posted anew, almost seven years later, the publicity of the charges made by [REDACTED] agency back in 2006. Not one of [REDACTED] charges survived the scrutiny of the adversarial proceedings in [REDACTED]. Not one. They were all proven wholly false, contrived, fabricated, or they were dismissed as unsustainable.

Nonetheless, as I try to recover what remains of my life, the vindictiveness of that agency still haunts me. Attached is the posting by the CFTC, as well as my letter dated July 28, 2012, asking [REDACTED] to end this attack on my person. There has been no response now after almost seven months, so I am filing this complaint.

I have never yet been convicted in or by any court of jurisdiction on any charge, as is the core of current Department of Justice Criminal Complaint [REDACTED], yet I am still pursued and harassed by these same government officials who violated law, Constitution, and due process in the underlying matter.

I ask 1) that this website link be taken down, 2) that the article from 2006 be removed, and 3) that those responsible for this continued attack be investigated for filing charges which were provably untrue back in 2006.

Thank you [REDACTED]
[REDACTED]



Hal Woltz

1

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Page 6 of about 24,300 results (0.32 seconds)



TRULINCS [REDACTED]

FROM: [REDACTED]
TO: [REDACTED]
SUBJECT: Re: CFTC article
DATE: 07/28/2012 07:22:29 PM

July 28, 2012

[REDACTED]
Commodity Futures Trading Commission
525 W. Monroe St., Suite 1100
Chicago, IL 60661

Re: CFTC article posted and being promoted on internet

Dear [REDACTED]

The article published by your agency and office in 2006, and once again being promoted on the internet today, has done me great harm. This new promotion by your staff and/or their private collaborators, will have an even more prejudicial and damaging effect on my life as I try to re-enter society in the days to come. I am to be freed from this wrongful sentence on August 10th.

Your agency never corrected the posting, nor was the public ever told that every single charge contrived by your staff was dismissed as wholly false or unsustainable, or that the most damaging among them (perjury) was conjured by CFTC attorney, [REDACTED] from immaterial responses in my deposition as the commodity scam's largest victim. [REDACTED] redacted my edifying comments which fully told the truth, so that [REDACTED] might claim untruth where none existed. Once those paragraphs were restored, government had to drop all of [REDACTED] contrived charges.

This was a criminal act on the part of attorney [REDACTED] and [REDACTED] collaborators, under 18 U.S.C. sections 241 and 242.

You also never informed the public that all five witnesses present when [REDACTED] falsely alleged that records were taken or that justice had been obstructed, testified in FBI interviews (according to the interviewer) that no such thing ever happened. [REDACTED] collaborator, convicted felon, [REDACTED] confessed to taking the records [REDACTED] then changed [REDACTED] testimony in exchange for not going to prison. This truth was not shared with the public.

The N.C. Western District prosecutor that [REDACTED] convinced to bring these false charges after [REDACTED] was rebuffed by the Middle District office of the U.S. Attorney, has been removed from my case for [REDACTED] misconduct, and more recently, from the Department of Justice as well. The conflicted judge AUSA [REDACTED] "shopped" in a foreign district [REDACTED], after the Western District judge of jurisdiction called your charges "bizarre" and released me on unsecured bond, is now under disqualification proceedings for his part in the prosecutorial and judicial crimes in this case.

In fact, [REDACTED] the entire case is finally under review, after all of these years, due to the unparalleled level of misconduct by government and the court itself. As the docket sheet itself proves, I have never been convicted in or by any court of jurisdiction of any crime, ever, yet I have now spent almost seven years in federal prison, because of a rogue attorney under your supervision, and [REDACTED] private co-conspirator, [REDACTED] who falsely claimed to be a government agent working with [REDACTED] on the case.

I have fought now for almost seven years to right these wrongs, [REDACTED], and I admit, I am tired. You are unlikely to be a part of this most recent effort to continue the vindictive persecution, but I also know that it is within your powers to see that the offending article included herein is removed and expunged from public view. I now ask that you do so, or if it is beyond removal, to have your staff who did this, admit publicly that the charges sought by CFTC attorney [REDACTED] were false, vindictive and unsustainable, as the record proves.

Tired or not, I have no choice now but to press this issue by whatever means are legally available to me, once my status of incapacitation ends on August 10th. Such life-wrecking information which never survived the slightest adversarial process or scrutiny coming to the top of every search of my name on the internet, will prevent my moving forward with life in any sustainable way. This is simply wrong.

If this information is removed and expunged, then I will know that you were not personally a part of the conspiracy or more

[REDACTED]

recent effort to defame me by promoting it once again, and I will move on. If not, then it will be clear that you were or are a part of it, and I will proceed in every venue available to me, including the court(s) of law and public opinion.

I humbly and respectfully ask that you allow me to move on with my life rather than being trapped in more bitter battles with unelected public officials who abuse their authority and discretion. This simple act of removing [REDACTED] initial attack on me – which can all be proven to have been vitriolic and contrived – would go a long way in achieving that goal. As the record clearly proves, I have no fear of any fight with a judge, a prosecutor, or any government bureaucrat who is corrupt and dishonest. I have thrived on that pursuit this past seven years, as they have no place in public office. But I do not relish such an unnecessary battle as this one, which could be avoided so easily by your quasi-federal agency doing the right thing.

Thank you for your consideration and action prior to August 10, 2012.

Sincerely,
[REDACTED]
[REDACTED]

cc: [REDACTED]

From: OIGEmail
To: [REDACTED]
Subject: RE: CTI
Date: Wednesday, February 13, 2013 9:30:00 AM

Dear [REDACTED]:

I have forwarded your email to the CFTC Division of Enforcement (enforcement@cftc.gov). The Office of the Inspector General's job is to combat fraud, waste, and abuse within the Agency, while the Division of Enforcement combats illegal conduct by market professionals.

You may also submit a complaint to the Division of Enforcement as instructed on their webpage:

<http://www.cftc.gov/ConsumerProtection/FileaTiporComplaint/index.htm>

Sincerely,

Judy Ringle, Attorney-Advisor

From: [REDACTED]
Sent: Monday, February 11, 2013 12:01 PM
To: OIGEmail
Subject: CTI

Hello

I attempted to call the 'alleged victims' number [REDACTED] which, it turns out, is unavailable from my calling area.

I too have a [REDACTED] dated 10/31/2010 for a \$6000 fee.

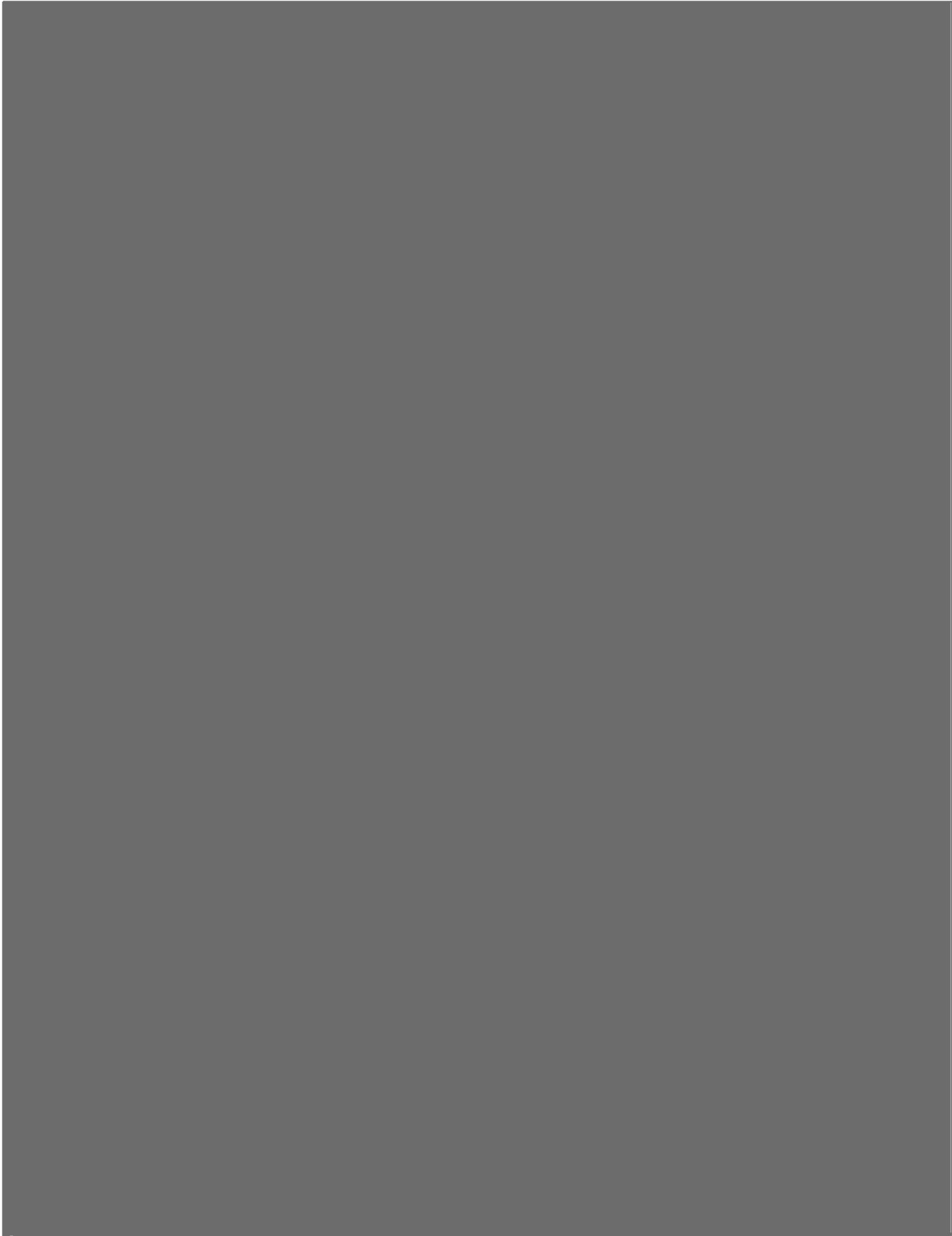
I clearly require advice on how to proceed and would greatly appreciate further direction.

Thank you!

[REDACTED]

Phone/Fax: [REDACTED]

[REDACTED]



Rec'd
FEB 13 2013

Office of Inspector General
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street NW
Washington, DC 20581

To Whom it May Concern:

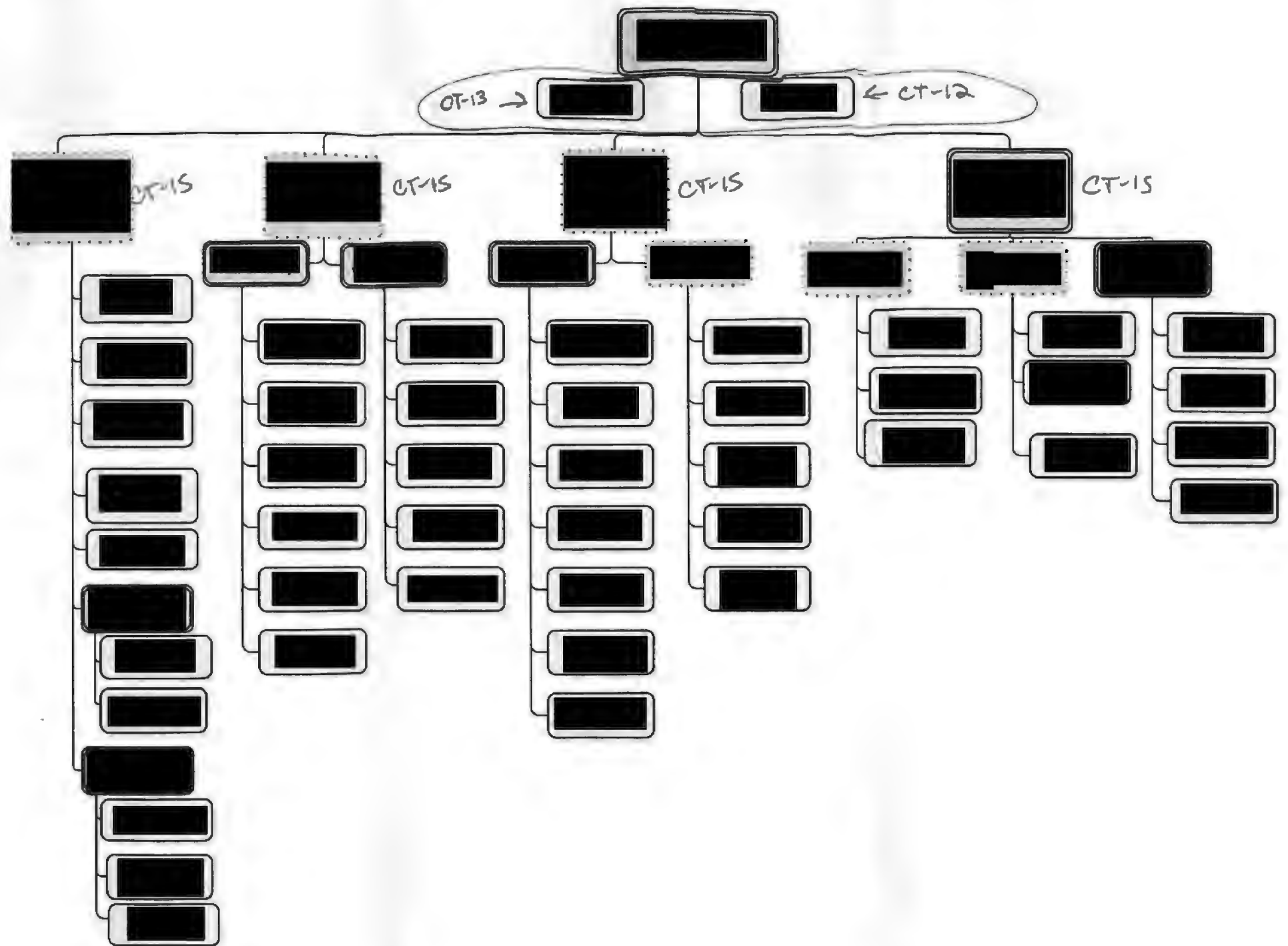
I am writing to notify you of my concerns of abuse in the [REDACTED] at the CFTC. [REDACTED], the [REDACTED] has recently instituted a reorganization of the [REDACTED] (see chart included with this letter). Under this reorganization, he has six direct reports; four [REDACTED]. The other two are [REDACTED]; I think they are a CT-13 and a CT-12. Under the reorganization, they seem to act as his personal secretaries, attending senior staff meetings and doling out assignments. They have the title of [REDACTED] just as all of the other CT-13s and 12s have.

In addition, these [REDACTED] are also part of a group [REDACTED] has hand selected that is informally known as the [REDACTED]. From my knowledge, he favors these people, giving them leadership opportunities and other special assignments. He has selected one of them to be the acting [REDACTED] (a CT-14 position), which sets him up for his selection as the CT-15 [REDACTED] a position posting that just recently closed.

[REDACTED] is abusing his position at the CFTC and showing favoritism among employees in the [REDACTED]. I have no knowledge of monetary or time-off awards granted to the people referred to above, and I do not know the results of their performance evaluations. He allows and encourages them to work more than 40 hours per week to earn credit hours and comp time. One member of the [REDACTED] took [REDACTED] off in 2012 because he had accumulated so many credit and/or comp hours.

I would appreciate your investigation into these allegations. I wish to remain anonymous but can be reached for more detail on my cell phone [REDACTED].

Thank you.



From: OIGEmail
To: [REDACTED]
Subject: RE: report fraud, waste and abuse at CFTC
Date: Friday, February 22, 2013 3:46:00 PM

Dear [REDACTED]:

Thank you for writing to us with your concerns.

Could you give us specific instances of Enforcement representatives informing contractual partners that they should cease relations? Or could you let us know which Division of Enforcement employees have engaged in misconduct? The Division of Enforcement has a large number of open investigations pending at this time and without a clue as to which Enforcement employees are engaging in misconduct (in which case we could review all projects assigned to them) or which Enforcement targets are being forced out of business (in which case we could review the relevant investigative files), we don't have anything specific to look at. A spot review or audit of all outstanding Enforcement matters may or may not turn up the specific instances of misconduct that I presume you are referring to below. A detailed examination of each and every open Enforcement file is not possible due to staffing limitations.

Please feel free to call me at (202)418-5109.

Sincerely,

Judith Ringle, Attorney-Advisor
CFTC OIG

From: [REDACTED] [mailto:[REDACTED]]
Sent: Thursday, February 21, 2013 5:16 PM
To: OIGEmail
Subject: OIG: report fraud, waste and abuse at CFTC

To Whom It May Concern:

I am writing to express some concerns regarding the strategies employed by the CFTC's Division of Enforcement.

There have been several instances across several different industries reported where the Division of Enforcement used persecuting tactics to bully companies across the United

States. I am very concerned with businesses being forced, as a result of harassment and oppression by the Enforcement Division, to close their doors prior to any court proceeding. With unemployment numbers as high as they are in some parts of the country, this sort of behavior is completely inappropriate and strenuous on not only companies but the American public.

Additionally, there have been instances where the Enforcement Division has been informing contractual partners of businesses against whom the CFTC has not even filed a case that they should cease relations. This puts a company out of business without any showing of wrong doing and should not be tolerated by a US government agency. I expect the CFTC to address wrongful actions, but I also believe such actions should be conducted in a manner that is both ethical and respectful of the rights of American citizens.

I urge you to review the Division of Enforcement to ensure that it is in compliance with administrative policies.

I appreciate your attention to this urgent matter.

Regards,

A concerned American citizen

From: OIGEmail
To: [REDACTED]
Subject: RE: NO QUIERO CONVENCERTE, CUANDO LO VEAS TE CONVENCERAS SOLO
Date: Wednesday, February 13, 2013 9:47:00 AM

He expedido su mensaje a la Division of Enforcement.

Sinceremente,

Judy Ringle, Attorney-Advisor
CFTC OIG

From: [REDACTED] On Behalf Of [REDACTED]
Sent: Friday, February 08, 2013 2:58 PM
To: OIGEmail
Subject: NO QUIERO CONVENCERTE, CUANDO LO VEAS TE CONVENCERAS SOLO

Quería ponerme en contacto contigo porque comencé a formar parte de una compañía que vende programas digitales y cursos de e-books descargables.

Lo mejor de todo esto es que solo te cuesta un dólar y automáticamente la compañía te da completamente gratis tu sitio o página web, no tiene que pagar jamás un centavo por el uso, mantenimiento y descarga de los programas y los e-books, los cuales son en inglés y español.

Pero ahora viene lo bueno de como tú te vas a beneficiar de esa pequeña inversión de 1 dólar.

Lo primero que tiene que hacer es lo que yo estoy haciendo contigo, ¿en que consiste esto?, bien, tú vas a buscar 3 personas que te compren los programas digitales y los e-books a un precio de 1 dólar cada uno, cuando estas personas te compren los e-books y programas digitales obtendrá una ganancia de 3 dólares.

Ahora bien mira lo grande de todo esto; Comenzaste con un dólar y ya tienes 3, toma el dólar que invertiste y guárdalo en tu bolsillo, con los otros 2 dólares compraras 9 paquetes de e-books y productos digitales y obtendrá una ganancia de 18 dólares, de eso toma 14 dólares para ti y reinvierte 4 y recibirás 27 programas digitales más los e-books.

Con esto ganara 108 dólares, toma 100 para ti y reinvierte 8 y recibirás 81 programas digitales más los e-books los cuales te dejaran una ganancia de 648 dólares, 632 dólares serán para ti y reinvierte 16 dólares, obtendrá 243 programas digitales más los e-books y tendrá de ganancia 3,888. dólares.

Reinvierte solo 64 dólares y recibirás 2,187 programas digitales más los e-books y tu ganancia será de 139,968. luego reinvierte 128 dólares a cambio va a recibir 6,561 programas digitales más los e-books y tus ganancias serán de 839,808.00.

Al final tus ganancias netas serán de 1,007.769.00 y recuerda todo esto con un solo dólar.

Piensa que nada pierdes por probarlo, yo entre por el poco riesgo, lo he probado, y en 24 horas de promocionarlo me he llevado la grata sorpresa por el gran número de personas registradas y el rápido crecimiento que se obtiene gracias a no correr ningún riesgo y lo fácil que es.

Regístrate aquí y comprueba tú mismo [REDACTED]

Espero verte pronto en mi grupo

Saludos y éxito

[REDACTED]

[Clicka aqui si no quieres recibir mas correos nuestros](#)

[REDACTED]



From: Ringle, Judith A
Sent: Friday, March 01, 2013 9:52 AM
To: Ricci, Charles A.
Subject: RE: sorry to bother you

Thanks!

From: Ricci, Charles A.
Sent: Friday, March 01, 2013 9:52 AM
To: Ringle, Judith A
Subject: RE: sorry to bother you

Judy, DOE does not have any matter relating to [REDACTED] or [REDACTED].

Charlie

From: Ringle, Judith A
Sent: Friday, March 01, 2013 9:34 AM
To: Ricci, Charles A.
Subject: sorry to bother you

Here's a new one on me. We got a hotline voice message from [REDACTED]
[REDACTED] She wants to know what happened regarding her Action [REDACTED] re
[REDACTED] My GUESS is she filed a complaint with FTC and is
calling the wrong hotline and if that's the case I'll let her know.

If the info above pertains to an DOE matter please let me know (and then DOE can respond to her of course).

Judith A. Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

jringle@cftc.gov

From: Lavik, A. Roy

Sent: Tuesday, March 26, 2013 10:03 AM

To: Ringle, Judith A

Subject:FW:

-----Original Message-----

From: [REDACTED]

Sent: Tuesday, March 26, 2013 5:29 AM

To: Lavik, A. Roy

Subject: Fw:

Good morning Inspector General Lavik--I write to request that your office examine the CFTC's so-called process for the treatment of lost/stolen/damaged property. I have found this process to be abusive and wasteful. I would welcome the opportunity to meet with you to discuss and supply you will all of the materials in my possession, including two reports that I consider to be highly offensive.

I am available at your convenience.

Respectfully,

[REDACTED]

----- Original Message -----

From: [REDACTED]

Sent: [REDACTED]

To: [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

From: OIGEmail
To: [REDACTED]
Subject: RE: report fraud, waste and abuse at CFTC
Date: Wednesday, April 17, 2013 2:19:00 PM

[REDACTED] – We have forwarded your email to the Division of Enforcement. The Division of Enforcement deals with complaints pertaining to market professionals. Here in the Office of the Inspector General, we deal with complaints pertaining to Agency employees.

Thank you for your email. The email address for Enforcement, if you wish to send anything directly to them, is Enforcement@cftc.gov

Again, thank you for your email.

Sincerely,

Judy Ringle, Attorney-Adviser
CFTC OIG

From: [REDACTED]
Sent: Monday, April 15, 2013 10:08 PM
To: OIGEmail
Subject: OIG: report fraud, waste and abuse at CFTC

Dear Inspector General

This letter also goes to [REDACTED] - [REDACTED] is quite familiar our buddy [REDACTED].

By the way .I have 18 months of emails and about 5 hours of audio tape including most of the people involved in this fraud.

Although probably not useful in court, thet surely depict the tone and intent of the con men.

PLEASE let me know if this was received and reviewed. Thank You.

Regards.

[REDACTED]

[REDACTED]

[REDACTED],
This letter is to let you know that [REDACTED] has perpetrated yet another commodity pool fraud.

This new scheme mirrors (so closely that it is mind boggling) the case that was the subject of your filing of case 02-02094 March 12 2002.

[REDACTED] got a group of 12 or 14 "investors" to wire large sums of money to a New York Merrill Lynch

account [REDACTED] has incorporated a new twist as the N.Y. account is in the name of [REDACTED]. [REDACTED] is supposed to make all of this fraud legit and separate [REDACTED] from the jurisdiction of the CFTC. (SURE)

Everyone was told that they were covering silver contracts Weinberg had purchased that had accrued fabulous

profits. The contracts were already matured and all [REDACTED] needed was the money to complete his obligation. The money and profits were to be distributed to the "investors" in 6 weeks.

[REDACTED] has invented 14 months worth of delays like IRS oversight and international regulations , as the profits were supposed to be in Japan.

There is nothing so far to indicate that anyone is going to get there money back.

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

The Case From 2002 (one of them anyway)

Release: 4822-03

For Release: July 23, 2003

FEDERAL COURT ORDERS CALIFORNIA MAN TO REPAY CUSTOMERS IN COMMODITY FUTURES TRADING COMMISSION FRAUD ACTION

[REDACTED] Also Ordered to Pay [REDACTED]

WASHINGTON D.C. – The U.S. Commodity Futures Trading Commission (CFTC) announced today that the [REDACTED] entered an order of default judgment in the CFTC's favor requiring defendant [REDACTED] [REDACTED], to repay defrauded investors and also to pay a civil penalty due to his violations of federal commodity laws.

The order stems from a complaint filed by the CFTC against [REDACTED] on [REDACTED] (see CFTC [REDACTED]). The order finds that [REDACTED] solicited and misappropriated [REDACTED] in customer funds, including commodity pool funds, that were purportedly to be used to trade commodity futures contracts, and has otherwise defrauded commodity investors. The order further finds that [REDACTED] by engaging in such conduct violated federal commodity laws, as well as a prior CFTC administrative action that required that he permanently cease defrauding customers, advisory clients, and commodity pool participants.

The order requires [REDACTED] to pay restitution to injured investors in the amount [REDACTED], which includes pre-judgment interest, and to pay a civil penalty [REDACTED].

The following CFTC Division of Enforcement staff were responsible for the case: [REDACTED]

[REDACTED]

(For more information on commodity pool fraud, see the CFTC's Consumer Advisory-Alert of February 26, 2002: Beware of Commodity Pool Investment Opportunities Promising Large Profits and Little Risk, Even When Offered by Persons You Know.)

Media contact:

[REDACTED]

CFTC Division of Enforcement

[REDACTED]

#

From: OIGEmail

Sent: Wednesday, April 17, 2013 2:14 PM

To: [REDACTED]

Subject: RE: Inquiry and Protest: Announcement CFTC-OED-2013-0022

Dear [REDACTED] – Thank you for your email. We do not have the staff resources to examine your complaint (or overall hiring procedures employed with regard to Announcement CFTC-OED-2013-0022) at this time, and I apologize for that. You may wish to consult private legal counsel to explore other potential avenues (if any) to address the CFTC's decision. Again, thank you very much for voicing your concern and please know that, while we do not have the resources to look into every complaint we receive, your email will be stored in our allegations database and may be reconsidered if similar allegations are received. If that occurs, we will be in touch with you, so you may wish to let us know if your email address changes.

Sincerely,

Judy Ringle, Attorney-Adviser

CFTC OIG

From: [REDACTED] mailto:[REDACTED]

Sent: Monday, April 15, 2013 8:32 PM

To: OIGEmail

Cc: [REDACTED]

Subject: Inquiry and Protest: Announcement CFTC-OED-2013-0022

Attn: U.S. CFTC OIG Team:

Recently, I applied for subject vacancy, "Senior EEO Specialist", advertised by your agency. I was notified that I was "Not Selected", yet there is no indication that I was referred to the hiring manager.

Given that I was not referred to the hiring manager, I wish to formally protest this hiring decision. The HR specialist assigned was [REDACTED].

The merit of my protest is based solely on the content of my application: my cover letter, resume and associated support documents. It seems extremely odd to me that I could have served for a period of two and one-half years as the [Non Responsive] (an SES position), [Non Resp] [Non Responsive] managing a staff of 12 (including three senior GG-15 program managers), yet not referred or selected for an employment interview by your agency. In fact, at [Non Res] I was known as an agency "change agent": [Non Res] was one of the first three Federal agencies to coin the term "diversity" in concert with its EEO and affirmative employment functions. I was chosen for this role by then-[Non Responsive], for whom I worked in two previous management roles; [Non] is currently the nation's [Non Responsive] I am also the former Deputy Inspector General, [Non Responsiv] [Non Responsive], where I managed many compliance programs including HR and EEO programs. Additionally, I have extensive management experience - including leadership roles in four Fortune 500 companies - which included responsibilities for HR and EEO.

This selection appears to be yet another - typical - Federal agency announcement in which "the person desired" is hired by the agency's staff, without regard to qualified, experienced personnel

who have equal or superior qualifications for the job. I am increasingly finding that I am sometimes found to be "not qualified" for some Federal positions -- in turn, when I question the assessment before the job announcement closes out, I am somehow, miraculously, found to be qualified. This is not to pass blame on the HR professionals involved. I am simply disgusted with what I now view as a dysfunctional, biased system in which Federal hiring managers use unfair hiring practices to make selections for official Government positions. I have now resolved to "fight back" -- even if I must go to Capitol Hill to do it.

I appreciate your consideration, and look forward to your response.

Respectfully,

[REDACTED]

fax

TO Office of the Inspector General FROM: [REDACTED]
ATTN: [REDACTED]

FAK: 202-418-5522

PAGES: Letter consisting of 2 pages

PHONE

(cell)

(fax)

RE: Our being victims to solicitation by phone and fraud.

☒ Urgent

☐ For Review

☒ Please Comment

☒ Please Reply

☐ Please Recycle

Comments: [Your comments here]

Commodity Futures Trading Commission
Office of the Inspector General
Three Lafayette Centre
1115 21st Street, NW
Washington, DC 20581

April 30, 2013

Re: Our being victims of solicitation and fraud through investing in the precious metals trading market.

Gentlemen:

In May of 2012 I was solicited by a telephone call from [REDACTED] of [REDACTED] in Ft. Lauderdale, Florida, and was persuaded to make a small investment to take advantage of what was described to me as a "can't miss" situation in the silver trade. My wife, [REDACTED], and I are retired and are both in our [REDACTED] twenties. Back when silver was around seven dollars an ounce, I purchased six bags of mercury dimes and stored them away in hope that they would increase in value. I explained this to [REDACTED] and he convinced me that they could leverage the dimes and increase their value considerably more by trading. I unfortunately was hooked after much conversation and agreed to send two of the bags to them to take advantage of this situation. Almost immediately after this happened I was contacted by [REDACTED] who described himself as an advisor to [REDACTED] and was advising us to increase our investment. [REDACTED] described himself as a longtime investor in the precious metals market and was very successful with his trades. He also said he had contacts that were knowledgeable about the silver market and were extremely certain that silver was ready to make a tremendous move up in value, and this was about to happen right away because of the Q E Program being implemented. [REDACTED] did a masterful job of convincing us that this was an opportunity we couldn't afford to miss. We agreed to increase our investment using a large amount of our retirement savings in anticipation of increasing its value considerably. Unfortunately this did not happen. In less than three months with [REDACTED] we lost thirty-five percent of our total investment. On August 1, 2012 we received notice from [REDACTED] that they were ceasing operations on August 31, 2012. We did not know that [REDACTED] had been using [REDACTED] for their transactions. At this time we knew nothing about or had ever heard of [REDACTED].

Just before [REDACTED] closed we were still convinced that silver was ready to make a big move up, so we had [REDACTED] transfer our remaining funds to [REDACTED] whom they recommended. [REDACTED] was much more transparent to deal with and the commission charges were far more reasonable. Unfortunately, [REDACTED] also used [REDACTED] for their transactions, so our remaining assets are now frozen due to the injunction involving [REDACTED] along with [REDACTED].

My purpose for writing you is to let you know that we were involved with two different dealers with whom [REDACTED] was involved, all taking place during 2012 and early 2013. In the case of our involvement with [REDACTED] I refer you to CFTC press release PR6503-13 that describes the CFTC's charges against [REDACTED] and [REDACTED] in the same time frame that we were solicited by them and consequently traded through them in the manner they recommended.

Presently we are awaiting the outcome of the trial against [REDACTED] that commences on August 26, 2013. This apparently will concern itself only with losses while trading with [REDACTED] and not those that were incurred while trading with [REDACTED], even though [REDACTED] was involved in both instances. Since the largest portion of our losses were incurred with [REDACTED] this is of major concern to us.

Referring again to PR-6503-13, the release stated that the CFTC Orders against [REDACTED] did not impose civil monetary penalties, but prohibited [REDACTED] from trading for a five year period. This press release was not published until January 23, 2013 which was five months after [REDACTED] had closed their doors. We as clients were never informed that these proceedings were taking place and our interests apparently were of no concern to CFTC. Also, back in August, 2012, after receiving notice of the [REDACTED] closing, we hired a Florida lawyer to determine if there was any evidence of wrongdoing. The lawyer claimed that he investigated and could find no evidence of wrongdoing. At that time there were no CFTC press releases concerning [REDACTED] that were made known to us.

Does this mean that the CFTC will not attempt to recover our losses incurred while trading with [REDACTED]? If so, is this proper justice for those that the CFTC is proposing to protect? Please let us know what steps to take in order to help recover our losses if this is the case. Any information you can share will be deeply appreciated. Thank you for your time and consideration.

Sincerely,

[REDACTED]

From: [Lavik, A. Roy](#)
To: [Ringle, Judith A](#)
Subject: FW: Request for whistleblower protection and confidentiality
Date: Monday, April 08, 2013 9:49:17 AM
Importance: High

From: [REDACTED]
Sent: Friday, April 05, 2013 1:38 PM
To: Lavik, A. Roy
Cc: Baptiste, Tony; Kelley, Edward
Subject: Request for whistleblower protection and confidentiality
Importance: High

Dear Roy,

I am writing to request "whistleblower" protection to whatever extent federal law, regulations provide. I also request confidentiality.

- (1) I have identified longstanding travel abuses that are inconsistent with the federal travel regulations and federal ethical obligations and which have not been resolved by the agency. I plan to discuss these matters with the chairman and/or commissioners. I have reason to be apprehensive that by doing so I will be subject to retaliation.
- (2) I also have identified that the implementation by the CFTC of the new hiring procedure is inconsistent with President Obama's initiative to expedite hiring by, among other things, allowing applicants to apply by résumé and cover letter (which we have always done). Based on my own experience, which is corroborated by hiring staff in 2 other divisions, the process has impeded hiring, complicates hiring, imposes inappropriate scoring processes that are inapplicable to professional positions and excludes qualified applicants. I intend to try and resolve this issue cooperatively by arranging for relevant division staff to bring these issues to HR and the Executive Director. However, I have reason to be apprehensive that by doing so I will be subject to retaliation .

In both situations, depending on the response I receive I may need to bring further details to your attention, as well as taking other appropriate legal action. The purpose now is solely to invoke to the fullest scope possible all available "whistleblower" protections.

Thank you,

[REDACTED]
[REDACTED]
[REDACTED]

From: Ringle, Judith A
To: Baptiste, Tony
Cc: Lavik, A. Roy; Kelley, Edward; Glotfelty, Thaddeus J; Williams, Lawanda A.
Subject: RE: report fraud, waste and abuse at CFTC
Date: Thursday, May 30, 2013 10:23:01 AM

I just now opened this – sorry I missed it earlier!

From: Baptiste, Tony
Sent: Monday, May 20, 2013 12:13 PM
To: Lavik, A. Roy; Ringle, Judith A; Kelley, Edward; ED kelley (Kelleye1231@verizon.net); Glotfelty, Thaddeus J
Subject: FW: report fraud, waste and abuse at CFTC

If true, wow.

From: [REDACTED]
Sent: Monday, May 20, 2013 12:02 PM
To: OIGEmail
Subject: OIG: report fraud, waste and abuse at CFTC

Hello,

I wanted to bring to your attention the practices of a government contactor. The prime contract is with [REDACTED] and the contractor works for [REDACTED]. While being paid by the contract for CFTC the contractor [REDACTED] is working on other accounts not related to CFTC work. He frequently has conference calls during the day with other accounts he is working on. For example he is working on [REDACTED] which is not a platform at the CFTC.

He does not use CFTC equipment however he is claiming the hours as billable to CFTC and he is also billing the other companies.

From: [REDACTED]
To: OIGEmail
Subject: MF Global report
Date: Tuesday, May 21, 2013 4:34:22 PM

Attn. Office of the Inspector General:

I request a copy of your May 16 report on MF Global.

Best regards,

[REDACTED]

This email was sent by a company owned by Pearson plc, registered office at 80 Strand, London WC2R 0RL. Registered in England and Wales with company number 53723.

Rec'd
6-11-13

Foy

Commissioner
Hong Kong SFC
Licensing Department
35/F Cheung Kong Centre
2 Queen's Road Central Hong Kong

Mar 17, 2013

Dear Sirs,

What you say whilst a head of a brokerage division of a international bank tells lies, make use of fraudent statement and papers to protect case of illegal and dishonesty, more than 7 years?

I am a Korean worked for [REDACTED] office for years and ultimately fired because I did not stay the necessity half years of every year, my license got a problems, whilst other foreigner people stayed 20-30 days a year got passed the requirement. Why? Because I did not give gift and favours to [REDACTED], he is head of [REDACTED] office. He broke my career path, and he broke the Hong Kong Laws.

The fraudent statements and papers to misled Hong Kong Government officers of HK Immigration and HK SFC, they all passed the requirements, and they can worked in [REDACTED] till nowadays. The offenced HK criminals. [REDACTED] is prouded of his acheivments and insulted government people are stupid pigs.

You are recommended to check and investigate because [REDACTED] is breaking the Laws and make other companies of the field unfair. Hong Kong trust [REDACTED] because its [REDACTED] status, they are all fair and honest, the result is both Hong Kong and Canada got harmed.

And, [REDACTED] do other illegal things trickily, every one in the office knows he is helping [REDACTED] do money laundering. Stop this wicked people and earn the good reputation back again

Your attention and actions are with thank s

[REDACTED]

From: Ringle, Judith A

Sent: Tuesday, June 18, 2013 9:18 AM

To: [REDACTED]

Subject: RE: CFTC is a VERY poor excuse for a regulator!

Dear [REDACTED]:

Thank you for your email. I am forwarding your complaint to the Division of Enforcement for their consideration.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

From: [REDACTED]

Sent: Thursday, June 13, 2013 6:47 PM

To: OIGEmail

Subject: CFTC is a VERY poor excuse for a regulator!

Who is this man and why can he not do the job he is paid to do?

He is Bart Chilton, a commissioner at the CFTC. Under his auspices & direction, the CFTC initiated an investigation into the manipulation of the price of SILVER by JPMorgan nearly five years ago.

This investigation remains ongoing to this day – a deplorable period of time considering the CFTC has all the facts it needs to prove beyond any doubt whatsoever that the massive short holding in Silver (paper) is indeed manipulation in the extreme - a criminal act with massive implications. Proof that the culprits are indeed JPMorgan, as gleaned from publicly available information actually produced by the CFTC themselves.

Why has this investigation not concluded given the CFTC has all the evidence it needs?

As a trader / investor who has had money effectively stolen from my accounts via the criminal manipulative actions by JPM over many years, I am appalled by the inaction of Chilton, Gensler and the other Commissioners of the CFTC.

This blatant manipulation of the price of silver has reach a deplorably obvious phase now that has shattered any confidence silver traders had in the CFTC as an impartial pro-active regulator. One can only conclude from the protracted inaction that Chilton is either 'on the take', bone lazy or under orders from some other government department with a vested interest in holding down the price of silver. Maybe he is dictated to by Bernanke or the President himself.

Whatever the case, Chilton, Gensler & Co are doing nothing to settle this matter and by doing nothing, they are grossly inflaming the situation. Traders rely on regulators to help maintain an even playing field. In this instance, the CFTC can be seen as doing nothing and at worst actually supporting this ongoing crime.

I appeal to you to investigate what is going on behind the scene and rectify this appalling situation. Traders around the world want the CFTC investigation into silver manipulation finished and the results published now – not in another 5 years time.

Regards,



[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

From: OIGEmail

Sent: Tuesday, June 18, 2013 9:24 AM

To: [REDACTED]

Subject: RE: Why Doesn't The CTFC Investigate Gold Price Manipulation ?!

Mr. [REDACTED]:

Thank you for your email. I will forward it to the Division of Enforcement.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

From: [REDACTED]

Sent: Thursday, June 13, 2013 7:37 AM

To: OIGEmail

Subject: Why Doesn't The CTFC Investigate Gold Price Manipulation ?!

No Bear Market In Gold

by Paul Craig Roberts May 20, 2013

You know that gold bear market that the financial press keeps touting?

The one George Soros keeps proclaiming? Well, it is not there. The gold

bear market is disinformation that is helping elites acquire the gold.

Certainly, Soros himself doesn't believe it, as the 13-F release issued by the Securities and Exchange Commission on May 15 proves. George Soros has significantly increased his gold holding by purchasing \$25.2 million of call options on the GDXJ Junior Gold Miners Index.

<http://bullmarketthinking.com/soros-reports-over-239mm-in-gold-positions-buys-25mm-in-call-options-on-juniors/>

In addition the Soros Fund maintains a \$32 million stake in individual mines; added 1.1 million shares of GDX (a gold miners ETF) to its holdings which now stand at 2,666,000 shares valued at \$70,400,000; has 1,100,000 shares in GDXJ valued at \$11,506,000; and 530,000 shares in the GLD gold fund valued at \$69,467,000. [values as of May 17]

The 13-F release shows the Soros Fund with \$239,200,000 in gold investments. If this is bearish sentiment, what would it take to be bullish?

The misinformation that Soros had sold his gold holdings came from misinterpreting the reason Soros' holdings in the GLD gold trust declined. Soros did not sell the shares; he redeemed the paper claims for physical gold. Watching the gold ETFs, such as GLD, being looted by banksters, Soros cashed in some of his own paper gold for the real stuff.

The giveaway that Soros is extremely bullish on gold comes not only from his extensive holdings, but also from his \$25.2 million call option on junior gold stocks. This is a highly leveraged bet on the weakest gold mines. With high production costs and falling gold price from constant

short selling in the paper market, Soros' bet makes no sense unless he thinks gold is heading up as the short raids concentrate gold in elite possession.

In previous articles I have explained how heavy short-selling triggers stop-loss orders and margin calls on investors in gold ETFs. Scared out of their shares or forced out by margin calls, investors' add to the downward price pressure caused by the shorts. Bullion banks and prominent investors such as Soros are the only ones who can redeem GLD shares for physical metal. They purchase the shares that are sold in response to the falling gold price, and present the shares for redemption in gold metal.

Insiders familiar with the process describe it as looting the ETFs of their gold basis.

In my last column I described how the orchestration of a falling gold price in the paper market protects the dollar's value from the Federal Reserve's policy of printing 1,000 billion new ones annually. The other beneficiary of the operation is the financial elite who buy up at low prices the ETF shares sold into a falling market and redeem them for gold. Like all other forms of wealth in the West, gold is being concentrated in fewer hands, while the elite shout "bear market, get out of gold."

The orchestrated decline in gold and silver prices is apparent from the fact that the demand for bullion in the physical market has increased while short sales in the paper market imply a flight from bullion. As a hedge fund manager told me, it is a Wall Street axiom that volume

follows price. Bull markets are characterized by rising prices on high volume. Conversely bear markets feature declining prices on low volume. The current bear market in gold consists of paper gold declining steadily while demand has escalated rapidly for physical metal. This strongly indicates that demand for physical gold continues to be in a bull market despite the savage attacks on paper gold.

If the orchestration is apparent to me, a person with no experience as a gold trader, it certainly must be apparent to federal regulators. But don't expect any action from the Commodities Future Trading Corporation. It is headed by a former Goldman Sachs executive.

And don't expect any investigation from the financial press. The financial press sees a bear market while supplies of bullion decline, premiums over spot rise, and even publicly declared bears such as George Soros make highly leveraged bets that will fail in the absence of a bull market in gold.

About Dr. Paul Craig Roberts

Paul Craig Roberts was Assistant Secretary of the Treasury for Economic Policy and associate editor of the Wall Street Journal. He was columnist for Business Week, Scripps Howard News Service, and Creators Syndicate. He has had many university appointments. His internet columns have attracted a worldwide following. His latest book, *The Failure of Laissez Faire Capitalism and Economic Dissolution of the West* is now available.

Ringle, Judith A

From: [REDACTED]@gsaig.gov on behalf of FraudNet/GSAIG@gsaig.gov
Sent: Tuesday, June 18, 2013 9:46 AM
To: OIGEmail
Subject: GSA OIG Hotline Referral
Attachments: 6.6.13 Preliminary Disclosure Northrop Grumman.pdf

Via Electronic Mail

The General Services Administration (GSA) Office of Inspector General (OIG) Fraud Hotline Office received the following complaint. This matter does not fall within the purview of the GSA OIG, therefore we are referring this matter to you for your review and whatever action you deem appropriate.

Thank you,

Hotline Division
Office of Inspector General
U.S. General Services Administration

WARNING: This email and any attachments may contain legally privileged or sensitive information. The information is intended solely for the use of the individual or entity to whom it is addressed. If you are not the intended recipient, you are hereby notified that any unauthorized use, dissemination, distribution, or reproduction, or taking any action in reliance on the contents of this transmission, is strictly prohibited. If you received this transmission in error, please notify the sender and delete the message and any attachments.

[REDACTED]

[REDACTED]

June 6, 2013

Brian D. Miller
Inspector General
Office of the Inspector General
General Services Administration
1800 F Street, NW
Washington, DC 20405

J
JD
JE
JA
JC
JI
JP
JUN 7 2013

Re: Anti-Kickback Act - Preliminary Disclosure of Possible Violation

Dear Mr. Miller:

This matter relates to the following government contracts (the "Contracts"): (i) GSA
Non Contract [REDACTED],¹ (ii) GS-
[REDACTED]; and
(iii) Department of the Treasury Non Respo Contract [REDACTED].

The purpose of this letter is to notify you, in accordance with the Anti-Kickback Act, 41 U.S.C. §§ 8701 *et seq.* ("AKA"), of facts suggesting a possible kickback violation involving [REDACTED] and a former [REDACTED] employee possibly relating to the Contracts. Please note that the Company has not verified that any actual kickback or solicitation occurred. This is an initial notification based on preliminary information. [REDACTED] expects that it will be able to provide additional details in the near future.

On April 29, May 2 and May 6, 2013, [REDACTED] received allegations from two anonymous sources ("sources") relating to [REDACTED], a former [REDACTED] [REDACTED], a division of [REDACTED]. The sources alleged that [REDACTED] may have received kickbacks from [REDACTED], a subcontractor to [REDACTED] on a number of government contracts, in the form of [REDACTED] payments to a business owned by [REDACTED] and gifts to [REDACTED].

For the past several years, and until his resignation on May 23, 2013, NGIS/CIS employed [REDACTED] in Virginia. As the [REDACTED], [REDACTED]

¹ [REDACTED] is a subcontractor to [REDACTED] on this contract, which relates to the [REDACTED] Program.

responsibilities included identifying and pursuing business opportunities for CIS, and he was part of the CIS team that evaluated subcontractor proposals and selected suppliers to support task order bids on government contracts.

The material information that gives rise to this notification is as follows:

1. During his tenure with [REDACTED], but unknown to [REDACTED] at the time, [REDACTED] owned a business named [REDACTED] Public records indicate that [REDACTED] registered [REDACTED] as a limited liability company with [REDACTED] with [REDACTED] as its Registered Agent and with the [REDACTED] residential address as its principal address.
2. [REDACTED] is not aware of any business relationship between [REDACTED] and [REDACTED].
3. [REDACTED] is a [REDACTED] subcontractor on the Contracts.
4. [REDACTED] has obtained documentation from one of the sources and from [REDACTED] indicating a business relationship between [REDACTED] including:
 - Copies of invoices from [REDACTED] to [REDACTED] during the period from October 2012 to April 2013 totaling approximately \$19,000.
 - Copies of two [REDACTED] checks (totaling \$6,625) that were made payable to [REDACTED], dated November 16, 2012 and April 25, 2013.
 - Consulting agreement documents between [REDACTED] and [REDACTED] dated October 1, 2012.
5. To date, [REDACTED] has not ascertained the nature of any services [REDACTED] or [REDACTED] provided to [REDACTED] in return for these or other payments, or whether any services were, in fact, performed.
6. To date, [REDACTED] has not determined whether [REDACTED] made other payments to [REDACTED] or [REDACTED] and, if so, over what time period.
7. [REDACTED] did not disclose to [REDACTED] the relationship between [REDACTED] and [REDACTED] or the payments by [REDACTED] to [REDACTED] and [REDACTED].
8. At this time, [REDACTED] has not been able to corroborate the allegation that [REDACTED] accepted any gifts from [REDACTED], although [REDACTED]

acknowledged that he and his wife socialized together with [REDACTED] CEO and President [REDACTED].

9. On May 23, 2013, in the midst of the Company's investigation of the allegation, [REDACTED] tendered his resignation, effective immediately.
10. On May 31, 2013, [REDACTED] received a follow-up call from one of the anonymous sources reporting that, subsequent to [REDACTED]'s resignation from [REDACTED], [REDACTED] terminated a security clearance that it had previously sponsored for [REDACTED].

In making this disclosure, [REDACTED] does not waive any rights it has arising in law or under the terms of applicable contracts. In particular, it does not waive the attorney-client privilege or the protections afforded by the attorney work product doctrine, either on its own behalf or on behalf of any Company officer, director, owner, or employee. [REDACTED] understands that the Government will safeguard and treat the information in this disclosure as confidential and will not release it to the public pursuant to the Freedom of Information Act.

Should you have any questions, please do not hesitate to contact me.

Sincerely,

[REDACTED]

cc: Eric M. Thorson
Inspector General
Department of the Treasury
Room 4436
1500 Pennsylvania Avenue, NW
Washington, DC 20220

From: OIGEmail

Sent: Monday, July 22, 2013 10:03 AM

To: [REDACTED]

Subject: RE: CFTC Case

Thank you for your communication – I will forward your email to the Division of Enforcement.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

From: [REDACTED]

Sent: Saturday, June 22, 2013 9:25 AM

To: OIGEmail

Subject: CFTC Case

Dear Sir or Madam:

Regarding the verdict issued by the UNITED STATES DISTRICT COURT FOR THE

DISTRICT OF COLUMBIA in the 22nd day of February, 2012. in the Civil Action No. [REDACTED]

[REDACTED]

[REDACTED].

The [REDACTED] Egyptian nationality has fled the

verdict and continued to act the same way that led to this judgment.

He is still [REDACTED]
[REDACTED].

I am a costumer at [REDACTED] and asked the company to withdraw my money from my account several times and he, [REDACTED], refused to give me my money which is USD 2,118,000.00\$ so I went to the Egyptian police and filed a complaint against him and found that 19 other victims have filed complains against him also, now the general attorney is handling a case against him her in Egypt.

Now he is in Dubai since the 9th of Jan 2013, when he arrived to Dubai International Airport the authorities there arrested him for the complaint [REDACTED] submitted against him in Al Rashidiya Police Station by an American citizen whom was a victim of a fraud action by [REDACTED] and took USD 214,000.00\$ from him through [REDACTED] and refused to pay back to him his money.

Now Al Rashidiya Police Station (P.O. Box: 1493, Dubai, Fax: +971 4 2171244, mail@dubaipolice.gov.ae) is holding [REDACTED] Passport ([REDACTED]) and prevented him from traveling outside the UAE until he goes through court trial regarding this complaint which is not set to date up to now.

Please, we need your support to get back our money.

Thank you.

Respectfully yours,
[REDACTED]

From: OIGEmail

Sent: Monday, July 22, 2013 10:10 AM

To: [REDACTED]

Subject: RE: Question

Dear [REDACTED],

I apologize for not contacting you sooner. I thought this email had been answered. Please contact the Deputy Director for Registration and Compliance. His name and contact information is available here -- <http://www.cftc.gov/Contact/index.htm> -- under the heading, "Division of Swap Dealer and Intermediary Oversight." Someone in that section should be able to assist. If this doesn't work, or you have any other questions, please feel free to speak with me at (202)418-5109.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

From: [REDACTED]

Sent: Tuesday, June 25, 2013 10:46 AM

To: OIGEmail

Subject: Question

Hello. I am sorry to bother you, but cannot seem to get a response from anyone else. I was hoping you would be of some assistance to me, if not could you please direct me to the appropriate person/email. I have a fairly quick question concerning "CPO" registration and exempt status. We are a newly formed company in the Midwest, and it is difficult to find counsel that has experience in dealing with the CFTC/NFA.

I will detail our organization and would like to receive your opinion on whether or not you believe we would be classified as a "CPO" or are just "overkilling" the issue if you will.

We have formed a LLC, where I am the managing member. We will be using Rule 506 of Reg D to offer the units in the LLC. I am investing \$150,000, my family is investing \$150,000, and outside investors, of which there are 3 are contributing \$400,000. I will be the only active participant in the firm. Although, everyone owns units and will have shareholder rights. We will be conducting transactions involving electricity in the PJM RTO. To hedge these transactions we will be using electricity futures on ICE. PJM is regulated by FERC, and we have submitted the necessary documentation for that regulatory body. So we have state and federal security regulation, FERC regulation, and I am hoping we don't have CFTC/NFA regulation as well.

Our company would be classified as a "power marketer", and through my years of experience in this industry I have never known a competitor to be classified or for that matter registered as a "CPO". Especially, since we are using ICE to hedge our PJM transactions. I have thoroughly searched the BASIC site, and have not seen any other companies in the same sector that have done this registration. My hope is that, like all of my peers, there is no registration/exemption required. I just wanted to commit my due diligence, just to verify.

I would certainly like your opinion and appreciate any response.

Please let me know.

Thank You,

[REDACTED]

From: Ringle, Judith A
Sent: Thursday, June 06, 2013 10:11 AM
To: Mucha, Kara
Cc: Ricci, Charles A.; Glotfelty, Thaddeus J
Subject:FW: OIG email (copied, and flagged)

Kara – Charlie asked me to send this to you. Many thanks for your attention.

Judy Ringle, Attorney-Advisor
CFTC OIG

From: Glotfelty, Thaddeus J
Sent: Wednesday, June 05, 2013 4:32 PM
To: Ringle, Judith A
Subject: OIG email (copied, and flagged)

Hello,

How do I submit a form complaining about the status of my case that was submitted late last year. I am the victim of fraud, and the case was being worked on by [REDACTED] and [REDACTED]. I have e-mailed them numerous times and I have received no answer. I have not received anything in writing either since my last conversation with them in April.

This is probably not the correct e-mail address for this question, but very frankly, there are no e-mail addresses on the cftc site (except yours) so I am stuck. The case is lingering in limbo, no one will get back to me, and I feel like it just vanished into thin air.

Please send this e-mail to any appropriate person to follow up.

Thank you,

[REDACTED]

Date Received OIG
7-24-13

To whom it may concern,

Please see attached documents. I have firsthand knowledge of [REDACTED] and [REDACTED] in an inappropriate relationship within CFTC and DoS. To avoid retribution by both parties I submitted a complaint to [REDACTED] hotline anonymously. [REDACTED] started an investigation and one of the main [REDACTED] players, [REDACTED] quit avoiding the investigation. [REDACTED] has now moved onto [REDACTED] and [REDACTED] continues to get [REDACTED] business without any investigation of the wrongdoing on the point of the [REDACTED] owner paying bribes. It begs the question of who else is [REDACTED] paying.

Is anyone going to do anything about kickbacks and bribes?



Report Details**Report Submission Date**

4/29/2013

Reported Company/Branch Information

Location: [REDACTED]

City/State/Zip: [REDACTED]

Please identify the person(s) engaged in this behavior:

[REDACTED]

Do you suspect or know that a supervisor or management is involved?

Yes

If yes, then who?

[REDACTED]

Is management aware of this problem?

Do Not Know / Do Not Wish To Disclose

What is the general nature of this matter?

Kickbacks

Where did this incident or violation occur?

[REDACTED]

How long do you think this problem has been going on?

More than a year

How did you become aware of this violation?

Accidentally found a document or file

Details

The relationship between [REDACTED] and [REDACTED] (DUNS [REDACTED]), specifically [REDACTED] (I think they call him [REDACTED]) is nothing more than a kickback contract.

- [REDACTED] has been paying the company [REDACTED] (DUNS [REDACTED]), which is owned by [REDACTED] family member, [REDACTED].

- [REDACTED] has also been paying [REDACTED] directly and as I understand [REDACTED] has also directed his [REDACTED] to have the clearance held for [REDACTED].

- In exchange, [REDACTED] has been funneling [REDACTED] work to [REDACTED].

This is not only in violation of the FAR 3.502, but it is a disadvantage to small businesses trying to do business legally and ethically with [REDACTED].

Other [REDACTED] people may or may not know about this relationship include [REDACTED]

[REDACTED] and [REDACTED]

Other (b)(6) [REDACTED] people may or may not know about this including [REDACTED]

I am expecting swift action on this as it should be easy to look at [REDACTED]

[REDACTED] and [REDACTED] tax records and [REDACTED] record in [REDACTED].

If swift action is not seen the next steps will include notifications to the customers that should know about this. Those customers are [REDACTED]

[REDACTED]

Uploaded Files

1. proof - Copy.pdf

Payment to [REDACTED]

The clearance is also being held by [REDACTED]

Follow-Up Notes

There are no additional notes for this report.

Follow-Up Questions/Comments

4/30/2013 1:03 PM posted by Organization

Thank you for contacting the [REDACTED] with your concerns. In your report you mentioned a document that you reviewed that led you to place this report. Can you please either provide a copy of the document as an attachment to this case, read it to the Openline personnel or call either [REDACTED] or [REDACTED].

Reviewing this document will help in our investigation.

5/2/2013 4:13 AM posted by Reporter

I am uploading the document that I saw.

There has also been trips that [REDACTED] has paid for to include [REDACTED] Resort and dinner at [REDACTED].

5/2/2013 12:47 PM posted by Organization

Thank you for the documentation. We are continuing our investigation into these allegations. *If there is any additional information you would like to provide please either attach it to the case or you can contact [REDACTED] or [REDACTED].*

5/8/2013 11:34 AM posted by Reporter

I was told that [REDACTED], the [REDACTED] quit last week due to [REDACTED] finding out about the kickbacks. I think he should be called. His cell was/is [REDACTED].

5/8/2013 12:11 PM posted by Organization

Thank you for the additional information. We continue to investigate this allegation so if you have any other information that might be helpful to us it would be greatly appreciated.

5/16/2013 12:14 PM posted by Organization

Thank you for your continued concern in regards to this case. We take this matter very seriously and are continuing the investigation. At the conclusion of our investigation we will take the appropriate actions. If you have any additional information you would like to share please do so thru Openline or by contacting either [REDACTED] or [REDACTED] at the numbers previously provided.

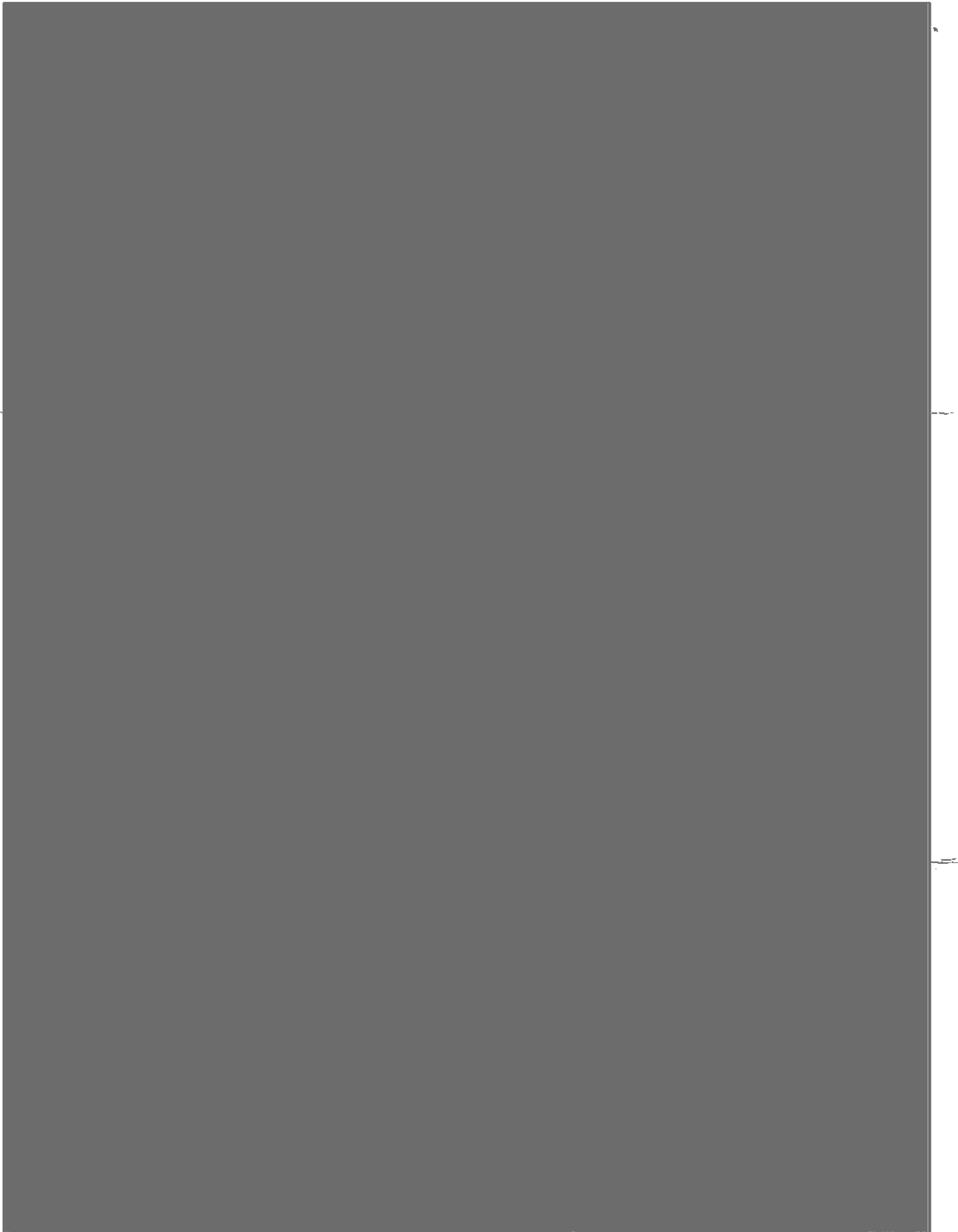
5/31/2013 2:32 PM posted by Reporter

So [REDACTED] quit I hear, but it does not change the damage he did before he left.

[REDACTED] still has the business. The funny thing is they have pulled [REDACTED] clearance from [REDACTED] and they have now stopped paying [REDACTED]. Interesting how that works; [REDACTED] was a consultant and needed when [REDACTED]..but now that he quit, she is no longer needed.

Chat Transcripts

There are no chat transcripts for this incident.



From: Ringle, Judith A

Sent: Tuesday, August 20, 2013 9:05 AM

To: [REDACTED]

Subject:FW: Regulatory Concern

Attachments: A Roy Lavik.pdf

Dear [REDACTED]

I am sorry, but our Office has no authority to address the regulation of flood insurance. You may wish to inquire with your State insurance commissioner for assistance.

I am sorry our Office cannot be of further assistance.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

From: Lavik, A. Roy

Sent: Monday, August 19, 2013 3:48 PM

To: Ringle, Judith A

Subject: FW: Regulatory Concern

From: [REDACTED]

Sent: Monday, August 19, 2013 1:45 PM

To: Lavik, A. Roy

Subject: Regulatory Concern

A Roy Lavik,

Please see the attached letter regarding a concern over regulatory actions. Due to the urgency of this matter we are sending this email along with a forthcoming letter to your office. We appreciate your consideration of the issue raised.

Thanks

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

This communication, together with any attachments hereto> are for the sole use of the intended recipient(s) and may contain information that is confidential or legally protected. If you are not

the intended recipient, any review, disclosure, or distribution of this communication is STRICTLY PROHIBITED. If you have received this communication in error, please notify the sender and delete this communication. If this communication relates to insurance or risk management, irrespective of what is communicated within this message; any description or illustration whether actual, affirmative or otherwise are for general explanatory purposes only and do not convey or extend insurance coverage. Ultimately the terms and conditions of the applicable insurance contract will apply and coverage will be determined at the time of loss.



U.S. COMMODITY FUTURES TRADING COMMISSION

140 Broadway, 19th Floor
New York, New York 10005
Telephone: (646) 746-9717
Facsimile: (646) 746-9937

RECEIVED
CFTC

2013 JUL 21 PM 1:44

~~DCR~~
OIG

August 19, 2013

Commodity Futures Trading Commission
Office of the Inspector General
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

Dear Inspector General:

We are writing to you about waste concerns in the Division of Clearing and Risk ("DCR"). DCR does "risk reviews" of swap dealers, major swap participants, FCMs, CPOs, CTAs and individual traders by visiting their offices for several days. This extended travel has taken away limited resources from other divisions, reducing their ability to complete their mission.

It is also unclear which CFTC regulation(s) they are trying to enforce or if their work is completely documented such as work papers and reports to the Commissioners. We recommend that DCR's risk review examination practices are reviewed.

Sincerely,

We wish to remain anonymous.

From: OIGEmail
To: [REDACTED]; OIGEmail; [REDACTED]; [REDACTED]
Cc: Juzenas, Eric; Lavik, A. Roy
Subject: RE: National Futures Association - CIA completion
Date: Wednesday, August 28, 2013 4:06:00 PM

Dear [REDACTED],

The jurisdiction of the Office of Inspector General does not extend to the regulation of the National Futures Association.

I will forward your message to the Chief Operating Officer for the CFTC, and ask that he forward the complaint as appropriate.

Thank you for your patience.

Sincerely,

Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

-----Original Message-----

From: [REDACTED]
Sent: Tuesday, August 20, 2013 6:36 AM
To: OIGEmail; [REDACTED]; [REDACTED]; [REDACTED]
Subject: RE: National Futures Association - CIA completion

Dear Office of the Inspector General CFTC,

I reported fraud to the NFA re interview records falsified by its audit staff. Their Human Resources Director has not responded, although the NFA did confirm that there were fraudulent statements in the interview process. I am concerned that the fraud is not being investigated or that I am not being allowed to file a written complaint for any current investigation.

These staff members testify under oath against member firms, and any failure to comport themselves with integrity implicates their credibility before any tribunal.

How do I ensure the fraud complaint has been filed with the CFTC as well? Thank you,

[REDACTED]

On Wed, Aug 7, 2013 2:46 PM EDT [REDACTED] wrote:

>

>

> [REDACTED], please advise. [REDACTED]

>

>

> On Fri, Aug 2, 2013 1:20 PM EDT [REDACTED] wrote:

>

> [REDACTED], please confirm that the attached affirmation from Pace University is in my applicant file.

>Sent: Friday, July 26, 2013 4:01 PM

>To: [REDACTED]; [REDACTED]

>Subject: Re: National Futures Association - CIA completion

>

>

>Hi [REDACTED]: Hope all is well. I am establishing my auditing credentials for the human resources staff at the NFA, who is copied hereto. I interviewed for an auditing/compliance role.

>

>Yet, I do not readily have a copy of my completion certificate for Pace University's CIA course, which I completed in May 2013. Can you or the appropriate contact at Pace email to [REDACTED] (email address above) verification that I completed the coursework? It's itemized on my resume and is a qualification that distinguishes me from current staff, especially the other lawyers:) Pls let me know.

Best regards, [REDACTED]

>

>

>

>

>

From: OIGEmail

Sent: Wednesday, October 16, 2013 9:34 AM

To: '????????? ????????'

Subject: RE: report fraud, waste and abuse at CFTC

Thank you for the update!

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

From: ?????????? ?????????? [mailto:]

Sent: Friday, October 04, 2013 9:04 AM

To: OIGEmail

Subject: Re: report fraud, waste and abuse at CFTC

Thanks, just a couple of days ago managed to deal with them. The issue decided positively.

Thank you.

2013/10/4 OIGEmail <OIGEmail@cftc.gov>

I have forwarded your email to our Division of Enforcement.

Judy Ringle, Attorney-Advsiior

CFTC OIG

(202)418-5109

From: ?????????? ?????????? [mailto:]

Sent: Thursday, September 26, 2013 9:20 AM

To: OIGEmail

Subject: OIG: report fraud, waste and abuse at CFTC

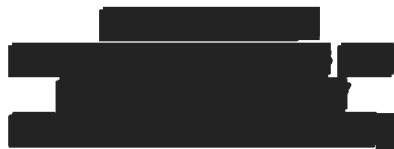
Good afternoon. Can I speak to you about the broker fraud? They do not take money and do not get in touch. I have screenshots of all my accounts with them proof of my innocence.

--

? ??????????, ??????????.

--

? ??????????, ??????????.



Via U.S. Mail FAX

September 03, 2013

COVER PAGE

To: Commodity Futures Trading Commission
Office of the Inspector General

Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

FORMAL COMPLAINT of [REDACTED]:

Abuse of power, Threatening communications, waste of Commissions Funds and resources, and unknown reasons implemented by; the CFTC Counsel [REDACTED] since 2007 or 2008 and especially after commencement of U.S. District CASE No. [REDACTED]

Request for through investigation:

Statement of complaint and evidence in support thereof are submitted as permitted by the CFTC Inspector General's OFFICE Rules till an investigation is completed.

Table of content:

Cover page 2 list of logical questions.....	Cover p2
Opening grief	Page 1
Brief personal background on the complainer	Page 2
Brief Business History on the complainer	Page 3
Brief History on the Business that is the subject for CFTC Counsel.....	Page 4
Brief background on the last 5 years actions against the complainer.....	Page 5
Brief list of the exact complaints.....	Page 6
Evidence and record of possible coaching and manipulation.....	Page 7
Exhibits and testimonies in support thereof.....	Page Binder

THE BINDER OF EVIDENCE SHALL ARRIVE VIA MAIL: After reviewing the binder, which contains almost every thing, you Judge whether this is even close to what was portrait to the commission, the cost involve and the results associated with it. Because, after 6 years of being hassled, we cannot figure out, what and why!?



Via U.S. Mail and FAX

September 03, 2013

To: Commodity Futures Trading Commission
Office of the Inspector General
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

FORMAL COMPLAINT of [REDACTED]:

Itemize list of questionable actions:

- **IF indeed the Company I invested** to establish was violating any of the CFTC codes why I was NOT contacted when the Company was operating.
- **IF indeed [REDACTED] had** legitimate complaint against the defendants why he didn't even bother to engage during the Bankruptcy proceeding, when the materials were still reliable, all people with knowledge were still accessible, memories of people were fresh and accurate etc. etc.
- **In 2008 [REDACTED] was** still operating, how come other "one" single phone call made no other attempts to find out why ["exact"] **dollar amount of CASH** were being "Debited from the defendant's" Business Account was being "CREDITED" by [REDACTED] to a shadow Company by the name of [REDACTED] that has NO offices or staff that was given the exact account number as to what they assigned to defendant's account, a clear evidence of larceny of CASH by [REDACTED] in 2007-2008 from the defendant's account.
- **Why [REDACTED] chose 3 ½ years** later to file an "INJUNCTION" against group of defendants or relief defendants that were already shut down and dissolved by the U.S. Trustee's assigned Trustee during the course of the Bankruptcy proceeding.
- **Why almost 3 years after** filing the injunction is suddenly changing strategy to come back with discovery requests when he knows even the Trustee doesn't keep records for more than 5 years.
- **Why asking discovery from defendant's** Wife who was never an agent, custodian of records or an active officer, that is named as "RELIEF" defendant!
- **Why the press release is so exaggerated**, where as only one single customer by misrepresenting the facts even compliant during the Bankruptcy process, AT THE TIME OTHERS CAME TO THE COURT and testified that their Name as Plaintiff was used without their permission by force to make certain claims!
- **How the cost is even Justified**, when NFA CFTC own members [REDACTED] need more supervision, beating on a dead horse!!
- **I am guilty of one thing** that as a new Citizen recently emigrated I should have waited few more years before investing in things that I still had NO understanding of, that I paid great amount for it.

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]m

Via U.S. Mail :

September 03, 2013

To: Commodity Futures Trading Commission

Office of the Inspector General

Three Lafayette Centre

1155 21st Street, NW

Washington, DC 20581

Subject: Subjected to abuse and Harassment by the CFTC Counsel [REDACTED]

U.S. District CASE No. [REDACTED]

Request: For through investigation

Dear Commissionaire and Inspector General A. Roy Lavik,

My Name is [REDACTED], in December Of 2010 3 ½ years after the demise of my Life and Businesses in the Bankruptcy Court I was unfairly sued by a Counsel in CFTC enforcement.

Thus far our lives have been turned upside down, and seem to have been a one way rail road.

I am coming to you with hope that you make an impartial sense of this situation and get to the bottom of the **FACTS** as to why so much time, Money has been wasted on us who were never a member of the CFTC, whereas during this time it could have been invested on PFGBest, MF Global Inc. and etc. regardless who is behind the pulling the strings.

One of the many Misrepresentations made to CFTC Commissioners: We guarantee you that when seeking their vote and approval to proceed in this matter, the "enforcement" did NOT disclose to the Commissionaires that this entire "Group of Defendants" and "Relief Defendants" were totally dissolved in a Bankruptcy Proceeding 3 years earlier and do NO longer even exist.

- **Brief Background who is [REDACTED]:** I in 1996 was granted immigration and consequently U.S. Citizen Ship during President Clinton's Administration, on July 1998 my Wife and I received our clearance documents to enter the United States of America. I was too Born in 1967 in Iran, but most of my Life I was brought up and went to School in Europe. **Since 1943 three generations** of my family ***we served and represented the interest of the United States***, unlike my Grandfather and uncle who were Army **Doctors/Officers** during the Cold War my Father after the end of the second World War owned a Catering company exclusively served U.S. and Allied Embassies and U.S. personnel till he on new year's eve 1971 at the age of 56 suddenly died of a heart attack, **he worked from 5 am to 12 midnight, with honor and dignity.** And I was raised by the same honor and dignity.

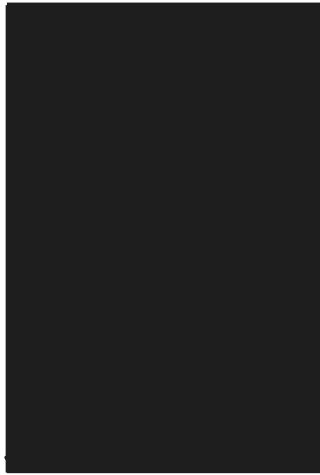
- In 1988 I found an opportunity and accepted a Job with **United Nations Peace Observer Group between IRAN-Iraq, which I saw as an opportunity** to bring Peace and reconnect the reformers; consequently I was offered a position as CEO (Managing Director of Mercedes Benz HQ Agency in Tehran) that gave me a greater influence, to pursue peace in the region.
- **I was the very first people supported President Clinton's initiative** to convince the Ayatollahs to NOT to pursue building the Nuclear facility in Boushehr, and **by personally financing the first GEO THERMAL Work Shop and Seminar in Tehran University in 1990**, I hired 3 of the top **Canadian Geo Thermal Professors from Vancouver UOBC to educate** these uneducated fanatics in charge of IRAN that since Iran **has vast resources** of Geo Thermal activity in or around its TWO VOLCANO mountains, that can Generate a lot more Cheaper, **and environment friendly clean energy** than them trying to build a Nuclear power plant which could endanger the entire Persian Gulf Area. **Proof of it**, the ITALIANS who first build their Geo Thermal Power plant in 1903 in ITALY. **By doing so**, unwittingly I made myself a target of the fanatics, to the point that I was so disgusted by their fascism that on my last trip back to Germany surrendered my Iranian passport that I had by Birth right, and decided to **never** go back there, where **since 1956** my Father established for family to reside in Nurnberg Germany, while helping to rebuild West Germany.
- **I continued supporting President Clinton's and Senator DeMoto's initiative** to pressure or overthrow Iranian's regime, till the President was surrounded by a situation that took his effort away from this, and was forced to defend his Presidency.

My dream was to carry my family tradition and continue representing U.S. Businesses, creates Jobs, and maybe built an American icon to make my family proud. **It was very important to me because of my Dad's strong belief and promise that without the U.S. the World would fall into Hitler like people.**

I wrote you this because there is NO amount of money in the World that can allow me to disgrace my Family's legacy of distinguished hard work people who served and supported the Progressive ideas of USA for 60 years, never gave their Soul for money, who always gave away their wealth to help others, So the idea that I would with intent or knowledge **engage in any behavior** to profit in **an unethical** manner **Is impossible**, as I have always been successful operating in an honorable fashion.

Brief TRUE history not the fantasy story since we came back to California:

- From the moment we arrived in California **we worked 16 hours per day**, saved money, purchased our first little condo from HUD, and founded our first Business at the same time that I worked, every place I worked I was the top performer, and earner, by my 4th year my W2 pay check was over \$260,000. During **that time I was invited to Washington D.C.** to meet with President BUSH and other law makers, which I saw as an opportunity to continue my past activity with President Clinton's people to find a way to stop the fanatic Islamic groups in Iran and in the region.
- During the same time I was constantly being harassed by an obsessed person or persons who constantly, whom at FIRST by using my Pictures with the US Presidents that rumored I am a front for a Fascist organization owned by President BUSH' (*we discovered it through email communications*) and I am fraudster right wing who must be stopped. (*according to statements made by various people*) Interestingly when in IRAN I was discriminated because they said I look like the British as their illegitimate child born in Iran!! In USA **because** I met with President BUSH to gain support to help the World and Iranian people who are all taken hostage by the Ayatollahs: I was accused of being right wing Slave master White!! And then later when President Bush when out of power I was accused of being sent to **blend in** because I look white!! **This is my picture giving speech to our group of veterans at the San Diego Navy, next page:**



- I did contact the FBI, because when my photos and meeting with Senate Majority Leader, US President, surfaced on the internet, the Iranians assumed that when I was in Iran as Director of UN and CEO of Mercedes Benz I collected and passing of information for or to the US Government, I assume it was financed by the Iranian regime, while it is very common for them to eliminate any potential political threat or competition that the West could help to bring an end to their power.
- Then when President BUSH went out of Office; *the story that I am a Red neck*, was modified to a new story that I am a front for the Iranians that scared everyone away from my Business, even Attorneys that didn't hesitate to bill us hesitated to perform, told me that they fear of all these rumors because I was Born in Iran: what if, they lose their reputation or License to practice Law.

THE INCIDENT LED TO THE BANKRUPTCY

- In 2005 my former colleagues convinced me to invest our Savings of about \$960,000 to open a coin trading company with promise that they will manage it. A the same time a gentleman who was a former Marine, who fought during the Gulf War sought my help, who both promised me to manage the Business, **long story short**, before I realized I was way in over my head, (at time it was only ½ year that we became US Citizens and still needed a lot more to learn).
- When I realized that I was misled, under extreme amount of pressure and at a point of no return when in 2007 I received a phone call from MF GLOBAL's Vice President that he can **supply my Company with Bullions and Coins** and help me manage our orders, I blindly jumped into it, however I did my due diligence that **indeed MF GLOBAL had Storage of physical precious metals** audited by the Banks and CFTC they said (See exhibit # _____), within few weeks we noticed that MF GLOBAL Inc. **had mingled our cash** in churning of futures orders that our company maintained for hedge positions and suddenly millions of our funds went missing, immediately I asked our Lawyers at Lewis, Bribois, Bisgaard & Smith to file a grievance with MF Global Inc. Chief Counsel to investigate. **So we got caught in a web that couldn't get out.**
- On March 18, 2008 MF GLOBAL informed me that the GOLD market crashed, and NOT only NON of our Sell STOP orders triggered **and rejected by their system**, but also to the contrary close to \$20 million dollar Buy Orders in a ["DIVING market"] was executed and filled in our Corporate account that wiped out all our cash and equity. (See exhibit # _____)
- Our initial objection was that how in the World Sell STOP Orders that do NOT require excess Cash or payments were "REJECTED" and BUY Orders that **indeed require payments especially to the sum of \$20 million dollar at high prices during an 'extreme diving market' were filled?**

- **On April 18, 2008** When our Lawyers at [REDACTED] told me that they will need \$1 million dollar to image [REDACTED] and investigate to file a law suit, at that time being cleaned out by [REDACTED] we had NO other option than to file for Bankruptcy HOPING that with the help of the **Government** and the Bankruptcy Court we could get to the bottom of all the dances made by MF Global Inc. **keep in mind back then I was still fairly new in the Country and truly didn't know how everything works.**
- **Despite that we came into EVIDENCE** that in 2007 and 2008 [REDACTED] was issuing trade statements yet from our Corporate account *they literary were TRANSFERRING CASH to a GHOST Company* by the Name of [REDACTED] (See exhibit #____)
- **According to the Estate Bankruptcy Lawyer**, and later from the inaction of the assigned Trustee, who was and is an HONORABLE Man. **We were told:** that [REDACTED] is untouchable, and "above approach", furthermore in 2008 the Country cant suffer another "financial institution" scandal, and the decision from high up is that **"I" AM AT FAULT**, and it is to make an example of **"Me"** and to poster me to the Wall, like **"I"** who has even never been to Chicago before, **never held any commodity License** or had background in these type of markets was somehow at fault who "intentionally" caused all these, entirely ignoring the evidence the [REDACTED] was stealing cash and manipulating Trade tickets.
- **Our Company was a Coin and Bullion Exchange Company which was Licensed by Department of Commerce to Sell Precious Metals on Credit**, the Account Agreements also reflects that, for the period that the Company operated **every single client who paid off their Credit received their order without any delays**, expect few that at the time of the Bankruptcy still owed 80% of the balance due on their orders, I do NOT know how they twisted the Facts, ignored the Agreement, and influenced the process and managed from being *Debtors to become Creditors*, *One of the clients who was from Montana said to me that when they knew I was born in Iran founded necessary to step in!! And stop people like me!!*

They lied and perjured themselves to manage the Bankruptcy Judge issue a Non-Discharge order, and trashed me on the "internet" so **IT COULD BE USED TO CONVINCE THE CFTC COMMISSION TO ALLOW THE ENFORCEMENT TO ENGAGE IN AN ACTION** that no one can make sense of it. Rumor has it that someone at CFTC guided the whole thing. To make sure that the pleadings are changed to convince the Bankruptcy Judge so he finds that **"I"** placed futures orders. **So it was ORDERED:**

Despite (a) that the evidence that you will see and hear (attached hereto) will show that I was led to believe that I am purchasing into "delivery and storage" at [REDACTED]. **(b)** That the same customer who initially in their pleading under penalty of perjury Stated to the Court that they wanted Futures and "our Company" Sold them physical GOLD for delivery to change their complaint to that they wanted GOLD for delivery and "our Company purchased Futures".

IF Attorneys and people are approached by legitimate person who doesn't try to scare or put words in their mouth they will testify as to how this was manipulated. Shifting from [REDACTED] to my Bankrupt estates and "I".

IT is stated that the Trustees, the [REDACTED] [REDACTED] [REDACTED]s and "the one single customer" from Montana were so much under pressure by "an investigator" who claimed to be working with the CFTC enforcement, **coached them to the dot to guarantee CFTC Commission approving the filing for an "Injunction" by the enforcement.**

Misrepresentations to CFTC Commission: We guarantee you that when seeking their vote and approval to proceed in this matter, the "enforcement" did NOT disclose to the Commissionaires that this entire "Group of Defendants" and "Relief Defendants" were totally dissolved in a Bankruptcy Proceeding 3 years earlier and do NO longer even exist.

HISTORY ON CFTC COUNSEL ENGAGING IN HARASSING MANNERS IN THIS MATTER

Despite that we were already in Bankruptcy and there were Trustees appointed to our estates ***on or about November 2008*** [REDACTED] [REDACTED] ***sent letters directly to me demanding all materials from*** personal to the company to be sent to his Office. At first we were so HAPPY that we assumed finally here is someone who will get to the bottom of the issue and get our Money from MF Global Inc. back.

As per his Subpoena in November of 2008 me and the Attorney for the Bankruptcy estate send all the materials to [REDACTED], and subsequently attended a deposition at his will.

Suddenly after 3 years in December of 2010 [REDACTED] p files an "Injunction" names all the entities including our selves that were already **CLOSED and dissolved 3 years** earlier in the Bankruptcy, **makes a press release "10 times** greater than what [REDACTED] in combined ever received "against a group of NON-existence defendants and relief defendants that seemed like a BAD JOKE".

According to [REDACTED] p in the "Injunction" and declaration he filed we the district Court on November 09, 2010, **other than "ONE" single phone call** to [REDACTED]. **he made NO attempt** to investigate the "massive evidence of churning and TRANSFER OF ILLEGAL CASH from our account to a phony front account set up by [REDACTED] and entirely claims that "I" who even doesn't how futures trading worked made trades that caused losses!!

In general this matter it's a total misrepresentations by the CFTC Counsel that has baffled the entire legal community in orange county, NOT only he filed his Injunction almost 3 years **AFTER** that all these Companies were closed and dissolved by the Bankruptcy Trustee during the Bankruptcy proceeding in 2008, which is believed that he counted on quick Judgment in default **for career images, but also thus FAR** he or his investigator has "scared" away whomever or any Attorney who wanted to testify.

On November 10, 2011 I filed a "Motion for Summary Judgment" stating NOT only an injunction is filed to **prevent** or **stop** an ongoing act, (where as there are no one or is named in his "Request for an Injunction" that exist) but he violated 17 FACTS by law that this "Injunction" is frivolous and complete misrepresentation of the truth, filed years after the defendants went out of Business counting on a homerun Judgment by default knowing that there is NO one to defend it, and it should be dismissed.

From November of 2011 through December 03, 2012 that finally my "Motion for Summary Judgment" was heard [REDACTED] p counsel for the CFTC file numerous requests to extend the time, and played several tactics and games to distract the matter. Then proposed negotiation for Settlement and failed to produce a "Certified by forensic Accountant COMPUTATION" as to how he has reach to the dollar amounts that he has made in his claim as "Relief" in his application for "Injunction."

To continue delay the issue, he then almost 1 ½ year into the matter requested a Joint conference (which I am told is normally done in early stages of any case) "interestingly in the Conference he himself stated that "Discoveries were done" and there was NO mention of duplicate of discoveries or depositions.

Then suddenly he comes up with harassing strategy and requests duplicate of discoveries and depositions, knowing that it is 6 years since the incidents, memories are changed and even the TRUSTEE appointed by the U.S. TRUSTEE has NO obligation to keep records beyond 5 years.

Pretending to the court that none were done in the past, ignoring that there is a statute on all these yet wishing to obtain everything by force.

- [REDACTED] counsel for CFTC is a forceful man, has temper and forces people to do or say things by FEAR, to the point that people are afraid to be in one room with him.
- One of the very misrepresentations he does as Scare tactics, is to misuse the name of "US Attorney's Office", it is common for Government regulators to use Government facilities when they are traveling, by Rules [REDACTED] is to provide "a" address for a meeting, conference, or a depositions, however many have expressed that they wish NOT to get involve to testify for us, because NOT only he "emphasizes" that such meeting, conference, or a depositions is being held at "US Attorney's Office" putting ice and fears by insinuating that he is or a US Attorney will be present, BUT ALSO he emails between 5 to 10 times that he wants to make sure the individual knows to show up at The US Attorney's Office" wherever he is traveling to.

This is only to scare people and their Lawyers not to show up or say things in fear that he psychologically had put them through right up to the meeting, (See exhibit # _____ series of the same type of emails he sent to me)

As of this date NO proper decision has been made on my "Motion for Summary Judgment," I strongly believe he has used his influence to delay the decision on my "Motion for Summary Judgment" and closed each every possible way that will prove that this whole thing is twisted and suspicious.

Over all it is very difficult to describe and share all the evidence of harassment that we have suffered in the last 6 years and misrepresentations by a professional counsel to prove his way and force his way to a Judgment against NON existence defendants.

IF truly he had a case why NOT he commenced it when the Companies materials were in existence, and why NOT even at the commencement of their Bankruptcy case, even MF Global Inc. was still in Business and may be through our case destruction of 39,000 lives and loss of Billions could have been prevented.

It is obvious a lot of Money has and is still being "Spent" on this case, which is a joke and seems that he cannot report that to the Commission.

- Even the idea to poster a "Bullion Company" as NON MEMBERS of CFTC or NFA to the Wall and make an example of its owner compare to the amount of fraud and misrepresentations that has been made thus far by CFTC's FCMs seems to be passé.

At some point these tactics and movements against Bankrupt and defenseless U.S. Citizens will be recognized as ["VIOLATION OF A MAN's RIGHTS"] whereas he as a Representative of the US Government is sworn to uphold those Laws.

We escaped the Ayatollahs because they intimidate "through woman and Children," 2013 will be 60 years that my Family for 3 generations have served and stood by this Country. As an example: Despite that [REDACTED] very well knows that my Wife barely understands English, never Worked or received compensation at ABEX, other than by PHONE from Home sometimes scheduled interview appointments, yet still is making HER "suffer", though he knows that She suffered three Mammal tumors, to what purpose!!

You cannot imagine the emotional suffering that we went through the Bankruptcy *which was followed by [REDACTED] fancy press release*. And actions thus far that seems he enjoys dealing with a "Pre Se" litigant who is new in this country.

Further grant me an opportunity to appear before you and or in person be able to discuss the details of the sufferings that as a result of influence we gone through. PLEASE do NOT listen to the calls etc.

ALL THEY KEEP TELLING TO EVERYONE THAT [REDACTED] has nothing to do to what happened to us, yet the evidence shows that [REDACTED] was stealing CASH in 2007-2008 from account and calling in trades that were NOT approved by us.

I do NOT know IF this is true or NOT but some attorneys and people have tools me that someone who has introduced himself as a Security Agent had told them that "I" am an evil person, born in the middle east and through this action he needs their cooperation to flush me out.

- I swear to our Lord Jesus that NOT only my Family for 3 generations has served and represented the interest of the United States of America, but also I will never ever turn my back on the values of our Country based on the action of [REDACTED] which I strongly believe is also as result of manipulation by individuals who think they are more American than us, and have the right to make everyone us disloyal to our Republic other than themselves.**

I have attached a Copy of our statement of FACTS in support of "Motion for Summary Judgment", and some exhibits in support of my complaint you may also see the evidence on Docket # 91 through Docket # 100 and the statement of FACTS filed in December of 2012. At the end all I am asking to "Stop" [REDACTED] from harassing me and my family who has on and off for the last 6 years appear and disappear and investigate the FACTS and the intent behind this matter, *spending so much money and time almost 3 years after dissolution of the parties in the Bankruptcy.*

SEE ATTACHED HERE

**CC: CFTC Commissioner Mr.
CC: CFTC Commissioner Mr.
CC: United States President Barack Obama
CC: Former President William J Clinton**

Via U.S. Mail FAX

September 03, 2013

To: Commodity Futures Trading Commission
Office of the Inspector General

Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

EXHIBIT COVER SHEET

As an example: The CFTC Press Release by [REDACTED] among many other untrue Statements against entities that NO longer existed for years was that there was "80" customers involve. AT the time of Bankruptcy only 6 clients had open account with the defendant [REDACTED] who still owed 80% of their orders out standing.

- Attached hereto are Statements and dismissals by clients who were forged, forced and thrown into actions against the defendants without their knowledge, to make this a lot bigger than what really happened by misrepresentations.

Seems very awkward like the US Trustee appointed Trustee didn't do his Job and needed [REDACTED] at CFTC to come and collect "discharged" liabilities, ***which it is next to impossible to break such laws*** after an entity is discharged by the Court!!

- For more details please see defendant "Brief in Support of Defendant's" Motion for Summary Judgment V CFTC in this matter and exhibits in support thereof in the binder on its way via U.S. Mail to your Office.

4-29-09

[REDACTED] es
[REDACTED][REDACTED] es [REDACTED]
[REDACTED][REDACTED]
[REDACTED]
[REDACTED][REDACTED] a [REDACTED]
[REDACTED] d
[REDACTED]

To Whom It May Concern:

[REDACTED] gave me [REDACTED] phone number to look into legal issues. I then called [REDACTED] and talk to him about the bankruptcy of [REDACTED] corp. He asked for a Five thousand dollar retainer. I then told [REDACTED] that I would not be needing his services. I have had no contact since my phone call over a year ago. It has been brought to my attention that [REDACTED] is representing me without my permission.

I declare that the above is true and correct.

Sincerely,
[REDACTED]
[REDACTED]
[REDACTED]EXHIBIT #1
Page 1 of 4 pages

4-29-09

[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]

To Whom It May Concern:

[REDACTED] acted without permission in representing my wife and I, [REDACTED].
[REDACTED] I have payed no money to [REDACTED] and have never used him as
my attorney. I have not executed any legal action against [REDACTED]. I
have never employed [REDACTED].

I declare that the above is true and correct.

Sincerely,

[REDACTED]
[REDACTED]
[REDACTED]

EXH. #1 (page 2 of 4)

Attorneys for Plaintiff [REDACTED]

UNITED STATES BANKRUPTCY COURT
CENTRAL DISTRICT OF CALIFORNIA – SANTA ANA DIVISION

In re:

Debtor.

Plaintiff,

vs.

Defendant.

Case No. [REDACTED]

Chapter 7

Adv. No. [REDACTED]

**Stipulation to Dismiss Adversary
Proceeding without Prejudice and
to Revive and Extend Deadline for
Bringing Action and to Waive
Statute of Limitations FOR ONE YEAR**

Joint Status Conference Information

Date: June 25, 2009

Time: 11:00 a.m.

Ctrm: 5B

Plaintiff [REDACTED] ("Plaintiff") and Defendant [REDACTED] ("Defendant") hereby stipulate and agree as follows:

Recitals

A. Defendant filed his voluntary Chapter 11 petition on or about May 9, 2008. This bankruptcy case was converted to a case under Chapter 7 on or about October 10, 2008.

1 B. On or about January 21, 2009, Plaintiff commenced this adversary
2 proceeding by filing his complaint (the "Complaint") against Defendant pursuant to
3 Sections 523(a)(2) and 523(a)(4) of the United States Bankruptcy Code.

4 C. Defendant timely responded to the Complaint.

5 D. Plaintiff and Defendant (the "Parties") desire to resolve their differences
6 amicably. Towards that end, Defendant has made certain records, personal and related to
7 his bullion exchange businesses, available to Plaintiff. The Parties have agreed to a
8 dismissal of this adversary action without prejudice, and with a waiver of costs, in
9 exchange for an extension of the deadline to bring a complaint objecting to
10 dischargeability.

11
12 Stipulation

13 1. The Complaint will be dismissed without prejudice. Neither party shall
14 claim costs or expenses in connection with this adversary action, nor be deemed a
15 "prevailing party" for purposes of this adversary action.

16 2. The deadline for Plaintiff to bring an action objecting to the dischargeability
17 of certain debts shall be extended for one year, to June 8, 2010. Defendant agrees that the
18 statute of limitations or any similar defense including but not limited to *laches* shall be of
19 no force or effect if Plaintiff should bring such an action within this new deadline.

20
21 Dated: June 8, 2009

22
23 By: [REDACTED]
24 [REDACTED]
25 [REDACTED]
26 [REDACTED]
27 [REDACTED]
28 [REDACTED]

27 Dated: June 8, 2009

Name and Address

UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA

Plaintiff(s)

v.

Defendant(s).

REQUEST FOR APPROVAL OF
SUBSTITUTION OF ATTORNEY

Name of Party

☒ Plaintiff ☐ Defendant ☐ Other

hereby request the Court approve the substitution of

New Attorney

as attorney of record in place and stead of

Present Attorney

Dated

6/10/09

I have given proper notice pursuant to Local Rule 83

Dated

6/4/2009

Signature of Present Attorney

I am duly admitted to practice in this District pursuant to Local Rule 83-2.

Dated

6/6/09

State Bar Number

134534

If party requesting to appear Pro Se:

Dated

Signature of Requesting Party

NOTE: COUNSEL AND PARTIES ARE REMINDED TO SUBMIT A COMPLETED ORDER ON REQUEST FOR
APPROVAL OF SUBSTITUTION OF ATTORNEY (G-01 ORDER) ALONG WITH THIS REQUEST.

PROOF OF SERVICE BY ALL OPTIONS

I am employed in the County of Orange, State of California. I am over the age of 18 and not a party to the within action; my business address is 600 Anton Boulevard, Suite 1400, Costa Mesa, CA 92626-7689.

On June 16, 2009, I served, in the manner indicated below, the foregoing document described as **Request for Approval of Substitution of Attorney** on the interested parties in this action by placing true copies thereof, enclosed in sealed envelopes, at Costa Mesa, addressed as follows:

[REDACTED]

[REDACTED]



BY REGULAR MAIL: I caused such envelopes to be deposited in the United States mail at Costa Mesa, California, with postage thereon fully prepaid. I am readily familiar with the firm's practice of collection and processing correspondence for mailing. It is deposited with the United States Postal Service each day and that practice was followed in the ordinary course of business for the service herein attested to (C.C.P. § 1013(a)).



BY FACSIMILE: (C.C.P. § 1013(e)(f)).



BY FEDERAL EXPRESS: I caused such envelopes to be delivered by air courier, with next day service, to the offices of the addressees. (C.C.P. § 1013(c)(d)).



BY PERSONAL SERVICE: I caused such envelopes to be delivered by hand to the offices of the addressees. (C.C.P. § 1011(a)(b)).

I declare that I am employed in the office of a member of the bar of this court at whose direction the service was made.

Executed on June 16, 2009, at Costa Mesa, California

[REDACTED]

1 [REDACTED]
2 [REDACTED] LEIMER [REDACTED]
3 [REDACTED]
4 [REDACTED]
5 Attorneys for Plaintiff [REDACTED]

6
7
8 UNITED STATES DISTRICT COURT
9 CENTRAL DISTRICT OF CALIFORNIA – SANTA ANA DIVISION
10

11 [REDACTED]
12 [REDACTED]
13
14 Plaintiffs,
15 vs.
16
17 [REDACTED]
18 Defendant.
19
20

Case No. [REDACTED]

**STIPULATION TO DISMISS
COMPLAINT AND COUNTER-
COMPLAINT WITHOUT
PREJUDICE**

21 Plaintiff [REDACTED] and [REDACTED]
22 (“Defendant”), hereby stipulate and agree as follows:
23

- 24 1. [REDACTED] shall dismiss his complaint without prejudice.
25 2. Defendant shall dismiss his counter-complaint without prejudice.
26 3. Neither party shall claim costs or expenses in connection with this action,
27 nor be deemed a “prevailing party” for purposes of this action.
28

1 4. This Stipulation may be executed and delivered in counterparts, and
2 signatures by facsimile and/or electronic delivery shall be as valid and binding as an
3 original.

4
5 Dated: August 20, 2009

6
7 By:  _____

8
9 Dated: August 19, 2009

EXHIBIT A

EXHIBIT A

1 [REDACTED]
2 [REDACTED]
3 [REDACTED]
4 [REDACTED]
5 Attorneys for Plaintiff [REDACTED]
6
7

8 UNITED STATES DISTRICT COURT
9 CENTRAL DISTRICT OF CALIFORNIA – SANTA ANA DIVISION
10

11 [REDACTED],
12 [REDACTED]

13 Plaintiffs,
14

15 vs.
16

17 [REDACTED] ES,
18

19 Defendant.
20

Case No. [REDACTED] (x)

**[Proposed] Order Approving
Stipulation to Dismiss Complaint
and Counter-Complaint without
Prejudice**

21 The Court, having considered the Stipulation between [REDACTED]
22 ([REDACTED]) and [REDACTED], for the dismissal of their
23 respective complaint and counter-complaint, and finding cause therefor, hereby orders as
24 follows:

- 25 1. The complaint of [REDACTED] hereby dismissed without prejudice;
26
27 2. The counter-complaint of Defendant [REDACTED] is hereby dismissed
28 without prejudice; and

1 3. Neither party shall be deemed a "prevailing party" for purposes of this
2 action, nor be entitled to recover costs, fees or expenses from one another with respect
3 hereto.

4
5 Dated: _____

United States District Judge

6
7
8 Respectfully submitted,

9 [REDACTED]

10 [REDACTED]
11 [REDACTED]
12 [REDACTED]
13 [REDACTED]
14 [REDACTED]

PROOF OF SERVICE BY ALL OPTIONS

I am employed in the County of Orange, State of California. I am over the age of 18 and not a party to the within action; my business address is 600 Anton Boulevard, Suite 1400, Costa Mesa, CA 92626-7689.

On August 20, 2009, I served, in the manner indicated below, the foregoing document described as **STIPULATION TO DISMISS COMPLAINT AND COUNTER-COMPLAINT WITHOUT PREJUDICE** on the interested parties in this action by placing true copies thereof, enclosed in sealed envelopes, at Costa Mesa, addressed as follows:

[REDACTED]

[REDACTED]

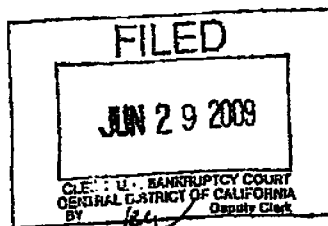
- ☒ BY REGULAR MAIL: I caused such envelopes to be deposited in the United States mail at Costa Mesa, California, with postage thereon fully prepaid. I am readily familiar with the firm's practice of collection and processing correspondence for mailing. It is deposited with the United States Postal Service each day and that practice was followed in the ordinary course of business for the service herein attested to (C.C.P. § 1013(a)).
- ☐ BY FACSIMILE: (C.C.P. § 1013(e)(f)).
- ☐ BY FEDERAL EXPRESS: I caused such envelopes to be delivered by air courier, with next day service, to the offices of the addressees. (C.C.P. § 1013(c)(d)).
- ☐ BY PERSONAL SERVICE: I caused such envelopes to be delivered by hand to the offices of the addressees. (C.C.P. § 1011(a)(b)).

I declare that I am employed in the office of a member of the bar of this court at whose direction the service was made.

Executed on August 20, 2009, at Costa Mesa, California.

[REDACTED]

May 29, 09



ORIGINAL
LODGED DATE

ORIGINAL

UNITED STATES BANKRUPTCY COURT
CENTRAL DISTRICT OF CALIFORNIA
SANTA ANA DIVISION

ENTERED

JUL - 2 2009

CLERK U.S. BANKRUPTCY COURT
CENTRAL DISTRICT OF CALIFORNIA
BY [Signature] Deputy Clerk

LODGED

JUN 1 - 2009

In Re:

Chapter 7

Debtor.

Plaintiffs,

v.

Defendant.

The undersigned parties hereby stipulate and agree to dismiss with prejudice the following actions and/or parties:

1. Plaintiff [redacted] hereby dismisses with prejudice his adversary complaint against [redacted]; and

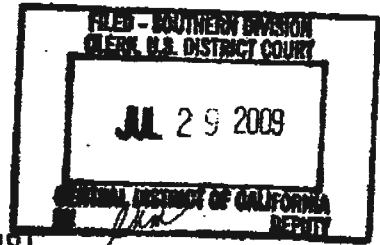
2. [redacted] hereby dismisses without prejudice his counterclaim against [redacted] and [redacted]

DATED: May 29, 09

DATED: May 29, 09

1 CURS ANTHONY DOMICHI F "PRO SE"

EXHIBIT #4 (1 Page Only)



NOTE CHANGES MADE BY THE COURT

UNITED STATES DISTRICT COURT
CENTRAL DISTRICT OF CALIFORNIA

Case [REDACTED] 472AHS [REDACTED]
Hon. Alicemarie H. Stotler

~~PROPOSED~~ ORDER DISMISSING
PLAINTIFF, LOUIS DIMICHELE,
WITHOUT PREJUDICE

[REDACTED], and all others
similarly
situated,
Plaintiffs,
vs.
[REDACTED] S, [REDACTED]
[REDACTED] S
[REDACTED] Defendants.

THE COURT HEREBY ORDERS AS FOLLOWS: Pursuant to Plaintiff's Request
For Dismissal, [REDACTED] action
PLAINTIFF, [REDACTED] is dismissed without prejudice from the
above referenced action.

DATE: JUL 29 2009

Alicemarie H. Stotler
ALICEMARIE H. STOTLER
U.S. DISTRICT
COURT JUDGE

From: [REDACTED]
To: [Ringle, Judith A](#); [Baptiste, Tony](#)
Cc: [Lavik, A. Roy](#)
Subject: FW: lack of disclosure regarding new cell phones
Date: Friday, December 20, 2013 5:26:09 PM

Alright now, this is mass mess up going on with new cell phone roll out and waste of money! This should be investigated as it has implications for how internal processes work on major purchasing programs.

I am not the only person complaining. The biggest issue here is that purchases should be made by those in charge based on: security, ease of access, best service.

It is unacceptable that ODT did not provide full disclosure of how cumbersome the access sequence is for iPhones and Galaxies. So don't let anyone tell you staff anted choice etc.

[REDACTED]

From: [REDACTED]
Sent: [REDACTED]
To: [REDACTED]
Cc: [REDACTED]
Subject: [REDACTED]
Importance: High

[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
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[REDACTED]
[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Thursday, March 07, 2013 11:20:52 AM

© 2004 Blackwell Publishing Ltd
Journal of Internal Medicine 255: 105–112

To: [REDACTED]

© 2004 Blackwell Publishing Ltd

11

11

||

11

From: OIGEmail
To: [REDACTED]
Subject: RE: report fraud, waste and abuse at CFTC
Date: Monday, December 23, 2013 9:56:00 AM

Dear [REDACTED],

I forwarded your complaint to the Division of Enforcement. The Office of Inspector General combats fraud, waste, and abuse within the Agency, while the Division of Enforcement takes action against market professionals and others who violate the Commodity Exchange Act and CFTC regulations.

Sincerely,

Judy Ringle, Attorney-Advisor
CFTC OIG

From: [REDACTED]
Sent: Thursday, November 21, 2013 4:45 PM
To: OIGEmail
Subject: OIG: report fraud, waste and abuse at CFTC

OFFICE OF THE
INSPECTOR GENERAL
CFTC USA

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

In August 2007, [REDACTED] ([REDACTED]) suggested I ([REDACTED]) to transfer the management of [REDACTED] means for trading on Forex. In this case, [REDACTED] guarantees preservation of my money and a monthly revenue of 4.17%.

In September I and [REDACTED] signed contract under which I had to transfer money to a bank account [REDACTED] [REDACTED]

[REDACTED]
[REDACTED] «PROSECUTORS OFFICE OF
THE REPUBLIC OF LATVIA OFFICE FOR PREVENTION OF LAUNDERING OF

PROCEEDS DERIVED FROM CRIMINAL ACTIVITY» [REDACTED] sent my money in the U.S. (see attached file SBH_36312100211042).

From October 2007 to January 2010 made payments .

Since [REDACTED] regularly paid me money under the contract , I brought a few friends to her. Over . [REDACTED] that I paid the agency remuneration . [REDACTED] had always paid me money under the contract and the agent's fee is always the same amount. No other information about the status of my account I had not. Moreover all my requests for information I have on the state of the account on the court is always rejected trade [REDACTED] under specious pretexts.

In February 2010, [REDACTED] told me that she had a momentary hiccup. In April 2010, I asked [REDACTED] pay me back then [REDACTED] told me that she had lost my money during the crisis of 2008. On my request to show a bank statement confirming the loss of money. But was [REDACTED] February 2010 [REDACTED] told me that she had a momentary hiccup. In April 2010, I asked [REDACTED] pay me back then [REDACTED] told me that she had lost my money during the crisis of 2008. On my request to show a bank statement confirming the loss of money. But was refused .

As far as I is known [REDACTED] all this time acted in breach of the Laws of the United States. Namely:

- being the by an Introducing Broker the company «FxCompany» has no registration and;
- produces collecting money from the citizens to trust management without a license "retail foreign exchange dealer."

I ask you to take action to combat fraud [REDACTED] on FOREX and return to me the means by which she unlawfully took possession.

[REDACTED]

11/21/2013

[REDACTED]

From: Ringle, Judith A
To: Ricci, Charles A.; Amakor, Michael O.
Subject: FW: report fraud, waste and abuse at CFTC
Date: Friday, January 10, 2014 2:09:00 PM

FYI. I believe the appropriate people might be Rosemary and Mr. Janulis (see <http://www.cftc.gov/ucm/groups/public/@lrenforcementactions/documents/legalpleading/enfpfgcomplaint071012.pdf>), but of course I'm not sure.

Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: OIGEmail
Sent: Friday, January 10, 2014 2:07 PM
To: (b)(6)
Subject: RE: report fraud, waste and abuse at CFTC

Dear (b)(6): I will direct your email to the people at CFTC who have worked on the PFGBest matter. Please let me know if you need further assistance.

Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: (b)(6)
Sent: Thursday, January 09, 2014 11:04 AM
To: OIGEmail
Subject: OIG: report fraud, waste and abuse at CFTC

My apologies for using your forum to ask a simple question regarding the current lawsuit CFTC has pending against US Bank regarding the PFGBest commodity customer account established with USBank.

I see that a similar case was developed against JP Morgan bank in the Bernie Madoff case, where the New York Times reports that the Department of Justice apparently was the prime mover. Noticing the similarities of the Justice Department charges and those of the CFTC in the case against PFGBest, I was wondering if the CFTC has sought Justice Dept. assistance and if not, why not?

I traded commodities through PFGBest and thus far, have recovered a mere 37% of my account balance, thus my interest in knowing if all avenues of possible recovery are being considered, including possible utilization of the Department of Justice?

I'd appreciate any information you might be able to provide. I might add that it's tough for an ordinary citizen to speak with anyone beyond a receptionist.

(b)(6)

(b)(6)

[REDACTED]

[REDACTED]

From: OIGEmail
To: "Anonymous"
Subject: RE: Executive Director Position
Date: Thursday, January 23, 2014 11:42:00 AM

Thank you for contacting the CFTC OIG. I am not sure if we will have the staff resources to fully look into your concerns. However, I think your concerns are not unfounded. Federal officials should be accountable for human resources policies. Even if a human resource policy is defensible under the law, an Inspector General could recommend alteration to a policy in order to promote efficiency, or to avoid fraud/waste/abuse. I do not know the Inspector General's views on the Agency's current hiring policies for the Executive Director.

By the way, the CFTC's Inspector General is a 16, not an 18, and it is not a two year appointment. Each Inspector General's grade and salary is set in accordance with the Inspector General Act. Removal of an Inspector General is also covered under the Inspector General Act.

If you have anything else you want to give us, please feel free to continue to use email, or regular mail at: CFTC OIG, 1155 21st St NW, Washington, DC 20581. Our fax # is 202-418-5522, and my direct line is given below. You can of course continue to be anonymous.

Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

-----Original Message-----

From: Anonymous [mailto:anonymous@ (b)(6)]
Sent: Wednesday, January 22, 2014 6:51 PM
To: OIGEmail
Subject: Executive Director Position

Dear CFTC Inspector General,

It has come to my attention that the CFTC Executive Director position has recently been changed from a Term to a Permanent position. It is now apparently the only executive, CT-18, Permanent position.

There are a number of issues that should be investigated including (1) how can this be a Permanent position if it serves "at the pleasure of the commission" per the CEA, (2) did OGC review and approve of this change, (3) if it is acceptable then why wasn't it applied to all other CT-18 positions, including the General Counsel, Inspector General, etc..., (4) if it was not reviewed by OGC, was this abuse of power by the Executive Director and the human resources department that is part of the Office of the Executive Director?

Thank you for investigating this matter. I hope that your review and findings will be made available on your public website.

From: Ringle, Judith A
Sent: Wednesday, January 29, 2014 12:16 PM
To: Enforcement
Subject: FW: concerns

FYI

From: OIGEmail
Sent: January 29, 2014 12:15 PM
To: [REDACTED]
Subject: concerns

Dear [REDACTED]:

Thank you for sending your message to CFTC OIG.

Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: [REDACTED]
Sent: [REDACTED]
To: OIGEmail
Subject: concerns

I was reading the latest disturbing news media article(s) regarding the alleged widespread questionable and dubious activities in the futures trades industry at all levels by financial services industry leaders such as Bank of America throughout the State of Maryland and/or the Nation, despite strong documentation indicating such problems exist. Please coordinate, collaborate and cooperate on Federal, State and/or local jurisdictional levels in addressing these egregious concerns potentially impacting adversely the public's finances, policies, trust, confidence, and quality of life issues. Thank you for your time in this matter and hope to hear from you soon.

[REDACTED]

Exclusive: Bank of America's trading practices have been probed, filing sho
By [REDACTED] Sat Jan 25, 2014

NEW YORK/WASHINGTON (Reuters) - The U.S. Department of Justice and the Commodity Futures Trading Commission have both held investigations into whether Bank of America (BAC.N: Quote, Profile, Research, Stock Buzz) engaged in improper trading by doing its own futures trades ahead of executing large orders for clients, according to a

regulatory filing.

The June 2013 disclosure, which Reuters recently reviewed on a website run by the securities industry regulator FINRA, sheds light on the basis for a warning by the Federal Bureau of Investigation on January 8.

The warning, in the form of an intelligence bulletin to regulators and security officers at financial services firms, said that the FBI suspected swaps traders at an unnamed U.S. bank and an unnamed Canadian bank may have been involved in market manipulation and front running of orders from U.S. government-owned mortgage giants Fannie Mae (FNMA.OB: Quote, Profile, Research, Stock Buzz) and Freddie Mac (FMCC.OB: Quote, Profile, Research, Stock Buzz).

Reuters has since learned that Bank of America's trading practices regarding Fannie and Freddie are the subject of probes, and that the investigations are ongoing.

Bank of America spokesman [REDACTED] declined comment when asked about the investigations.

The disclosure on the FINRA site doesn't specifically accuse Bank of America of any wrongdoing.

It says: "We understand that the (U.S. Attorney's Office) is investigating whether it was proper for the swaps desk to execute futures trades prior to the desk's execution of block future trades on behalf of counterparties."

The filing, which identifies the U.S. Attorney's Office in Charlotte, North Carolina, where Bank of America is based, adds: "We also understand that the Commodity Futures Trading Commission is conducting a parallel investigation into the trading issue."

The filing cites the bank as the source of the information.

The disclosure is in a FINRA "BrokerCheck" report on Eric Beckwith, a former managing director at Bank of America's Merrill Lynch broker-dealer division in New York. BrokerCheck is an online system that allows investors to check the backgrounds of brokers for any regulatory issues or malpractice.

Representatives from the CFTC, and the U.S. Attorney's office in Charlotte declined comment.

The filing said investigators are also looking into whether Beckwith gave accurate information to the CME Group's Chicago Mercantile Exchange in connection with an investigation by the exchange into the trading.

██████ said ██████ left the firm in July.

██████ could not be reached for comment. The CME declined to

Front running occurs when someone with advance knowledge of another market participant's plan to make a sizable transaction puts an order in first, often profiting from a market move that can occur once the big trade has gone through. It is a concern for many regulators as it pushes up the cost of trades entered into by investors, including pension funds and governments.

In the bulletin, the FBI warned of "unsophisticated tradecraft" such as hand signals or special ring tones that traders were using to deliver information about impending orders in the interest-rate swaps market.

The document also said that the inspector general's office of the Federal Housing Finance Agency, the regulator of Fannie Mae (FNMA.OB: Quote, Profile, Research, Stock Buzz) and Freddie Mac (FMCC.OB: Quote, Profile, Research, Stock Buzz), is looking into the matter.

Representatives for Fannie Mae and Freddie Mac declined to comment.

From: OIGEmail
To: (b)(6)
Subject: RE: Formal Complaint In re: CFTC Counsel
Date: Friday, January 31, 2014 3:36:00 PM

Dear (b)(6)

Thank you again for contacting CFTC OIG. I have reviewed your submission. Unfortunately, we cannot routinely provide status information regarding what action we have taken or plan to take on any allegation reported to our office. Federal law and regulations prohibit the disclosure of information contained in law enforcement records even to individuals making allegations or providing evidence. These same privacy laws also protect your information and identity from unauthorized disclosures as well. Due to these legal considerations, we cannot provide victims, witnesses, and submitters such as yourself with the status of action taken on allegations.

Any number of considerations may impact the decision whether to open an investigation into an incoming allegation, but the level of detail contained in the allegation is key. Other factors impacting the decision whether (and when) to open an investigation into an incoming allegation includes current competing investigative priorities and, unfortunately, resource limitations.

Our investigations are most successful when the allegation includes as much information as possible about the actors and about the conduct that is the subject of the allegation. The more you can tell us, the better chance we have of deciding to investigate and the better chance of success we have in determining whether misconduct has been committed, or not.

Consequently, it is important that you be as detailed as possible regarding the following:

- 1) Names of all parties involved, including: home and email addresses, telephone numbers, and any other contact information you can provide.
- 2) Description of the misconduct, including: location where the misconduct took place, the dates of any act of misconduct, how the misconduct was committed, the person's motivation for committing the misconduct (if known), who else has knowledge of the misconduct.
- 3) Any documentation that is pertinent to the alleged misconduct.

Even if we determine that your complaint may not be investigated at this time, please know that if multiple similar complaints are received regarding the same alleged misconduct, your complaint may help us to detect patterns of fraud and abuse, which may lead to investigations and resulting recommendations for corrective, disciplinary, or law enforcement action.

Sincerely,

Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: (b)(6)
Sent: Wednesday, January 29, 2014 3:08 PM

To: OIGEmail
Subject: Re: Formal Complaint In re: CFTC Counsel

TO WHOM IT MAY CONCERN,

Since I filed my Complaint the email below was the only respond I had received.

I will appreciate if you would kindly provide me with an update.

Sincerely,

(b)(6)

By the Electronic Communications Privacy Act, 18 U.S.C. 2510 The information in this e-mail by Sender or from its subsidiaries , and any attachment therein, is confidential and for use by the addressee only. If you are not the intended recipient or an Agent responsible for delivering this message to the intended recipient, please return the e-mail to the sender and delete it from your computer. You must not copy or distribute or forward this e-mail to any other person or take any action in reliance on it. Although Sender or from its subsidiaries and or its affiliates attempts to ensure all e-mails and attachments are virus free, it does not guarantee that either are virus free and accepts no liability for any damage sustained as a result of viruses. Sender is NOT a United States Securities Dealer or Broker or U.S. Investment Advisor.

On Oct 4, 2013, at 6:01, OIGEmail <OIGEmail@CFTC.gov> wrote:

(b)(6)

I am writing to acknowledge receipt of your email and attachment on September 26, 2013. I apologize for not getting back sooner; I was out of the office last week and of course this week we are operating under our furlough procedures due to the lapse in appropriations. Once we are up and running under non-furlough procedures, we will be in contact. Thank you for your patience.

Sincerely,

Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: (b)(6)

Sent: Thursday, September 26, 2013 8:36 PM

To: OIGEmail

Subject: Fwd: Formal Complaint In re: CFTC Counsel

To the Office of the CFTC Inspector General

Please see attached hereto my complaint In re: CFTC enforcement action and Counsel (b)(6) aggressive and forceful treatment.

Yours truly,

(b)(6)

The information in this e-mail by Sender; or from its subsidiaries , and any attachment therein, is CONFIDENTIAL and for use by the addressee only. Electronic Communications Privacy Act, 18 U.S.C. 2510. If you are NOT the intended recipient or an Agent responsible for delivering this message to the intended recipient, please return the e-mail to the sender and delete it from your computer. You must NOT copy or distribute or forward this e-mail to any other person or take any action in reliance on it. Although the Sender; or from its subsidiaries and or its affiliates attempts to ensure all e-mails and attachments are virus free, it does not guarantee that either are virus free and accepts no liability for any damage sustained as a result of viruses.

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From: Ringle, Judith A
To: Ringle, Judith A
Subject: FW: concerns
Date: Sunday, July 26, 2015 1:14:06 PM

From: OIGEmail
Sent: Wednesday, January 29, 2014 12:15 PM
To: [REDACTED]
Subject: RE: concerns

Dear [REDACTED]:

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Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: [REDACTED]
Sent: Saturday, January 25, 2014 8:06 PM
To: OIGEmail
Subject: concerns

I was reading the latest disturbing news media article(s) regarding the alleged widespread questionable and dubious activities in the futures trades industry at all levels by financial services industry leaders such as Bank of America throughout the State of Maryland and/or the Nation, despite strong documentation indicating such problems exist. Please coordinate, collaborate and cooperate on Federal, State and/or local jurisdictional levels in addressing these egregious concerns potentially impacting adversely the public's finances, policies, trust, confidence, and quality of life issues. Thank you for your time in this matter and hope to hear from you soon.

Sincerely,

[REDACTED]

Exclusive: Bank of America's trading practices have been probed, filing shows

By Karen Brettell and Aruna Viswanatha Sat Jan 25, 2014

NEW YORK/WASHINGTON (Reuters) - The U.S. Department of Justice and the Commodity Futures Trading Commission have both held investigations into whether Bank of America (BAC.N: Quote, Profile, Research, Stock Buzz) engaged in improper trading by doing its own futures trades ahead of executing large orders for clients, according to a regulatory filing.

The June 2013 disclosure, which Reuters recently reviewed on a website run by the securities industry regulator FINRA, sheds light on the basis for a warning by the Federal Bureau of Investigation on January 8.

The warning, in the form of an intelligence bulletin to regulators and security officers at financial services firms, said that the FBI suspected swaps traders at an unnamed U.S. bank and an unnamed Canadian bank may have been involved in market manipulation and front running of orders from U.S. government-owned mortgage giants Fannie Mae (FNMA.OB: Quote, Profile, Research, Stock Buzz) and Freddie Mac (FMCC.OB: Quote, Profile, Research, Stock Buzz).

Reuters has since learned that Bank of America's trading practices regarding Fannie and Freddie are the subject of probes, and that the investigations are ongoing.

Bank of America spokesman Bill Halldin declined comment when asked about the investigations.

The disclosure on the FINRA site doesn't specifically accuse Bank of America of any wrongdoing.

It says: "We understand that the (U.S. Attorney's Office) is investigating whether it was proper for the swaps desk to execute futures trades prior to the desk's execution of block future trades on behalf of counterparties."

The filing, which identifies the U.S. Attorney's Office in Charlotte, North

Carolina, where Bank of America is based, adds: "We also understand that the Commodity Futures Trading Commission is conducting a parallel investigation into the trading issue."

The filing cites the bank as the source of the information.

The disclosure is in a FINRA "BrokerCheck" report on Eric Beckwith, a former managing director at Bank of America's Merrill Lynch broker-dealer division in New York. BrokerCheck is an online system that allows investors to check the backgrounds of brokers for any regulatory issues or malpractice.

Representatives from the CFTC, and the U.S. Attorney's office in Charlotte declined comment.

The filing said investigators are also looking into whether Beckwith gave accurate information to the CME Group's Chicago Mercantile Exchange in connection with an investigation by the exchange into the trading.

Halldin said Beckwith left the firm in July.

Beckwith could not be reached for comment. The CME declined to comment.

Front running occurs when someone with advance knowledge of another market participant's plan to make a sizable transaction puts an order in first, often profiting from a market move that can occur once the big trade has gone through. It is a concern for many regulators as it pushes up the cost of trades entered into by investors, including pension funds and governments.

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The document also said that the inspector general's office of the Federal Housing Finance Agency, the regulator of Fannie Mae (FNMA.OB: Quote, Profile, Research, Stock Buzz) and Freddie Mac

(FMCC.OB: Quote, Profile, Research, Stock Buzz), is looking into the matter.

Representatives for Fannie Mae and Freddie Mac declined to comment.

From: OIGEmail
To: [REDACTED]
Subject: RE: Message for the Office of the Inspector General at the CFTC
Date: Friday, January 31, 2014 2:26:00 PM

Dear [REDACTED]:

Thank you for contacting CFTC OIG to ask about our whistleblower ombudsman.

Respectfully, I disagree with your interpretation of the Whistleblower Protection Enhancement Act of 2012 (Pub. L. No. 112-199, 126 STAT 1465 (Nov. 27, 2012)). Section 117 of the Whistleblower Protection Enhancement Act of 2012 amends section 3(d) of the Inspector General Act to add new subsection (d)(1)(C), which does require the designation of a Whistleblower Protection Ombudsman; HOWEVER, section 3 of the Inspector General Act does not apply to CFTC OIG. CFTC OIG was established under section 8G of the Inspector General Act. Section 8G addresses the Inspector Generals (including CFTC's) where appointment is made by the Agency head (and not the President with Senate confirmation). While section 8G provides that certain sections of the IG Act apply to Agency-appointed IGs, section 3 is not among them, and section 8G does not include a requirement to appoint a whistleblower ombudsman.

If you are aware of contrary authority, please feel free to let me know!

Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: [REDACTED]
Sent: Thursday, January 30, 2014 7:44 PM
To: OIGEmail
Subject: Message for the Office of the Inspector General at the CFTC

Dear Sir/Madam,

Could you be so kind as to let me know the name and contact information of the Whistleblower Protection Ombudsman (WPO) at the CFTC's Office of Inspector General?

I understand from Section 117 of the Whistleblower Enhancement Protection Act of November 2012 that each Inspector General shall designate a Whistleblower Protection Ombudsman. Please see below:

<http://www.gpo.gov/fdsys/pkg/PLAW-112publ199/pdf/PLAW-112publ199.pdf>

Many thanks.

Kind regards,

[REDACTED]

From: [REDACTED]
To: OIGEmail
Subject: Re: Message for the Office of the Inspector General at the CFTC
Date: Friday, January 31, 2014 3:10:04 PM

Dear Ms. Ringle:

Many thanks for your prompt and insightful answer. You clearly know your Inspector General Act!

Wishing you a pleasant weekend.

Kind regards

[REDACTED]

On Fri, Jan 31, 2014 at 2:26 PM, OIGEmail <OIGEmail@cftc.gov> wrote:

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Many thanks.

Kind regards,

[REDACTED]

From: [REDACTED]
Sent: Friday, January 31, 2014 4:25 PM
To: OIGEmail
Subject: Re: Formal Complaint In re: CFTC Counsel

Dear Ms. Ringle,

Thank you so much for your detail explanations, Will do as you suggested and will try to provide you with as much as detail that I can.

However please know that meanwhile he is using his influence Representing the US Government to the point that the Court has taken his allegations for granted.

I have no chance, i.e. As you saw attached to my previous email "testimony" from our [REDACTED] General counsel and [REDACTED] Trustee, "stated" that we only had ONE SINGLE client who made a 523 claim in our [REDACTED] case.

yet he has made the court believe that there were 80 people, when he filed this injunction it was 3 years after US [REDACTED] Trustee closed our case so he wrote whatever he liked, never expecting that I answer or fight back.

I am told when DODD-FRANK passed they were tasked to take some quick actions as such they dug in their trash and ruined our lives, what is troubling that they make these press releases that truly influences the court and people's mind sets.

He is very unethical and plays game very well:

As an example: in November 2013, I notified him that I will be out on Surgery, yet he filed a motion to compel in my absence, never send a copy to me. And tells the court I have refused to respond to his dragatories

Despite that I found out and responded on the last minute, he misrepresented that my responses were insufficient. And the court which already thinks I am a crook, agrees with his assertion.

Yet there is nothing to be produced, after 7 years our ■ TRUSTEES the ATTORNEYS and me have responded and produced over and over the same thing, but he continues to using his power it to wore us out to harass or annoy with intent to make us upset. Despite that I sent everything Certified mail he constantly claims That CFTC has not received your responses!!

Amazing man he is.

I cannot tell you the extend of unfairness that we have gone through and suffered since 2008 by his hand.

I will provide you with more detail information to enable you to hopefully put an end to this 7 years of this man's obsession with holding a gun to my head.

I am great full for you to at least look into this.

Sincerely,

[REDACTED]

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Dear [REDACTED]:

I am writing to acknowledge receipt of your email and attachment on September 26, 2013. I apologize for not getting back sooner; I was out of the office last week and of course this week we are operating under our furlough procedures due to the lapse in appropriations. Once we

are up and running under non-furlough procedures, we will be in contact. Thank you for your patience.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

From:

Sent: Thursday, September 26, 2013 8:36 PM

To: OIGEmail

Subject: Fwd: Formal Complaint In re: CFTC Counsel

To the Office of the CFTC Inspector General

Please see attached hereto my complaint In re: CFTC enforcement action and aggressive and forceful treatment.

Yours truly,

The information in this e-mail by Sender; or from its subsidiaries , and any attachment therein, is CONFIDENTIAL

and for use by the addressee only. Electronic Communications Privacy Act, 18 U.S.C. 2510. If you are NOT the intended recipient or an Agent responsible for delivering this message to the intended recipient, please return the e-mail to the sender and delete it from your computer. You must NOT copy or distribute or forward this e-mail to any other person or take any action in reliance on it. Although the Sender; or from its subsidiaries and or its affiliates attempts to ensure all e-mails and attachments are virus free, it does not guarantee that either are virus free and accepts no liability for any damage sustained as a result of viruses.

From: OIGEmail
To: [REDACTED]
Subject: RE: FTC, SEC & [REDACTED] Choose [REDACTED] Over Proprietary Platforms
Date: Friday, January 31, 2014 1:48:00 PM

Please reach out to the Agency, and not it's Office of Inspector General. We address fraud, waste, and abuse by Agency employees, and make recommendations and referrals as warranted. The Agency procures IT products and services, agency-wide.

Please go to <http://www.cftc.gov/Contact/index.htm>. It might make sense to start with the Office of Data and Technology.

Sincerely,
Judy Ringle, Attorney-Advisor
CFTC OIG
(202)418-5109

From: [REDACTED]
Sent: Friday, January 31, 2014 10:35 AM
To: OIGEmail
Subject: FTC, SEC & [REDACTED] Choose [REDACTED] Over Proprietary Platforms

Hi there,

I am reaching out to connect with you regarding the CFTC's digital roadmap. We've seen amazing [REDACTED] adoption within both Government and commercial Financial Services market(s); [REDACTED] have selected [REDACTED] and the [REDACTED] platform to run major web initiatives.

Take a look at this [article about \[REDACTED\]](#) - published by the founder of [REDACTED] - I think you'll find it relevant to the digital challenges CFTC might be facing as well.

[REDACTED] has been adopted by Federal agencies such as The White House, DOT, DOE, DOJ, Commerce and many more. We have compelling information around [REDACTED] vs. proprietary vendors like [REDACTED]

I would be happy to share it and hope it will help with future decisions around your web initiatives.

Would it make sense for us to chat?

Kindly,

[REDACTED]

O: [REDACTED]
M: [REDACTED]
E: [REDACTED]
W: [REDACTED]

[REDACTED] [America by Deloitte](#)

Samples of [Gov Sites](#) [REDACTED]



From: OIGEmail

Sent: Wednesday, October 16, 2013 9:18 AM

To: [REDACTED]

Subject: RE: FREEDOM OF INFORMATION ACT REQUEST - 10-09-2013 ([REDACTED])

Sensitivity: Confidential

Dear [REDACTED]:

Your email (below) does not appear to involve any matter that would fall within the authority of the Commodity Futures Trading Commission Office of Inspector General. If you have a complaint or comment that addresses fraud, waste, or abuse in connection with the programs or operations of the Commodity Futures Trading Commission, please let us know.

If you would like to request documents from CFTC under the Freedom of Information Act (5 USC section 552), your request may be filed online here: <https://www.cftc.gov/FOI/request/index.htm>.

Many thanks.

Sincerely,

Judy Ringle, Attorney-Advisor

CFTC OIG

(202)418-5109

From: [REDACTED]

Sent: Tuesday, October 15, 2013 12:46 PM

To: [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED] oig@sec.gov; oig@ftc.gov; oighotline@frb.gov;

OIG.Hotline@frb.org.frb.gov; OIGEmail; OIGHOTLINE@fhfaoig.gov; oighotline@gao.gov;

oig.hotline@usdoj.gov; oighotline@loc.gov; oigfoia@usdoj.gov; OIGCounsel@oig.treas.gov;

oia@scc.virginia.gov; Hotline@oig.treas.gov; HoeckerC@oig.sec.gov

Subject: FREEDOM OF INFORMATION ACT REQUEST - 10-09-2013 ([REDACTED])

Importance: High

Sensitivity: Confidential

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VIA ELECTRONIC TRANSMISSION

MEMORANDUM FOR THE RECORD

FREEDOM OF INFORMATION ACT (FOIA), 5 U.S.C. § 552, THE VIRGINIA

FREEDOM OF INFORMATION ACT, CODE OF VIRGINIA §§ 2.2-3700, 2.2-3701, 2.2-

3704(B)(3),

2.2-3705.1, 2.2-3801, 2.2-3802, 2.2-3803, 2.2-3806, 2.2-3807, 2.2-3808, 2.2-3808.1, 2.2-3809,

AND 2.2-4300, AND PRIVACY ACT (PA), 5 U.S.C. § 552A REQUEST

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Re: Freedom of Information Act (FOIA), 5 U.S.C. § 552, et seq., The Virginia Freedom of Information Act, Code of Virginia §§ 2.2-3700, 2.2-3701, 2.2-3704(B)(3), 2.2-3705.1, 2.2-3801, 2.2-3802, 2.2-3803, 2.2-3806, 2.2-3807, 2.2-3808, 2.2-3808.1, 2.2-3809, and 2.2-4300, Privacy Act (PA), 5 U.S.C. § 552a, Request for Expedited Processing

Dear Chief Executive Officer:

The attached the Freedom of Information Act (FOIA), 5 U.S.C. § 552, et seq., The Virginia Freedom of Information Act (VFOIA), Code of Virginia §§ 2.2-3700, 2.2-3701, 2.2-3704(B)(3), 2.2-3705.1, 2.2-3801, 2.2-3802, 2.2-3803, 2.2-3806, 2.2-3807, 2.2-3808, 2.2-3808.1, 2.2-3809, and 2.2-4300, Privacy Act (hereafter referred to as PA), 5 U.S.C. § 552a, contains sufficient information to initiate a public investigation. Accordingly, it is forwarded to you for your information, a matter under your cognizance, jurisdiction, and action you deemed appropriate.

If any formal action is taken with regard to this matter, please inform me of the outcome.

This e-mail may contain personal or privileged information and should be treated as "FOR OFFICIAL USE ONLY." Unauthorized disclosure of this information may result in civil and criminal actions. If you are not the intended recipient or believe that you have received this e-mail in error, do not copy, forward, disseminate or otherwise use the information and contact me, [REDACTED], the author of this e-mail, or your FOIA Officer, Custodian of Public Records Officer, Chief Privacy Officer, Chief Executive Officer, Compliance Officer and other Interested Parties.

Thank you for making this matter affecting public records and safety [REDACTED]
[REDACTED] its utmost concern.

I appreciate your continued support in this important matter.

Very truly yours, I am

//S//

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Tuesday, October 15, 2013

//s//

[REDACTED]

A final thought...

“No matter what we think is the reality of a situation, there is probably another reality on the deck plates,

and our people need and deserve leaders who know what that reality is. The Master Chief Petty Officer of the Navy is chartered to observe and act, not to supersede the regular chain of command, but to strengthen it and make it work better. His or hers are the experienced eyes that can see the reality of the

deck plates. Indeed, he is the pulse-taker of the command.”

[REDACTED]

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the reader of this message is not the intended recipient, you are on notice that any distribution of this message, in

any form, is prohibited. If you have received this message in error, please immediately notify the sender and delete

or destroy any copy of this message.

From: mailoag [mailto:mailoag@oag.state.va.us]

Sent: Friday, February 01, 2013 2:05 PM

To: [REDACTED]

Subject: RE: CRIMINAL COMPLAINT FOR LOUDOUN COUNTY SHERIFF'S OFFICE & STATE AND
FEDERAL AGENCIES - DECEMBER 17, 2012

Sensitivity: Confidential

Dear [REDACTED]:

Thank you for contacting the office of [REDACTED] with your complaint regarding the attorneys involved in a case you are a party to in Loudoun County General District Court. We appreciate your taking the time to write with your concerns and apologize for the delay in responding to you.

The Office of the Attorney General functions as the law firm for state government and does not provide legal advice to private individuals. The Office advises state officials and represents the various state agencies and departments, as well as renders opinions at the request of state officials. Due to statutory restrictions, conflict of interest rules and other policy considerations,

we are unable to render private legal advice or otherwise assist private citizens in legal matters.

As you know, a private citizen may file a complaint against a licensed attorney with the Virginia State Bar. Any questions regarding filing a complaint should be addressed to the Virginia State Bar directly at (804) 775-0500 or by emailing them at www.vsb.org. You may also want to contact the Virginia State Corporation Commission as well. Their contact information is www.scc.virginia.gov.

I regret that this Office cannot assist you further, but I hope this information is helpful to you.

Sincerely,

[REDACTED]

[REDACTED]

[REDACTED]

From: [REDACTED]

Sent: Monday, December 17, 2012 2:34 PM

To: [REDACTED]

Cc: [REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]; oig@sec.gov;

OIRA_Submission@omb.eop.gov; oig@cftc.gov; publicaffairs3@occ.treas.gov;

Questions@vsp.virginia.gov; [REDACTED]; REBoard@dpor.virginia.gov;

[REDACTED]; [REDACTED]; [REDACTED]

Subject: CRIMINAL COMPLAINT FOR LOUDOUN COUNTY SHERIFF'S OFFICE & STATE AND FEDERAL
AGENCIES - [REDACTED]

Importance: High

Sensitivity: Confidential

**PRIVILEGED – FOR OFFICIAL USE ONLY – PRIVACY ACT OF 1974 –

SENSITIVE – NOT FOR PUBLICATION **

Dear Sir:

I, [REDACTED], the undersigned
complaint filed today, [REDACTED], to the County of Loudoun Government, the
Office of Consumer Affairs, federal regulatory and law enforcement officials. Specifically, I am
requesting you initiate a major investigation of the abuses in the Loudoun County General

District Court. Specifically, incidents which occurred on [REDACTED], at the Loudoun County General District Court, at approximately 10:00 am, Courtroom 002F, involving the retained attorney, [REDACTED], employed with the [REDACTED] representing [REDACTED] [REDACTED], both who are presently registered with the Commonwealth of Virginia State Corporation Commission, but have not complied with the state regulations relating to incorporation and/or registration of a fictitious entity to do business in the Commonwealth where it is bringing the action.

The retained attorney, [REDACTED], employed with the [REDACTED] representing [REDACTED] business practices are fraught with flaws, errors, conflicts of interest, and fraud, and these allegations have been previously provided to the highest level of leadership in the Commonwealth of Virginia since 2010.

It is important to establish by §§ 59.1-69 and 59.1-70 Code of Virginia, which provides that no person, partnership, limited liability company or corporation shall conduct or transact business in the Commonwealth of Virginia under any assumed or fictitious name unless it is registered with the Commonwealth of Virginia State Corporation Commission.

It is also important to establish by Black's Law Dictionary, which characterizes the term "Fictitious Plaintiff," as, "It is a contempt of court to sue in the name of a fictitious party." Additionally, the debt collector must be available to be sued or investigation by regulatory, law enforcement officials, and citizens.

Be advised, although [REDACTED] is authorized, by law, to transact business in the Commonwealth, the [REDACTED], did not disclose, in numerous occurrences, on the filed WARRANT IN DEBT (lawsuit), or to the defendant(s), or to the Court, during civil court proceedings held on Wednesday, December 12, 2012, that it was "Doing Business As or Transacting As" [REDACTED] (note additional punctuation), which is NOT registered with the Commonwealth of Virginia State Corporation Commission, as of November 5, 2012 and December 12, 2012, respectively.

Be advised, although [REDACTED] is authorized, by law, to transact business in the Commonwealth, the aforesaid fictitious entity did not disclose, in numerous occurrences, on the filed lawsuit, to the defendant(s) or to the Court, on Wednesday, December 12, 2012, it was "Doing Business As or Transacting As" [REDACTED] (note alternative spelling and additional punctuation), which was NOT registered with the Commonwealth of Virginia State Corporation Commission as of November 5, 2012 and December 12, 2012, respectively.

I provided my written objections and concerns regarding the right of the above-mentioned fictitious entity's right to bring a lawsuit against others, and myself I addressed the insufficiency of service of process (defective), lack of subject matter and personal jurisdiction over both the registered Plaintiff and legal Defendant. Additionally, and more importantly, I addressed the due process clause of the Fifth Amendment to the Constitution of the United States, and the Constitution of the Commonwealth of Virginia regarding the Deprivation of Property of citizens, consumers, veterans and homeowners.

For example, and to the best of my belief, on December 12, 2012, the Loudoun County General

District Court, [REDACTED], announced the following dispositions in favor of fictitious entity (Plaintiff), including the law firm, [REDACTED] [REDACTED] who also has not complied with the state regulations relating to incorporation and/or registration of a fictitious entity to do business in the Commonwealth where it is bring the action:

Case No. [REDACTED]

Defendant: [REDACTED]

Plaintiff: [REDACTED]

Attorney: [REDACTED]

Case Judgment: [REDACTED]
[REDACTED]

Case No. [REDACTED]

Defendant: [REDACTED]

Plaintiff: [REDACTED]

Attorney: [REDACTED]

Case Judgment: [REDACTED]

Case No. [REDACTED]

Defendant: [REDACTED]

Plaintiff: [REDACTED]

Attorney: [REDACTED]

Case Judgment: [REDACTED]

Case No. [REDACTED]

Defendant: [REDACTED]

Plaintiff: [REDACTED]

Attorney: [REDACTED]

Case Judgment: [REDACTED]

Case No. [REDACTED]

Defendant: [REDACTED]

Plaintiff: [REDACTED]

Attorney: [REDACTED]

Case Judgment: [REDACTED]

I am fully aware that my letter makes strong assertions with serious repercussions, but I am confident that any inquiry into these numerous verifiable facts previously provided and currently presented will result in findings of ample evidence that private attorneys and law firms are engaging in unfair, unethical, criminal, fraudulent and prohibited transactions. It appears that Court has not acted in the capacity of a judge in the Loudoun County Virginia General District Court and has unlawfully usurped the authority of the aforementioned civil proceedings to further the Court's own interests and prejudices in the unlawful deprivation of property and in violation of countless citizens' constitutional rights to a fair and impartial hearing.

It is the duty of the court to administer justice by providing all parties with due process of law, or the right to a fair and impartial hearing on the merits of the disputes brought before the court. The Court's conduct continues to be repugnant to the scope and authority of the Loudoun County Virginia General District Court.

I believe the civil proceedings conducted by the Loudoun County General District court on [REDACTED], involving [REDACTED] (Plaintiff), its hired attorney [REDACTED]), and law firm, [REDACTED] [REDACTED] were compromised by the Court, which I believe held prejudice against my prior written objections when I previously reported fraud upon the court, potential unlawful foreclosure and unlawful debt collection practices in Loudoun County Virginia by the plaintiff, their private attorneys and law firms. This probably explains why my case was heard last on December 12, 2012.

Although I fully understand that an attorney shall abide by a client's decisions concerning the objectives of representation, I also fully understand that an attorney shall not counsel a client to engage, or assist a client in conduct that the attorney knows is criminal or fraudulent, and an attorney may discuss the legal and moral consequences of any proposed course of conduct with a client and may counsel or assist a client to make a good faith effort to determine the validity, scope, meaning, or application of the law.

The problems stated in this Request for Investigation and Complaint are not the mistakes or errors made by an organization with the professed expertise of private attorneys or law firms, nor are they mistakes of attorneys who have been members of the Virginia State Bar with substantial years of legal experience.

Employees at hired law firms representing the seller, mortgage servicer, and the plaintiff in my case have committed what appears to be fraud by filing fraudulent documents as public documents in a public office. As way of defending their actions and firms, they filed what appears to be misleading information with the court. In short, this is a legal claim and disciplinary charge, which I am alleging complicity of public officials as attorneys and judges,

private attorneys and law firms in their client's conduct or other misconduct of the attorney involving representation of the client.

I, [REDACTED] do hereby certify that, to the best of my knowledge and belief, all of the information on, attached to this complaint is true, correct, and complete, and made in good faith. I understand that this complaint or the information it contains may be made available to federal, state, and/or local law enforcement agencies for such action within their jurisdiction, as they deem appropriate. I understand that knowingly making any false or fraudulent statement or representation to the government may violate federal, state, or local criminal statutes, and may result in a fine, imprisonment, or both.

Finally, this complaint is not intended to constitute my waiver of any rights, remedies, or defenses, statutory or procedural.

I appreciate your continued support in this very important matter. If you have any questions, I may be reached at [REDACTED]

Very truly yours, I am

/s/

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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SENSITIVE – NOT FOR PUBLICATION **

A final thought... The Power of Attitude - "Our lives are not determined by what happens to us, but by how we react to what happens; not by what life brings to us, but by the attitude we bring to life. A positive attitude causes a chain reaction of positive thoughts, events, and outcomes. It is a catalyst... a spark that creates extraordinary results." Author unknown

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entity named above and herein or their designee. If the reader of this message is not the intended recipient, you are

on notice that any distribution of this message, in any form, is prohibited. If you have received this message in

error, please immediately notify the sender and delete or destroy any copy of this message.

From: Ringle, Judith A
To: Ricci, Charles A.; Enforcement
Subject: FW: Report of fraud/abuse by [REDACTED] (unlicensed financial advisor)
Date: Monday, October 20, 2014 11:38:00 AM

FYI

From: OIGEmail
Sent: Monday, October 20, 2014 11:38 AM
To: [REDACTED]
Subject: RE: Report of fraud/abuse by [REDACTED] (unlicensed financial advisor)

Thank you for emailing CFTC OIG. The OIG receives and investigates allegations regarding misconduct by CFTC employees. The CFTC Division of Enforcement handles allegations regarding misconduct by market professionals. I am forwarding your email to the Division of Enforcement.

Sincerely,

Judy Ringle, Attorney-Advisor
CFTC OIG

From: [REDACTED]
Sent: Wednesday, October 15, 2014 5:01 PM
To: OIGEmail
Subject: Report of fraud/abuse by [REDACTED] (unlicensed financial advisor)

To Whom It May Concern:

I am writing to you regarding the improper use of funds by an unlicensed financial advisor named [REDACTED]. I initially reached out to [REDACTED], the company under which he invested these monies, and they would not provide me with any information and suggested I write to you.

Below is the email I sent to [REDACTED] (an attorney with [REDACTED]) detailing the chronology of events. As you will see, [REDACTED] accepted monies from my clients ([REDACTED]) after he became unlicensed according to the FINRA documentation available online.

These are my clients' life savings and they very much would like their monies returned. [REDACTED] alleges that the assets are frozen with [REDACTED] and/or [REDACTED], but quite frankly we are not sure what to believe. As you can imagine, the [REDACTED] are very distraught and simply want their money back. Please contact me at your earliest convenience via email or phone to let me know how best to proceed. I have included my information below.

Very truly yours,

[REDACTED]

[REDACTED]

[REDACTED]

Dear [REDACTED],

It was a pleasure speaking to you yesterday. As discussed, I am inquiring about monies wrongfully utilized/withheld that belong to my clients, [REDACTED], and their mother, [REDACTED]. The [REDACTED] gave [REDACTED] substantial funds under false pretenses that he was operating as a licensed broker, which he is not. The above-referenced account is the only record we have from [REDACTED].

In addition, I have included a link below from the Financial Industry Regulatory Authority (FINRA) with a history of his licensure.

Below is the information regarding the transactions:

August 31, 2013: [REDACTED] received a check in the amount of one hundred thousand dollars (\$100,000.00) to be allegedly deposited in a [REDACTED] "sub-account" in his account at [REDACTED]. The wire was made on September 3, 2013.

December 13, 2013: A check in the amount of ninety-four thousand dollars (\$94,000.00) was submitted to [REDACTED] from the account of [REDACTED]. The last four numbers of the account from [REDACTED] Bank are [REDACTED].

FINRA link: [REDACTED]

We are currently pursuing other actions against [REDACTED] and would appreciate your full cooperation. Once you have had time to review your records, kindly contact me as soon as possible regarding this time-sensitive matter.

If you are unable to assist me in this matter, please direct me to your supervisor or superior so that the monies wrongfully appropriated can be returned.

Very truly yours,

[REDACTED]

Received
Oct 20, 2014

Message for CFTC OIG & US Office of Special Counsel:

Is lying about employment history illegal and unethical, especially for an auditor?

Per FINRA's BrokerCheck Report, [REDACTED] worked at Financial Security Assurance (FSA) for less than 2 months and then he was "unemployed" for a year.

Perhaps CFTC should check thoroughly of his employment history prior to the offer was made?

(b)(6)

~~~~~ WELCOME [REDACTED] ! ~~~~~

[REDACTED] begins employment today as an

(b)(6)

(b)(6)

(b)(6)



## Registration and Employment History



### Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|--------------------|-----------|------|-----------------|
|--------------------|-----------|------|-----------------|

|            |  |  |  |
|------------|--|--|--|
| [REDACTED] |  |  |  |
|------------|--|--|--|

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

| Employment Dates | Employer Name | Employer Location |
|------------------|---------------|-------------------|
|------------------|---------------|-------------------|

|            |  |  |
|------------|--|--|
| [REDACTED] |  |  |
|------------|--|--|

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## Broker Qualifications



### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 0 state securities law exams.

### Principal/Supervisory Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

### General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|      |          |      |

### State Securities Law Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 13 SROs and is licensed in 0 U.S. states and territories through his or her employer.

### Employment 1 of 1

Firm Name:

Main Office Address:

Firm CRD#:



| SRO | Category | Status | Date |
|-----|----------|--------|------|
|-----|----------|--------|------|

|                          |  |  |  |
|--------------------------|--|--|--|
| [Redacted Table Content] |  |  |  |
|--------------------------|--|--|--|

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



## Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

### Broker Qualifications

This broker is registered with:



This broker has passed:

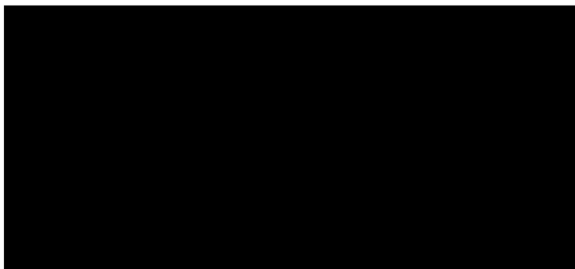


### Registration History

This broker was previously registered with the following securities firm(s):



Currently employed by and registered with the following Firm(s):



### Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? No

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit [www.finra.org](http://www.finra.org).

Thank you for using FINRA BrokerCheck.

## BrokerCheck Report



data current as of Wednesday, October 08, 2014.

| <u>Section Title</u>                | <u>Page(s)</u> |
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| Registration and Employment History | 4              |

**From:** [REDACTED]  
**To:** Ringle, Judith A  
**Subject:** RE: two hotline complaints  
**Date:** Thursday, December 18, 2014 4:03:17 PM

---

No worries. I will call them.

---

**From:** Ringle, Judith A  
**Sent:** Thursday, December 18, 2014 4:01 PM  
**To:** [REDACTED]  
**Subject:** two hotline complaints

One of them I forgot to tell you about. I apologize for that. You can blame me for not getting back to the caller sooner.

On Dec 10, 2014, a [REDACTED] called to say that "unusual things" in swaps are happening with her broker. Her # is [REDACTED]. Sorry but I don't have more info.

Today I got a new message. [REDACTED] (all names phonetic) from Nebraska called about the cattle market. He believes there is a reverse squeeze responsible for five days of limit moves (downwards) in cattle. I did a google search and saw something about it here: <http://www.reuters.com/article/2014/12/18/cme-cattle-emergency-idUSL1N0U206Z20141218>. He believes that CME needs to expand margins in order to facilitate trading. He is in the industry and the failure to expand margins is hurting him. He didn't elaborate on the details of the claimed reverse squeeze. His # is [REDACTED]. He did specifically say he would like to speak with a "live person."

Judy Ringle x5109

RECEIVED

2:40

OIG

December 23, 2014

VIA OVERNIGHT MAIL

Re: Response Regarding [REDACTED]

Dear Mr. [REDACTED]:

I write this letter on behalf of [REDACTED] in response to your letter dated November 21, 2014 related to [REDACTED]. I am an attorney representing [REDACTED]. As a result, please direct all further correspondence regarding this matter to my attention at the address below. Additionally, if you are represented by an attorney regarding this matter, please forward this letter to your attorney.

[REDACTED] first learned of [REDACTED] earlier this year when an individual contacted [REDACTED] claiming that an investment he had made with GC Resources was purportedly linked to an oil and gas venture, including a purported operating agreement bearing the EOG name and logo. This was the first time that [REDACTED] had ever heard of [REDACTED]. [REDACTED] promptly reviewed all of its records and determined that it has never had any kind of business relationship, or even a proposed business relationship, with [REDACTED] or [REDACTED] of [REDACTED]. It was apparent that [REDACTED] was defrauding investors by attempting to sell oil and gas securities based upon fraudulent investment offering documents using [REDACTED] name and logo without permission. The purported [REDACTED] document that you attach to your letter is an example of such falsified documents. This is not a legitimate [REDACTED] document and it does not bear the signature of anyone from [REDACTED]. It is a forgery. [REDACTED] takes such fraudulent and unauthorized use of its name, logo, and goodwill very seriously. As a result, on June 18, 2014, [REDACTED] immediately sent [REDACTED] Resources a cease and desist letter demanding the cessation of use of any and all materials that in any way refer to [REDACTED], a copy of which is attached hereto as Exhibit A.

[REDACTED] also notified the United States Securities and Exchange Commission ("SEC"), the Texas State Securities Board ("TSSB"), and the Federal Bureau of Investigation ("FBI") of [REDACTED] fraudulent and unauthorized use of [REDACTED] name, logo, and goodwill. It is our understanding that these agencies are currently prosecuting claims against [REDACTED] and [REDACTED]. [REDACTED] has continued to cooperate with these law enforcement agencies regarding this matter. In fact, an attorney representing [REDACTED] and [REDACTED] sent a letter in

SECRET

100

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The following information was obtained from a confidential source who has provided reliable information in the past. It is being provided to you for your information only and should not be disseminated outside your organization.

The information indicates that there is a possibility of a breach of security in the area of [redacted]. It is recommended that you take appropriate precautions to ensure the security of your organization's information.

It is further recommended that you maintain a high level of vigilance and be prepared to take action if necessary to protect your organization's interests.

The information is being provided to you for your information only and should not be disseminated outside your organization. It is recommended that you take appropriate precautions to ensure the security of your organization's information.

CONFIDENTIAL

Mr. [REDACTED]  
December 23, 2014  
Page 2

September 2014 to [REDACTED] investors acknowledging the misappropriation of investment funds placed with [REDACTED] that federal agents had seized assets purchased with [REDACTED] funds, and that the investigation was continuing. A copy of the letter from [REDACTED] attorney is attached hereto as Exhibit B.

Further, as you noted in your letter, [REDACTED] posted a "Notice of Deceptive Activity Relating to [REDACTED] on June 23, 2014 to the [REDACTED] website in an effort to alert the public that [REDACTED] has had no involvement or association in any way with [REDACTED] or the related investment offerings and documents. In the notice, which is still posted online, [REDACTED] encourages those affected to contact the Fort Worth office of the SEC at [REDACTED], the TSSB at [REDACTED], and local law enforcement to inform them of such matters. If you have not done so already, [REDACTED] encourages you to contact these agencies to inform them of your situation. In some cases, it is possible for victims of fraud to recover restitution from civil or criminal matters brought by law enforcement.

In September 2014, [REDACTED] received a call from you related to this matter and asked me to contact you. I returned your call and left two messages for you at [REDACTED] on September 12 and 18, but did not hear back.

I explain the steps [REDACTED] has taken since learning of [REDACTED] fraudulent and unauthorized use of [REDACTED] name to demonstrate that, like you, [REDACTED] is a victim of the fraud of GC Resources and [REDACTED]. To be clear, [REDACTED] is not to blame for any losses you incurred and has no liability for any fraudulent acts of [REDACTED] or [REDACTED]. [REDACTED] did not receive any money from you, [REDACTED], [REDACTED], or any other individual that may have been defrauded by [REDACTED]. Indeed, all of the checks that you attached to your letter are to [REDACTED] not [REDACTED]. As explained above, [REDACTED] has never had any relationship whatsoever with [REDACTED] or [REDACTED].

Mr. [REDACTED]

December 23, 2014

Page 3

If you have any questions or would like to discuss this matter further, please do not hesitate to contact me.

*Sincerely,*  
[REDACTED]

Enclosures

cc: United States Securities and Exchange Commission  
Commodity and Futures Trading Commission  
Federal Trade Commission  
Financial Industry Regulatory Authority  
Attorney General, State of California  
Attorney General, State of Texas  
Texas Department of Banking  
Texas State Securities Board



# EXHIBIT A

[REDACTED]

[REDACTED]

June 18, 2014

VIA HAND DELIVERY AND CERTIFIED MAIL

[REDACTED]

Re: *Cease and Desist fraudulent, unauthorized use of [REDACTED] name and logo*

To Whom It May Concern:

Please be advised that this firm represents [REDACTED]. Accordingly, direct all future communications and correspondence regarding this matter to my attention. If you are represented by counsel, have that counsel contact me in response to this letter.

It has recently come to [REDACTED] attention that [REDACTED] is seeking investment in oil and gas securities based upon fabricated investment offering documents using [REDACTED] name and logo without permission. Specifically, investment materials obtained by [REDACTED] which [REDACTED] appears to be using in its investment offerings, contain a signature that does not appear to be the signature of a person affiliated or associated with [REDACTED]. After a thorough search of [REDACTED]'s records, [REDACTED] has confirmed that it has never entered into any agreement with [REDACTED]. Further, [REDACTED] has reason to believe that [REDACTED] has used [REDACTED] name in the investment community to fraudulently lure individuals to invest in [REDACTED] oil and gas securities.

[REDACTED] takes this fraudulent and unauthorized use of its name, logo, and goodwill in these offering documents very seriously. In addition to exposing [REDACTED] to civil liability, this conduct constitutes violations of federal and state securities laws. [REDACTED] therefore demands that [REDACTED] and all persons associated with [REDACTED] immediately cease and desist any and all activity that claims any business arrangement or agreement between [REDACTED] and [REDACTED], including, but not limited to, using or referring to any investment document that purports to be signed by [REDACTED] or any [REDACTED] representative.

[REDACTED] requires a response to this letter **before the close of business on Friday, June 20, 2014** with a certification that [REDACTED] has ceased use of any and all materials that in any way refer to [REDACTED], such as the documents attached hereto as Exhibit A. If [REDACTED] fails to provide certification that it has ceased use of all materials referring to [REDACTED] by this deadline,

June 18, 2014

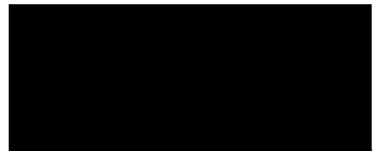
Page 2

██████████ reserves the right to seek any and all relief that is available to it at law or equity including, but not limited to, injunctive relief, damages (including punitive damages), and attorneys' fees.

██████████ must also immediately inform each and every person who received, or may have received, the fabricated investment materials of the following: (1) that ██████████ has never had any involvement with ██████████ in any way; and (2) that the purported ██████████ signatures in the investment materials are not authentic.

Finally, as litigation is possible, this letter is notice to ██████████ and all related entities and individuals to immediately take steps to preserve all paper and electronic records that relate in any way to ██████████ or any investments in which reference has been made to ██████████ or any agreement purporting to be authorized and/or signed by ██████████ or any of ██████████'s representatives. ██████████ is hereby given notice not to destroy, conceal, or alter any paper or electronic files and other data generated by and/or stored on GC Resources's computers and storage media (e.g., hard drives, USB drives, CD Roms, backup tapes), or any other electronic data, such as voice mail, SMS text messages, and communications through social and business networking sites. Failure to comply with this notice can result in severe sanctions being imposed by a court for spoliation of evidence or potential evidence.

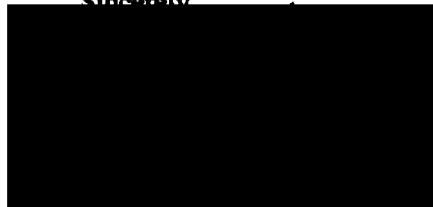
Further, in order to avoid spoliation, ██████████ must preserve data on its original media. Electronic documents and storage media on which they reside contain relevant, discoverable information beyond that which may be found in printed documents. Therefore, *even where a paper copy exists*, ██████████ must maintain documents in their electronic form along with information about those documents contained on the media. ██████████ also must preserve paper printouts of those documents which contain unique information input after they were printed, such as paper documents containing handwriting, signatures, drawings, annotations, highlighting, and redactions, along with any documents for which no corresponding electronic files exist.



June 18, 2014  
Page 3

I look forward to your prompt response.

Sincerely,



cc:



Texas State Securities Board  
1230 Riverbend, Suite 220  
Dallas, Texas 75247

# EXHIBIT B

[REDACTED]  
Of Counsel

Direct: [REDACTED]  
Facsimile: [REDACTED]  
Email: [REDACTED]

September 11, 2014

RE: [REDACTED] and [REDACTED]

Dear Sir/Madam:

Please be advised that I represent [REDACTED] and [REDACTED]. I wanted to address concerns that some of you have expressed regarding your investments with [REDACTED] for the [REDACTED] project.

Over the past few weeks, counsel has been in negotiations with the U.S. Attorney's office regarding the misappropriation of investment funds placed with [REDACTED]. Federal agents, working in conjunction with the Dallas U.S. Attorney's office, have seized certain assets purchased with [REDACTED] funds. The U.S. Attorney's office has also taken steps to secure effective control over [REDACTED]'s remaining assets as well as those of its owner, [REDACTED].

Some of the seized assets were simultaneously sold by the government for an agreed upon amount, and the remainder will be sold over time. The proceeds from the sale of the assets go directly to the government to be paid into the registry of the court pending final disposition by a federal judge. [REDACTED] has been fully cooperating with the government's efforts and will continue to do so until it completes its investigation.

The government will be provided a list of investors along with contact information. Accordingly, you should anticipate being contacted by either the United States Attorney's office or the FBI in connection with their ongoing investigation.

Please direct any questions or concerns to my attention, but also understand my information beyond that set out above will be somewhat limited while the investigation and any negotiations are ongoing. In addition, [REDACTED] and/or employees of GC Resources will be unable to discuss this matter with you during the pendency of the investigation.

Sincerely,

cc:

**From:** OIGEmail  
**To:** [REDACTED]  
**Subject:** RE: Nov 2013 FISMA Report from Independent Contractor/CPA Firm  
**Date:** Sunday, March 02, 2014 2:30:00 PM

---

[REDACTED] – I have to apologize but I missed your email in our hotline email folder. Do you still need the report? I recommend you request it under the Freedom of Information Act. An on-line FOIA request form may be found here: <https://www.cftc.gov/FOI/request/index.htm>

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG  
(202)418-5109

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**From:** [REDACTED]  
**Sent:** Tuesday, February 25, 2014 8:38 AM  
**To:** OIGEmail  
**Subject:** Nov 2013 FISMA Report from Independent Contractor/CPA Firm

Good Morning

I was reviewing your yearly report and in it was stated your FISMA review from 2013 would be completed in Nov 2013.

Do you have that report electronically available? I would like to review it prior to a [REDACTED] meeting [REDACTED] with your CFTC CIO, John Rogers.

Negative replies are requested.

Thank You  
[REDACTED]

/SIGNED/  
[REDACTED]



██████████ from TIGTA, wants info from investigators.

Share some info about an ongoing investigation involving CFTC.

And a few other agencies

Allegation is regarding some contracts awarded through ██████████ IRS, CFTC, GSA, a few others, State, involve a subcontractor relationship that TIGTA believes might be criminal. Quid pro quos. Tried to find a CFTC agent a while ago. Needs to brief us and how it will affect us. He does procurement fraud and needs to speak with our specialist in same. CFTC'ers are not bad actors we have a k by which some k'rs have been able to be bad actors. Possible that cftc'ers know but at this point they don't know.

May 22, 2015 – I'm preparing a FOIA response for allegations and just reread this. I don't know why I didn't make this more clear. However, my recollection is that I spoke with him personally at a later date, and pointed him in the direction of Steve Grossman to get direct information regarding CFTC contracts, and said we are not currently in ~~ing~~ <sup>ing</sup> ~~the~~ <sup>the</sup> receipt of any allegations of a similar nature. Right click on original shows it was created February 3, 2014.

**From:** OIGEmail  
**To:** questions: Enforcement  
**Subject:** FW: report fraud, waste and abuse at CFTC  
**Date:** Tuesday, February 04, 2014 1:27:00 PM

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Hi, folks – I am wondering if it would be possible for someone to respond to this inquiry? This person is NOT complaining about fraud, waste, or abuse at CFTC itself. It looks to me like he is seeking information about gold derivatives and position limits because he is disturbed by alleged trade activity by [REDACTED].

**From:** [REDACTED]  
**Sent:** Monday, February 03, 2014 2:12 AM  
**To:** OIGEmail  
**Subject:** OIG: report fraud, waste and abuse at CFTC

Hello,

Can you please advise how [REDACTED] is allowed to own [REDACTED] of all gold derivatives ( [REDACTED] billion ). Is it not illegal to ignore position limits and effectively corner a market?, or are these rules been changed? ( if so please provide the statute regulation )

I look forward to your reply

Regards

[REDACTED]

Phone at general # on February 6, 2014

I transcribed (best I could) the phone message left:

██████████ and I have a question regarding the administration and the banks of how they can uh do exchanges of the iqd which is not an internationally traded currency at this time, now there's several people that are good people in the administration and also on both sides of the aisle however, the people who this was meant for, we the people, are being left out, and, I want to know why, uh, if you could please give me a call ██████████, ASAP, before we take this public, you guys have been listening to our calls, we know that, and you know you have until Friday before we take it public, and let the masses of people overload you and have you explain to them how the IG can allow this to happen. IT seems to be that President Obama wants us to be the middle class restored, however, what is happening is, is that the banks are calling their customers with 5 mil of assets, and telling them to buy the denar from exchanges and they will exchange them in, from anywhere from at one time it was 32 then it went to 36 for dinar, and then to 38, this has been going on since the first of December and I wonder what kind of negligence would allow that to happen and you know we have been keeping it quiet and following what you've want, now your time is up, we need this currency the GCR the global currency you know revaluation, or reset, to happen asap, for the entire world, not just for the rich and powerful, the senators, the friends of senators, the neighbors, you know, their families, who are getting richer and richer, while the people of the middle class have paid something along the lines of 7.09 trillion dollars to bill the banks out. Now, I would like a phone call, asap, ok? I appreciate your time. Have a wonderful evening. Thank you.

I do not plan to call. I do not think this person is playing with a full deck.

Judy Ringle, Attorney-Advisor

CFTC OIG

February 6, 2014

February 7, 2014

██████████ has worked at CFTC since ██████████. ██████████ is a ██████████ and has been for ██████████. ██████████ makes in the ██████████, and ██████████ would like to be promoted to a ██████████. ██████████ was hired by ██████████. ██████████ did not get along with ██████████; ██████████ told ██████████ as soon as ██████████ was ██████████ that ██████████ was "useless." ██████████ has also had problems with ██████████ and now ██████████. Yesterday ██████████ was given ██████████

In any event, ██████████ explained that ██████████ is going ██████████, and ██████████ is ██████████ ██████████, and ██████████ is having ██████████, as ██████████ has ██████████ ██████████. ██████████; ██████████ cannot ██████████. ██████████ asked to be promoted ██████████. ██████████ asked for ██████████. ██████████ believes ██████████. ██████████ said that ██████████ told me ██████████. ██████████ told me ██████████ is having ██████████. ██████████ said ██████████ is ██████████.

██████████ called ██████████. ██████████ said to contact OIG. ██████████ also contacted ██████████. I said we cannot represent an individual in a suit against the agency. ██████████ thanked me. I said that we may be in touch if it looks like there is a larger issue within ██████████ re personnel matters.

██████████ specifically claimed that the (b)(6) are completely controlled by ██████████, using programs that ██████████ designed in the '90s that have not been updated since 2003. ██████████ states that everyone is afraid to go against what ██████████ wants for (b)(6). Moreover, nobody else knows how to do the reports. ██████████ worked on a new report process. ██████████ did all the work, so it could be controlled (b)(6). ██████████ said that ██████████ was yelled at and is yelled at if ██████████ makes any mistakes. But ██████████ wanted to finish it and to get ██████████

██████████ says ██████████ gets along well with people in ██████████, in connection with the (b)(6). ██████████ is scared of ██████████ controls over the programs. ██████████ had a progress ready to go, but nobody will start it. So they are back to square one. ██████████ runs programs on (b)(6) that the Agency can afford ██████████. No one else will take responsibility for it. ██████████ was almost done with ██████████ new (b)(6) and ██████████ stopped ██████████. But ██████████ finished ██████████ part, and they are all working together, in ██████████, but if that's what ██████████ wants, fine, but ██████████ finished ██████████ project and believes ██████████ should get ██████████. The other ██████████ are ██████████, they are not ██████████, and are not computer savvy. He believes ██████████ and ██████████ yelled at him w/re the (b)(6) because they had wrong assumptions, and yelled at ██████████ about stuff that was inconsequential.

■ just wants to do ■ job, and feels like ■ is being held back because ■ is not part of the right clique. ■ is only asking for a desk audit. ■ doesn't think ■ management understand what ■ is working on. ■ is picked on b/c ■.

**From:** OIGEmail  
**To:** [REDACTED]  
**Cc:** [Enforcement](#)  
**Subject:** RE: report fraud, waste and abuse at CFTC  
**Date:** Friday, February 07, 2014 5:00:00 PM  
**Attachments:** [OIG report fraud waste and abuse at CFTC.msg](#)  
[OIG report fraud waste and abuse at CFTC.msg](#)  
[OIG report fraud waste and abuse at CFTC.msg](#)

---

Dear [REDACTED]:

Thank you for contacting CFTC OIG. CFTC OIG conducts audits, investigations, and other projects designed to detect fraud, waste, and abuse within the Agency, and to make appropriate referrals and recommendations. I am forwarding your email (all three) to the Division of Enforcement, which investigates allegations of violations of the Commodity Exchange Act and regulations (i.e., misconduct by certain market participants and professionals).

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG

-----Original Message-----

**From:** [REDACTED]  
**Sent:** Wednesday, February 05, 2014 4:30 PM  
**To:** OIGEmail  
**Subject:** OIG: report fraud, waste and abuse at CFTC

We will not go quietly.....will not let mass abuse of U.S. citizens go unanswered. Release the [REDACTED]  
[REDACTED] #wearethepeople

**From:** OIGEmail  
**To:** Enforcement  
**Cc:** Ricci, Charles A.  
**Subject:** FW: [REDACTED]  
**Date:** Tuesday, April 01, 2014 10:09:00 AM

---

FYI

**From:** [REDACTED]  
**Sent:** Monday, March 17, 2014 11:18 AM  
**To:** OIGEmail  
**Subject:** [REDACTED]  
[REDACTED]

I write you as french introducing broker for [REDACTED] since 2005- to 2008

I introduce some chinese european and american investor to enter the [REDACTED],  
[REDACTED] take a external french money manager as trader the company is based at Dominican  
island not regulated

[REDACTED]  
The company disappears since 2008 and the web site disappears too

The commercial advertisement is [REDACTED]  
translated from french to english

Many investors enter into market and they lost all their capital when the dollar is collapsing, the  
problem is fxcm never send reports historic execution with exact price and exact time, as  
investors they don't know when they were executed for forex market

As french people I know recently that CFTC Condemned [REDACTED] record amount 14  
millions usd

[REDACTED]  
I'm french citizen, my english level is bad please tell me how to send our folder to CFTC

The second problem is when I enter in merchant area as introducing broker to see the list of  
my client's account I can't download the run reports

I think they do intentionally don't send the run reports of my client's account, they make  
fraud to make me lose my time

I copy the mail of department IB : [REDACTED]

name login : [REDACTED]  
Password: [REDACTED]

[REDACTED]

anyway it doesn't work

"Dear [REDACTED]

You need to log into the [Merchant Area website](#) from your computer using your merchant area login and run the "**ALL ACCOUNTS**" report.

You will see ALL client accounts who were setup under your IB business prior being terminated.

Click, **ALL ACCOUNTS** report, check off ALL databases, click **ADD ALL** to move all offices to the right window (*see screenshot below*), choose a **Report Format** and then click **Run Report** to get the desired information. "

[REDACTED] mobile : [REDACTED]



Hotline call March 7, 2014

I think the actual message was left on March 6, 2014.

██████████ is the ██████████. Website is ██████████. She states she has been called twice by a man named ██████████ who claims to work for ██████████. Website is ██████████. ██████████ claims to be performing an investigation for CFTC OIG on a contract basis, and he is seeking information about coin dealers that are members of the ICTA. He states that the IG wishes to issue a report clarifying that coin dealers do not have to register with the CFTC. (██████████ is familiar with the issue and states it is their understanding that coin dealers do not have to register.) ██████████ states that her instinct is the guy is not to be trusted, and she called to make sure that he is working for us. I did ask her if it is possible that he was referring to another gov't entity, perhaps a State entity? She said he is very clear that he is working for the Inspector General for the Commodity Futures Trading Commission. I said I would look into it.

I called the FBI field office in Los Angeles, ██████████ and spoke with ██████████. She performed a search while I waited, confirmed they have no interest in ██████████. I stated that this is our only complaint about this guy, and that to my knowledge there is no CFTC-specific prohibition against impersonation (like there is at SSA and IRS), and we do not have criminal law enforcement authority, and when we suspect criminal activity we make the appropriate referral to DOJ. She stated that, when they get complaints of impersonation of federal employees from local federal entities, they simply refer it to the entity for handling.

Judy Ringle, March 7, 2014

**From:** [REDACTED]  
**To:** [phishing@irs.gov](mailto:phishing@irs.gov)  
**Cc:** [newyork@sec.gov](mailto:newyork@sec.gov); [dfw@sec.gov](mailto:dfw@sec.gov); [atlanta@sec.gov](mailto:atlanta@sec.gov); [boston@sec.gov](mailto:boston@sec.gov); [chicago@sec.gov](mailto:chicago@sec.gov); [denver@sec.gov](mailto:denver@sec.gov); [losangeles@sec.gov](mailto:losangeles@sec.gov); [miami@sec.gov](mailto:miami@sec.gov); [philadelphia@sec.gov](mailto:philadelphia@sec.gov); [saltlake@sec.gov](mailto:saltlake@sec.gov); [sanfrancisco@sec.gov](mailto:sanfrancisco@sec.gov); [newyork@fbi.gov](mailto:newyork@fbi.gov); [nvt@ic.fbi.gov](mailto:nvt@ic.fbi.gov); [Little.Rock@ic.fbi.gov](mailto:Little.Rock@ic.fbi.gov); [info@europol.eu.int](mailto:info@europol.eu.int); [Interpol-USNCB.FOIA@usdoj.gov](mailto:Interpol-USNCB.FOIA@usdoj.gov); [REDACTED] [Help:advertising@nasdaq.com](mailto:Help:advertising@nasdaq.com); [feedback@nasdaq-online.com](mailto:feedback@nasdaq-online.com); [dcitipline@nidci.org](mailto:dcitipline@nidci.org); [REDACTED]; [Privacy](#); [questions](#); [Josephson, Sarah E](#); [Kelley, Edward](#); [Jurgens, Melissa](#); [Markowitz, Nancy](#); [newark@ic.fbi.gov](mailto:newark@ic.fbi.gov)  
**Subject:** Official inquiry  
**Date:** Tuesday, April 15, 2014 2:18:07 PM  
**Attachments:** [Official report to Internal Revenue Service - Little Rock - 18-12-2013.pdf](#)

---

Dear Authority,

I reported a case in December 2013. I attach the form of the report. I would like to inquire about the state of this case I have reported.

If this address is not fit for getting any kind of information about the case, please forward this email to the competent department.

Sincerely Yours,

[REDACTED]

**From:** OIGEmail  
**To:** Ricci, Charles A.  
**Subject:** FW: 5th request of information on the FIT PONZI SCAM  
**Date:** Wednesday, April 23, 2014 11:32:00 AM

---

Hi, Charlie – can you help this guy? I don't want to send this to the enforcement email b/c the matter is closed.

Judy

---

**From:** [REDACTED]  
**Sent:** Monday, April 21, 2014 5:41 PM  
**To:** Rix, Philip  
**Cc:** OIGEmail  
**Subject:** Re: 5th request of information on the FIT PONZI SCAM

Sir:

I need an answer to my questions or tell me who is the officer above you who can give me information, vital to indict these criminals?

You do not think is is very suspicious CFTC officer [REDACTED] did not indict these criminals who made a ponzi scheme of about USD150.000.000 using american corporations?

[REDACTED]

---

**From:** [REDACTED]  
**Sent:** Tuesday, October 22, 2013 11:52 AM  
**To:** prix@cftc.gov  
**Subject:** 4th request of information on the FIT PONZI SCAM

Dear Sir:

I kindly request an answer.

[REDACTED]

A victim of the FIT PONZI SCAM

---

**From:** [REDACTED]  
**Sent:** Friday, October 18, 2013 5:20 PM  
**To:** prix@cftc.gov  
**Subject:** Re: Contact

Mr. Rix:

I kindly request an answer or please redirect me to the CFTC officer who can answer my question.

Regards

[REDACTED]

**From:** [REDACTED]  
**Sent:** Tuesday, October 15, 2013 11:53 AM  
**To:** [prix@cftc.gov](mailto:prix@cftc.gov)  
**Subject:** Re: Contact

Mr. Rix:

Finally I was unable to reach NY and could not phone you.

Many thanks for attending my call and explaining to me CFTC is not investigating this case any more and confirming it is closed.

As a victim of this scam I kindly request you to provide me with this information:

1. When the case was closed. (date)
2. If the case is closed, the file becomes public? I could request a copy of the file?
3. What are the circumstances that could lead to request the reopening of a case like this.

These couple [REDACTED] and [REDACTED] scammed and laundered money in the amount of USD150.000.000. Maybe something can be done.

Rgds

[REDACTED]

**From:** [REDACTED]  
**Sent:** Wednesday, September 18, 2013 12:55 PM  
**To:** [prix@cftc.gov](mailto:prix@cftc.gov)  
**Subject:** Re: Contact

Dear Sir:

I am a victim of the 2009 ponzi scam perpetrated by [REDACTED] and [REDACTED], two colombians. This was known as the [REDACTED] case and recorded as [REDACTED] (a corporation based in [REDACTED]) and [REDACTED] a corporation based in [REDACTED])

I will be in NY next week and I would like to have an appointment with a CFTC officer who

had contact with this case.

I have emailed Mr. Joseph Rosenberg but he told me he retired.

I might have valuable information for CFTC in regards to this USD150.000.0000 scam.

Best regards

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

**From:** OIGEmail  
**To:** [REDACTED]  
**Subject:** RE: Commodity Futures Trading Commission (CFTC) - reporting obligations on the auditor  
**Date:** Wednesday, April 23, 2014 11:27:00 AM  
**Attachments:** [image003.png](#)

---

[REDACTED] – I think the better recipient for your email is [questions@cftc.gov](mailto:questions@cftc.gov). The OIG email is for allegations of misconduct by CFTC employees. As such, we are not involved with the day to day regulation of the markets and market professionals.

But please let me know if you do not get assistance. I can reach out to find someone who can help you.

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG

---

**From:** [REDACTED]  
**Sent:** Monday, April 21, 2014 2:40 PM  
**To:** questions; OIGEmail  
**Cc:** [REDACTED]  
**Subject:** Commodity Futures Trading Commission (CFTC) - reporting obligations on the auditor  
**Importance:** High

To whom it may concern:

By way of introduction I work with [REDACTED].

It's been brought to our attention that certain clients of ours are looking to register with the CFTC.

Kindly advise whether as appointed auditors of these entities, we need to ourselves be recognized by the CFTC? If so, please provide guidance and a summary of obligations for recognized auditors.

Furthermore, kindly advise whether there are any reporting obligations imposed on the auditor as a consequence to the client's registration with the CFTC? As such we are looking to understand whether there are any obligations to the auditor (reporting or otherwise), the extent of these obligations as well as the parties involved?

I look forward to hearing back.

Kind regards  
[REDACTED]

[REDACTED]



---

[Share your experience through our 60 second feedback form!](#)  
[Your feedback will help us to enhance our services.](#)

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Please consider the environment before printing..

**\*Disclaimer:\***

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**From:** OIGEmail  
**To:** [REDACTED]  
**Cc:** [Josephson, Sarah E](#)  
**Subject:** RE: Request for Assistance  
**Date:** Wednesday, April 23, 2014 11:18:00 AM

---

Dear [REDACTED] – I apologize for not getting back in touch with you sooner. I believe the Office of International Affairs can help you. I am forwarding your inquiry to Sarah Josephson, Director, International Affairs.

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG  
(202)481-5019

**From:** [REDACTED]  
**Sent:** Wednesday, April 23, 2014 5:30 AM  
**To:** OIGEmail  
**Subject:** WG: Request for Assistance

Dear Sir or Madam,

I would like to kindly remind you of my e-mail dated April 1st ,2014.  
Could you please provide me with any relevant information concerning [REDACTED] as soon as possible?

Kind regards,

[REDACTED]

---

**Von:** [REDACTED]  
**Gesendet:** Dienstag, 1. April 2014 11:16  
**An:** 'oig@cftc.gov'  
**Cc:** [REDACTED]  
**Betreff:** Request for Assistance

Dear Sir or Madam,

We would like to address the following matter.

[REDACTED], born on [REDACTED] in Baden (Austria), has applied for a position in the Austrian Financial Market Authority.

[REDACTED] is manager of the below-mentioned company, which is - according to his statement - a CFTC registered CTA.

[REDACTED]



In light of the above we kindly ask you to inform us whether the trustworthiness of this person/firm has been verified by you or any other US supervisory institution. We would very much appreciate if you could inform us of any information that you may have about this person/firm which could be relevant to us as a supervisory authority. Any information provided by you will be treated by us as strictly confidential.

We would appreciate receiving your response as soon as possible.

Kind regards,

[REDACTED]

[REDACTED]

Finanzmarktaufsicht (FMA) / Austrian Financial Market Authority (FMA)  
A-1090 Wien/Vienna, Otto-Wagner-Platz 5  
Tel. +43 (0)1 249 59 - 3301, Fax +43 (0)1 249 59 - 3199  
<http://www.fma.gv.at>

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RECEIVED  
CFTC  
5-1-14

2:39

OIG

A. 222202. 562 688 2883 (c) . [carriedev@gmail.com](mailto:carriedev@gmail.com)

1505 C  
93

Federal Reserve  
Community Affairs  
Stop 801

Governors of the Federal Reserve

U.S. Trading Commission OIG

for the Inspector General  
Three Lafayette Centre  
1155 21st Street, N.W.  
Washington, D.C. 20581  
Telephone: (202) 418-5000

Federal Deposit Insurance Corporation OIG  
550 17th Street N.W.  
Washington, D.C. 20429-9990  
Telephone: (202) 736-0000

FDIC OIG  
Office of Investigations  
350 Fifth Avenue Room 12010  
New York NY 10118  
(971) 320 2560

Financial Crimes Enforcement Network, Department of Treasury OIG  
P.O. Box 39  
Vienna, VA 22183-0039  
Telephone: (703) 905-3770

Office of the Comptroller of Currency OIG  
U.S. Department of Treasury  
Customer Assistance Group  
1301 McKinney Street, Suite 3450

210

(2) Special Agent in Charge  
New York Office  
New York, New York  
October 10, 1964  
Dear Sir:

Reference is made to your letter of October 8, 1964, regarding the above captioned matter.

Enclosed for the New York Office are two copies of a letterhead memorandum dated and captioned as above.

Very truly yours,  
Special Agent in Charge

(3) Special Agent in Charge  
New York Office  
New York, New York  
October 10, 1964  
Dear Sir:

Houston, TX 77010  
Telephone: (800) 613-6743

Securities and Exchange Commission

OIG Office of Inspector General  
100 F Street NE  
Washington, D.C. 20549-2977

Treasury

OIG Department of the Treasury  
1500 Pennsylvania Avenue, NW  
Washington, D.C. 20220

I am looping you all in a letter that has been sent to [REDACTED] at JP Morgan. This is being sent under WHISTLEBLOWERS to afford me protection.

My letter is clear. I have been patient. Not only was there no answer, all the Return Cards sent to NY were not returned. Coincidence? One or two Return Receipt Cards not being returned. Maybe. All? No. USPS records confirm they were received.

[REDACTED] may not have taken my letters seriously. I do. JP Morgan is one of the financial institutions whose employees are tracked to inappropriate activities in my accounts. The agencies that have been in the prior loop take this seriously this concern seriously, too. What prompted my writing you, is that despite my putting documentation of illegal entry to my accounts before the JP Morgan executives, [REDACTED] they chose not to respond.

A response should not be predicated upon being told regulators are in the loop. A response should be predicated on concerns that are documented. The rules [REDACTED] and associates are bound to are not up to interpretation. The rules are laws. The laws come with weighty repercussions.

At this time, aside from the JP Morgan documentation, addressing the Account numbers I sent to the Executive Office and the statements the Executive Office sent me, there has been activity has been taking place in my accounts as late as January 2014.

It has been taking time for me to connect the 'dots':

- 1- JP Morgan confirmed the status of the account numbers I originally asked them about
- 2- I was notified about a third account. Papers were sent to me. The 3<sup>rd</sup> account is closed
- 3- I asked for the account opening and closing papers. I am not being given the account opening and closing papers

- 4- Over 100 transfers took place between my financial institution account and JP Morgan. I have provided a sample sheet of 'To' and a sample sheet of 'From' transfers.
- 5- There are almost 800 PDFs with the JP Morgan's employee's name on the PDFs. The PDF's were provided to me on an Encrypted CD from my financial institution. I do not know this person whose name is on the hundred's of PDF's. I tracked this name to this man by looking on LINKEDIN. The man has a profile on LINKEDIn.
- 6- I don't write this letter lightly. I was covering Capitol Hill during 2008. Nothing can or will ever describe what I was first person to.

There is the Pollyana in me that wants to believe by looping you all in together, good can come from this horrible matter. Good has to come of it. This situation slipped past a lot of people, according to the research I did. Someone should have made the catch. . There are a lot of me's trusting in your Institutions.

Cordially

[REDACTED]

[REDACTED]

Deposit accounts now held by JPMorgan Chase Bank, N.A.

## YOUR FREE CHECKING STATEMENT

P.O. BOX 650022  
DALLAS, TX 75266-0022This Statement Covers  
From: 10/01/08  
Through: 12/02/08Need assistance?  
To reach us anytime  
call 1-800-788-7000  
or visit us at wamu.com


As you haven't recently transacted on this account, we consider it inactive & are sending your statements quarterly. Perform a transaction & your monthly statements will continue. Monthly fees, if any, will still be assessed so remember to keep track of your balance. Consider requesting electronic statements online at wamu.com.

## Your Free Checking Detail Information

CARRIE DEVORAH  
JORDAN Z MARKSAccount Number: 489-119601-0  
Washington Mutual Bank, FA

## Your Account at a Glance

|                   |         |
|-------------------|---------|
| Beginning Balance | \$92.57 |
| Checks Paid       | \$0.00  |
| Other Withdrawals | \$0.00  |
| Deposits          | \$0.00  |
| Ending Balance    | \$92.57 |

Calendar Year-To-Date Overdraft/Non-Sufficient Funds Charges  
(excluding any charges which have been waived or refunded):

|                              |        |
|------------------------------|--------|
| Overdraft charges            | \$0.00 |
| Non-Sufficient Funds charges | \$0.00 |

As of the statement end date, the fee for any Non-Sufficient Funds transaction, whether paid or returned, was \$33.00 per transaction.

001-5-83

Page 1 of 1

Deposits are FDIC Insured 

7782 XNR 001 13 02 120208 PAGE 1 of 1 COLR7525 7553 3364 01AAT7782

[The page contains extremely faint, illegible text that appears to be a multi-paragraph document. The text is scattered across the page and is not readable.]

**JP Morgan Chase Executive Office**

1 message

To:

Fri, Jan 10, 2014 at 10:14 AM

**Executive Office****CHASE** **We are unable to locate accounts ending in** (b)(6)Dear 

This is in response to your email to us about viewing your checking account activity online and your request to receive the complete history of accounts ending in (b)(6). We regret to hear you have contacted us multiple times to receive this information and apologize for any inconvenience experienced.

**We researched our banking system**

I can confirm our banking system and records were reviewed and we are unable to locate the referenced accounts in your name based on your social security number and the account numbers provided to us. We regret that we are unable to provide statements or other documentation reflecting the history of the accounts. Additionally, we were unable to locate an online banking profile in your name to determine information concerning viewing your checking account activity online.

Banks must abide by federal and applicable state record retention laws and may dispose of any records that have been retained or preserved for the period set forth in those laws. The record retention period governing an account is seven years. You may wish to visit [www.unclaimed.org](http://www.unclaimed.org) (searchable by owner name) or [www.missingmoney.com](http://www.missingmoney.com) to search for the accounts as they may have been escheated. You can search by "All States" and include your name. If a listing is found, you would submit the request through that state. Our records do not reflect we maintained or escheated these accounts.

**We located a checking account in your name**

We located information on checking account ending in (b)(6) of which you were a joint owner. The



funds in the account were escheated on November 10, 2010. We are required to report inactive or dormant accounts to the state of the account holder's last known address of record as abandoned or unclaimed property. Each state has specific years of inactivity to qualify as abandoned property. The state of California requires Bank's to escheat, remit or transfer account balances and property to the State after a three-year period of inactivity. Should you wish to pursue collection of the funds, please contact the California Office of State Controller at 1-800-992-4647 or by email at [www.sco.ca.gov/scocontactus/otherinquiries.aspx](http://www.sco.ca.gov/scocontactus/otherinquiries.aspx). You may also contact them at the address below:

California Office of State Controller

Unclaimed Property Division

P.O. Box 942850  
Sacramento, CA 94250-5873

For your privacy, we are unable to send bank statements via email but we're happy to mail the final statement generated for the account to the address on your letter sent to my attention dated December 22, 2013.

(b)(6), we hope this information is helpful. While we understand this matter is important to you, we regret we are unable to be of further assistance. Thank you for the past business you placed with us. I can be reached at 1-877-658-5560, extension 129-1038 should you have cause to contact me.

Sincerely,



Chase Executive Office

This transmission may contain information that is privileged, confidential, legally privileged, and/or exempt from disclosure under applicable law. If you are not the intended recipient, you are hereby notified that any disclosure, copying, distribution, or use of the information contained herein (including any reliance thereon) is STRICTLY PROHIBITED. Although this transmission and any attachments are believed to be free of any virus or other defect that might affect any computer system into which it is received and opened, it is the responsibility of the recipient to ensure that it is virus free and no responsibility is accepted by JPMorgan Chase & Co., its subsidiaries and affiliates, as applicable, for any loss or damage arising in any way from its use. If you received this transmission in error, please immediately contact the sender and destroy the material in its entirety, whether in electronic or hard copy format. Thank you.



## thank you for your call

1 message

Thu, Jan 16, 2014 at 5:37 PM

To: [REDACTED]

Dear [REDACTED]

Thank you for calling me in response to my email to you advising me (i) you will not respond in writing and (ii) the documents I requested from you, account opening papers, are internal documents not made available to the person whose name is on the account.

I am passing that information forward.

(b)(6) the account was closed March 10, 2010. Please make the account closing papers available to me, soon.

(b)(6) where is the location of that branch my account was held at?

Sincerely  
[REDACTED]

### DISCLAIMER :

With the continuing crossing and interfacing of platforms both on & off line both with & without our knowledge nor approval to note nothing sent over the Internet anymore is ever private nor should be presumed to be so. If it is that much of a secret, say nothing. If you must? Take a lesson from our military- hand write the note, chew then swallow



## The Papers from Texas arrived. Requested documents are not included

1 message

Thu, Jan 16, 2014 at 4:36 PM

To: [REDACTED]

Dear [REDACTED]

The papers arrived. There were no cover letter for the papers.

I spoke both with a (b)(6) in and around 4:20pm.

I did ask for ALL papers connected to the account. I want to see your complete document history for this account. I want the signed papers the account was opened with. I want the closing papers, too.

Please send immediately

Sincerely  
[REDACTED]

### DISCLAIMER :

With the continuing crossing and interlacing of platforms both on & off line both with & without our knowledge nor approval to note nothing sent over the Internet anymore is ever private nor should be presumed to be so. If it is that much of a secret, say nothing. If you must? Take a lesson from our military- hand write the note, chew then swallow

Own a Small Business? - Get email, documents, & more with Google Apps for Business. Free Trial. | Read More »



Current JPMorgan  
Previous HSBC, Royal Bank of Canada (RBC Dain Rauscher)  
Education University of Minnesota

Connect

Send

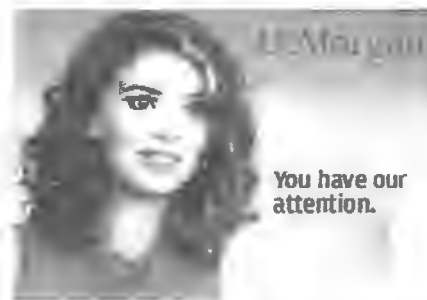


143 connections

www.linkedin.com/pub/bryan-gasche/8/85a/332

3rd

People Similar to



You have our attention.

► Let's connect.

Background

Summary



Experience



Skills & Expertise

Most endorsed for...

- 16 Banking
- 13 Financial Services
- 10 SDLC

People Also Viewed



(b)(6)

LinkedIn

(b)(6)



Advanced

57

14



Home Profile Network Jobs Interests

Business Services Upgrade

You

- 6 Software Project...
- 5 Requirements Analysis
- 4 Risk Management
- 3 Mainframe
- 3 COBOL

Bryan also knows about...

- 3 Project Portfolio...
- 3 Process Improvement
- 2 Visio
- 1 Business Objects

(b)(6)

14 more connections can introduce you to someone who knows (b)(6). Get introduced.



(b)(6)

Education

**University of Minnesota**  
Bachelors Degree, Business Administration, Finance  
1988 – 1992

(1)

[Redacted]



Add Friend

- Timeline
- About
- Photos
- Friends
- More

## About

To see what he shares with friends, send him a friend request.

### Work and Education



### Family

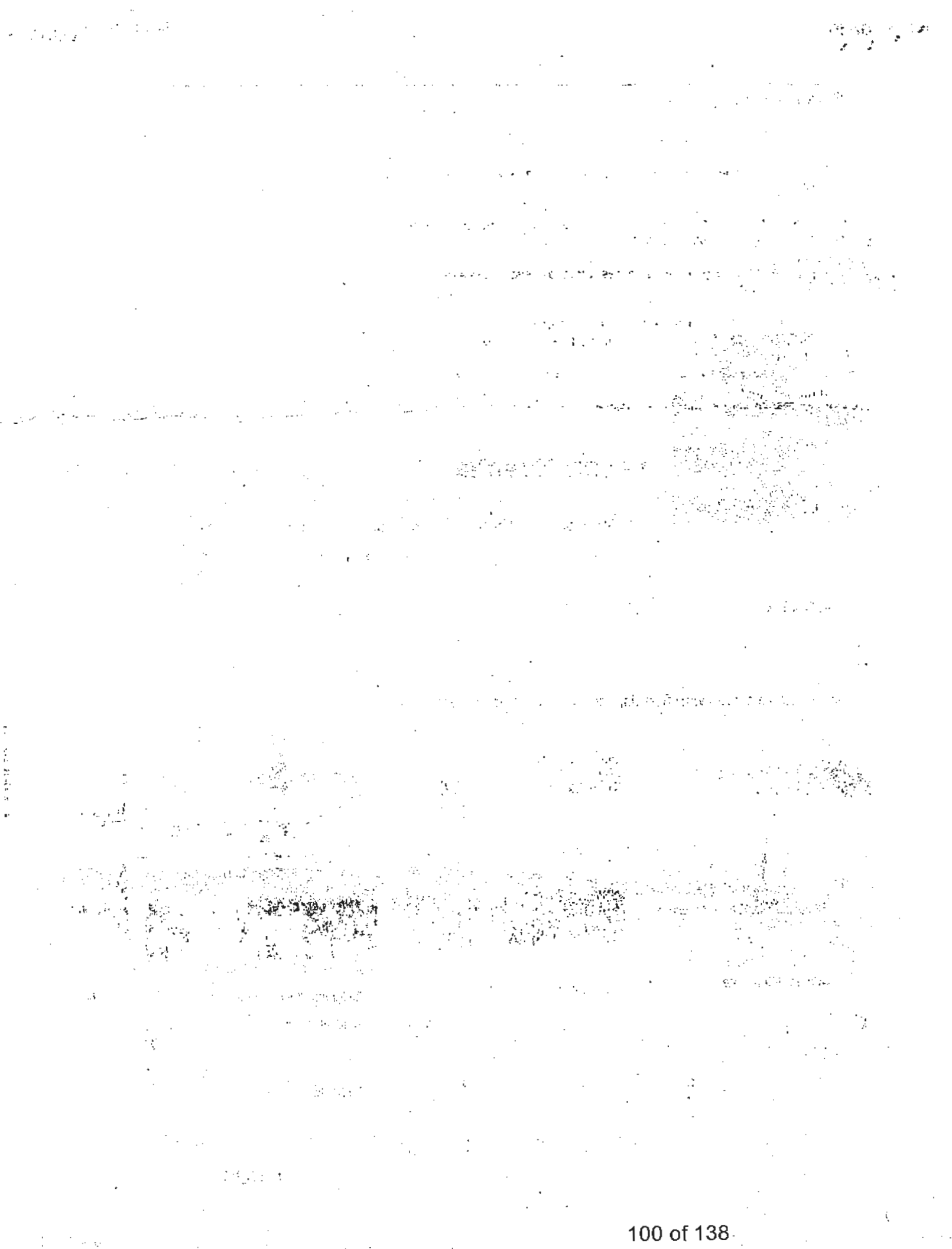


### Places Lived



### Life Events

Chat (234)



Started School at University of Minne



r.com

More About



**Rock & Roll**  
MARATHON SERIES

Rock solid run - center  
stage fun! Click here  
to join the Rock & Roll  
Marathon Series

**Photos**

**Albums**







**RBC**  
**Dain Rauscher**

Member NYSA/SFC

**ACCOUNT STATEMENT**

DECEMBER 1, 2007 - DECEMBER 31, 2007

Account number:

Page 7 of 11

**DEPOSITS**

**Cash deposits**

| DATE                | DESCRIPTION              | AMOUNT     | COMMENTS |
|---------------------|--------------------------|------------|----------|
| 12/12/07            | FUNDS RECD               | \$35.00    |          |
| 12/12/07            | FUNDS RECD               | \$400.00   |          |
| 12/12/07            | FUNDS RECD               | \$670.62   |          |
| 12/27/07            | AUTO PAY FROM JPMORGAN C | \$5,000.00 |          |
| 12/27/07            | FUNDS RECD               | \$22.23    |          |
| 12/27/07            | FUNDS RECD               | \$80.00    |          |
| 12/27/07            | FUNDS RECD               | \$122.00   |          |
| 12/27/07            | FUNDS RECD               | \$1,532.82 |          |
| Total cash deposits |                          | \$7,862.47 |          |

**TOTAL DEPOSITS**

\$7,862.47

**WITHDRAWALS**

**Cash withdrawals**

| DATE                   | DESCRIPTION              | AMOUNT       | COMMENTS |
|------------------------|--------------------------|--------------|----------|
| 12/03/07               | AUTO PAY TO JPMORGAN CHA | -\$5,000.00  |          |
| 12/28/07               | TRANSFER FUNDS OUT       | -\$5,000.00  |          |
| 12/28/07               | TRANSFER FUNDS OUT       | -\$5,000.00  |          |
| 12/28/07               | AUTO PAY TO JPMORGAN CHA | -\$5,000.00  |          |
| Total cash withdrawals |                          | -\$20,000.00 |          |

**TOTAL WITHDRAWALS**

-\$20,000.00



**RBC**  
**Dain Rauscher**

Member NYM/SIPC

**ACCOUNT STATEMENT**  
**2006 ANNUAL STATEMENT**

Account number

Page 9 of 11

**WITHDRAWALS**

**CASH WITHDRAWALS**

| DATE                   | DESCRIPTION              | AMOUNT       | COMMENTS |
|------------------------|--------------------------|--------------|----------|
| 01/11/06               | TRF TO (b)(6)            | -\$1,000.00  |          |
| 01/13/06               | TRF TO                   | -\$500.00    |          |
| 02/03/06               | TRF TO                   | -\$4,500.00  |          |
| 03/08/06               | TRF TO                   | -\$2,750.00  |          |
| 03/18/06               | TRF TO                   | -\$1,000.00  |          |
| 04/03/06               | TRF TO                   | -\$2,750.00  |          |
| 04/27/06               | TRF TO                   | -\$3,750.00  |          |
| 05/09/06               | TRF TO                   | -\$5,000.00  |          |
| 05/18/06               | TRF TO                   | -\$600.00    |          |
| 05/25/06               | TRF TO                   | -\$2,750.00  |          |
| 06/05/06               | TRF TO                   | -\$2,750.00  |          |
| 06/09/06               | TRF TO                   | -\$1,000.00  |          |
| 06/19/06               | TRF TO                   | -\$2,500.00  |          |
| 07/03/06               | AUTO PAY TO JPMORGAN CHA | -\$2,750.00  |          |
| 07/20/06               | AUTO PAY TO JPMORGAN CHA | -\$1,000.00  |          |
| 08/02/06               | AUTO PAY TO JPMORGAN CHA | -\$2,750.00  |          |
| 08/08/06               | AUTO PAY TO JPMORGAN CHA | -\$1,500.00  |          |
| 08/15/06               | AUTO PAY TO JPMORGAN CHA | -\$750.00    |          |
| 08/23/06               | AUTO PAY TO JPMORGAN CHA | -\$250.00    |          |
| 08/24/06               | AUTO PAY TO JPMORGAN CHA | -\$600.00    |          |
| 08/05/06               | AUTO PAY TO JPMORGAN CHA | -\$3,750.00  |          |
| 08/18/06               | AUTO PAY TO JPMORGAN CHA | -\$1,000.00  |          |
| 08/19/06               | AUTO PAY TO JPMORGAN CHA | -\$1,250.00  |          |
| 09/22/06               | AUTO PAY TO JPMORGAN CHA | -\$1,850.00  |          |
| 10/05/06               | AUTO PAY TO JPMORGAN CHA | -\$4,000.00  |          |
| 10/10/06               | AUTO PAY TO JPMORGAN CHA | -\$750.00    |          |
| 10/30/06               | AUTO PAY TO JPMORGAN CHA | -\$3,750.00  |          |
| 11/17/06               | AUTO PAY TO JPMORGAN CHA | -\$1,000.00  |          |
| 11/21/06               | AUTO PAY TO JPMORGAN CHA | -\$2,000.00  |          |
| 12/05/06               | AUTO PAY TO JPMORGAN CHA | -\$3,773.83  |          |
| Total Cash Withdrawals |                          | -\$63,473.83 |          |

**TOTAL WITHDRAWALS**

-\$63,473.83

(b)(6)

(b)(6)

Type: Adobe Acrobat Document  
Author: [REDACTED]  
Subject: Client Statements  
Date Modified: 11/23/2010 11:13 AM  
Size: 43.5 KB

(b)(6)

(b)(6)

(b)(6)

jp morgan failure to supervise



+Carrie

1

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**London Whale Settlement Leaves Jamie Dimon of ...**[www.newyorker.com/london-whale-settlement](http://www.newyorker.com/london-whale-settlement) - The New Yorker

by John Cassidy - in 124 Google+ circles

Sep 20, 2013 - "During the first half of 2012, JPMorgan failed to be open and ... If Dimon wasn't responsible for the glaring failure to supervise itself and his ...

**Why JPMorgan's 'London Whale' was set free - The Term ...**[finance.fortune.cnn.com/2013/08/14/jpmorgans-london-whale-free/](http://finance.fortune.cnn.com/2013/08/14/jpmorgans-london-whale-free/) - CNN

Aug 14, 2013 - (Why not charge her with failure to supervise?) Nor is JPMorgan's CEO Jamie Dimon, who told investors the issue of the London Whale was "a ...

**J.P. Morgan Chase Will Have To Pay A Fine Of \$2 Billion ...**[www.forbes.com/j-p-morgan-chase-will-have-to-pay-a-fine-of-...](http://www.forbes.com/j-p-morgan-chase-will-have-to-pay-a-fine-of-...) - Forbes

Dec 12, 2013 - ... by JP Morgan Chase for not supervising Bernie Madoff's laundering of ... scandal because it failed to supervise properly Madoff's account.

**JPMorgan pays \$100M, admits fault in London trades**[bigstory.ap.org/jpmorgan-chase-co](http://bigstory.ap.org/jpmorgan-chase-co) - Associated Press

Oct 16, 2013 - In the SEC agreement, JPMorgan admitted only that it failed to supervise those traders. The bank "recklessly disregarded the fundamental ...

**Two Charged in J.P. Morgan 'Whale' Trades - WSJ.com**[online.wsj.com/SB100014241278873...](http://online.wsj.com/SB100014241278873...) - The Wall Street Journal

by Devlin Barrett

Aug 14, 2013 - How the Story of J.P. Morgan's 'London Whale' Unfolded ... allegations that J.P. Morgan failed to adequately supervise the two former traders ...

**JPMorgan to pay \$100 million to CFTC over trading losses ...**[www.washingtonpost.com/jpmorgan/692cde1a...](http://www.washingtonpost.com/jpmorgan/692cde1a...) - The Washington Post

Oct 16, 2013 - In the CFTC agreement, JPMorgan admitted that it failed to supervise traders, who distorted prices to reduce the banks' losses at the expense ...

**JPMorgan Chase To Pay Huge Fine In London Whale ...**[www.npr.org/News/Business](http://www.npr.org/News/Business) - NPR

Sep 19, 2013 - JPMorgan Chase has agreed to pay regulators more than \$900 million ... with insufficient internal controls and failing to supervise employees.

**JPMorgan admits wrongdoing, to pay \$100 million - UPI.com**[www.upi.com/BusinessNews](http://www.upi.com/BusinessNews) - United Press International

Oct 17, 2013 - In the agreement, announced Wednesday, JPMorgan admitted it failed to supervise traders, who distorted prices to reduce the bank's losses at ...

**JPMorgan Pays \$100 Million, Admits Fault in London Trades**[www.dailyfinance.com/jpmorgan-pays-100-million-admits-fault-lond...](http://www.dailyfinance.com/jpmorgan-pays-100-million-admits-fault-lond...)

Oct 16, 2013 - JPMorgan agrees to pay a \$100 million penalty and admits that it distorted ... JPMorgan admitted only that it failed to supervise those traders.

**JPMorgan to pay \$920M, admits failed trading oversight ...**[www.nydailynews.com/jpmorgan-pay-920m-ad...](http://www.nydailynews.com/jpmorgan-pay-920m-ad...) - New York Daily News

Sep 19, 2013 - JPMorgan Chase & Co. will pay \$920 million and has admitted that it ... The SEC said that the breakdown in supervision stretched beyond the ...

| SENDER: COMPLETE THIS SECTION                                                                                                                                                                                                                                                                                                                                                                                                                                           | COMPLETE THIS SECTION ON DELIVERY                                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>■ Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.</p> <p>■ Print your name and address on the reverse so that we can return the card to you.</p> <p>■ Attach this card to the back of the mailpiece, or on the front if space permits.</p> <p>1. Article Addressed to:</p> <p style="margin-left: 20px;">Commodity Futures<br/>Trading Commission OIG<br/>3 Lafayette Center<br/>1155 21st Street NW<br/>Washington DC 20581</p> | <p>A. Signature</p> <p style="text-align: center;">[Redacted Signature]</p> <p><input checked="" type="checkbox"/> Agent<br/><input type="checkbox"/> Addressee</p> <p>C. Date of Delivery</p> <p style="text-align: center;">5-1-14</p> <p>D. Restricted Delivery? <input type="checkbox"/> Yes<br/>If YES, enter delivery address below: <input type="checkbox"/> No</p>                                                         |
| <p>2. Article Number<br/>(Transfer from service label)</p> <p>(b)(6)</p>                                                                                                                                                                                                                                                                                                                                                                                                | <p>3. Service Type</p> <p><input checked="" type="checkbox"/> Certified Mail®    <input type="checkbox"/> Priority Mail Express™</p> <p><input type="checkbox"/> Registered        <input checked="" type="checkbox"/> Return Receipt for Merchandise</p> <p><input type="checkbox"/> Insured Mail        <input type="checkbox"/> Collect on Delivery</p> <p>4. Restricted Delivery? (Extra Fee) <input type="checkbox"/> Yes</p> |

PS Form 3811, July 2013

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• Sender: Please print your name, address, and ZIP+4® in this box•

**From:** OIGEmail  
**To:** [REDACTED]  
**Subject:** RE: Please investigate and help me!  
**Date:** Wednesday, May 21, 2014 3:06:00 PM

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Dear [REDACTED] – your complaint is not within the jurisdiction of the Commodity Futures Trading Commission or its Inspector General. You may wish to seek advice from a licensed attorney. Contacting U.S. Customs and Border Protection may be another option, information on seized property generally can be found on the U.S. Customs and Border Protection website, here: [https://help.cbp.gov/app/answers/detail/a\\_id/302/kw/seizure%20at%20border](https://help.cbp.gov/app/answers/detail/a_id/302/kw/seizure%20at%20border). Good luck with your efforts.

Sincerely,

Judy Ringle, Attorney-Advisor  
CFTC OIG

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**From:** [REDACTED]  
**Sent:** Monday, May 19, 2014 9:46 PM  
**Subject:** Please investigate and help me!

To whom it may concern:

On May 15th, 2014 I was ending my vacation. I was in Cancun Mexico airport. I entered a drug store. I asked the clerk if i was allowed to purchase these pills and bring them back with me to the U.S.A. The clerk sold me 5 boxes of 30 pills in each box. The pill is Mazzogran 100 mg.

And the clerk assured me that It is allowed and legal to take them into the U.S.A. I paid \$928.34. Well when I landed in Cleveland Ohio, I declared everything i purchased in Mexico. I was pulled aside searched and my pills were confiscated. I was told I can not have them and I'm out the money. They even took my receipt. I was treated like a drug smuggler and a criminal. This is something that was declared. I did not try to smuggle anything in. They said they were not 100% sure, but between all the officers, they made a educated guess and said they are not legal. I would like my pills back if it is legal. If not then no problem, I understand. I thought United States Citizens were allowed to go to Canada and Mexico and purchase cheaper drugs. Correct me if I'm wrong. Can you please investigate The Cleveland Ohio customs office. And if they are wrong can I get my pills back?

Thank you

[REDACTED]  
[REDACTED]  
[REDACTED]  
[REDACTED]

RECEIVED  
CFTC

CFTC.

2014 May 12 PM 2: 24

OIG

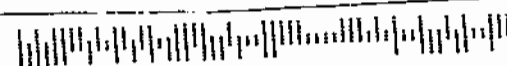
The NEWEST matter filed against [REDACTED] and Western International Securities is [REDACTED]  
[REDACTED] matter was filed April 2014. [REDACTED] is listed as a Florida resident in the claim. His  
cell is [REDACTED] showing as a Montebello California number. [REDACTED] met [REDACTED] in a New York  
lobby. [REDACTED] was told by [REDACTED] about the Barron's ranking she received. [REDACTED] said he had no  
idea he was a WIS client. [ (b)(6) ] website paper(s) attached ]

I recommend you contact the  
SEC OIG.  
They will fill you in on papers  
to date + [REDACTED]

FINRA DISPUTE RESOLUTION  
BOCA CENTER TOWER 1  
5200 TOWN CENTER CIRCLE  
SUITE 200  
BOCA RATON, FL 33486



ZIP 33486  
02 1W  
00013828





[REDACTED]

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[REDACTED]

**FINRA DISPUTE RESOLUTION**

[REDACTED]  
One Liberty Plaza  
165 Broadway 52<sup>nd</sup> floor  
New York, NY 10006  
212- 858-4333

[REDACTED]  
Southeast Regional Director FINRA Dispute Resolution

WIS: CRD# [REDACTED] BGFS: IARD/CRD Number: [REDACTED]  
SEC# [REDACTED] [REDACTED]

May 1 2014

Dear [REDACTED]

My note remains addressed to Mr. [REDACTED]. I read [www.finra.org](http://www.finra.org). Mr. [REDACTED] is in NY. My correspondences will continue to be sent to him.

Back in June of 2013, [REDACTED], [REDACTED] and [REDACTED] were made aware of the activities in my accounts. Documents were provided that also later appeared as "evidence" from Attorney [REDACTED]. I testified under Oath, repeatedly papers were at the SEC, FINRA and IRS. The Arbitrators said in their Hot Mic moment, I was to be unbelievied. Ok. The Arbitrators were led by an industry member who knows the Rules. She said herself, issues like Duty are under conversation. Here is the link to Dodd- Frank (<http://www.sec.gov/news/studies/2011/913studyfinal.pdf>) I am directing you to pages 1,4,8,12,14,20,28,29-34,43,46,47,51,52,57,64,68,86,87,92,93,94,95,106,127.

Page 57 states, "Historically, the staff expressed the concern that mandatory pre-dispute arbitration clauses in investment advisory contracts might mislead clients to believe that they have waived rights available under the Advisers Act that, by law, are not waivable (#177- See McEldowney Financial Services, SEC Staff No-Action Letter (Oct. 17, 1986). staff expressed the view that

an investment advisory contract containing an arbitration clause should disclose that the clause does not constitute a waiver of any right provided in the Advisers Act, including the right to choose the forum, whether arbitration or adjudication, in which to seek resolution of disputes (178 Id)

Those positions, however, largely predated Supreme Court decisions upholding pre-dispute arbitration clauses under the federal securities laws, and a subsequent federal district court opinion citing those decisions upheld the validity of a pre-dispute arbitration clause in an advisory client agreement ( 179 Bakas v. Ameriprise Financial Services, Inc., 651 F. Supp. 997 (D. Minn. 2009)

Advisers Act Section 205(f), added by the Dodd-Frank Act, authorizes the Commission to prohibit or restrict mandatory pre-dispute arbitration provisions in client agreements, but the Commission has not proposed or adopted such a rule at this time.

(180 See Advisers Act Section 205(f), providing that "[t]he Commission, by rule, may prohibit, or impose conditions or limitations on the use of, agreements that require customers or clients of any investment adviser to arbitrate any future dispute between them arising under the federal securities laws, the rules and regulations thereunder, or the rules of a self-regulatory organization if it finds that such prohibition, imposition of conditions, or limitations are in the public interest and for the protection of investors." )

I searched "EXPUNGE" in the Act. No Hits.

Page 94, addresses "Arbitration."

I read and understood then confirmed that people like me don't need to go to FINRA, my case moreso since I did not sign an Arbitration agreement, the document [REDACTED] gave [REDACTED] was a made up paper with cut lines and wrong pagination easy to see. Then and there [REDACTED] duty failed me.

"Arbitration and Mediation: SRO rules require members and their associated persons to arbitrate any eligible dispute upon demand by a customer, even in the absence of a pre-dispute arbitration agreement.

<sup>377</sup>SRO rules do not require customers to arbitrate these disputes, but as a practical matter, most investors who have brokerage accounts have signed an agreement, as a condition to opening the account, which requires them to resolve any disputes with their broker through arbitration rather than the courts.

<sup>378</sup>

If no arbitration agreement is in place, and the customer does not elect arbitration, firms are subject to redress in court by default.

I called FINRA's 301 number. I confirmed, based upon the Dodd-Frank Act Investors do not need to go to FINRA. This is alarming on several fronts. As I am seeing this situation, by Expunging Entity and Industry Personnel documents, that means FINRA is interfering with Investors ability to get justice. I found a term I think fits, "Spoliation Of Evidence." Since FINRA staff relies on Wikipedia for definitions, [REDACTED]), I am deferring here to Wikipedia. ([http://en.wikipedia.org/wiki/Spoliation\\_of\\_evidence](http://en.wikipedia.org/wiki/Spoliation_of_evidence))

It says "The **spoliation of evidence** is the intentional or negligent withholding, hiding, altering, or destroying of evidence relevant to a legal proceeding.<sup>[1]</sup> Spoliation has two possible consequences: in jurisdictions where the (intentional) act is criminal by statute, it may result in fines and incarceration for the parties who engaged in the spoliation; in jurisdictions where relevant case law precedent has been established, proceedings possibly altered by spoliation may be interpreted under a *spoliation inference*.

The spoliation inference is a negative evidentiary inference that a finder of fact can draw from a party's destruction of a document or thing that is relevant to an ongoing or reasonably foreseeable civil or criminal proceeding: the finder of fact can review all evidence uncovered in as strong a light as possible against the spoliator and in favor of the opposing party.

The theory of the spoliation inference is that when a party destroys evidence, it may be reasonable to infer that the party had "consciousness of guilt" or other motivation to avoid the evidence. Therefore, the factfinder may conclude that the evidence would have been unfavorable to the spoliator. Some jurisdictions have recognized a spoliation tort action, which allows the victim of destruction of evidence to file a separate tort action against a *spoliator*.<sup>[2]</sup>

Spoilation of Evidence has Criminal Ramifications. Investors cannot get justice in a court if FINRA destroys Entity and Industry histories. As I wrote in a prior letter, someone stealing bread for their family, will never have their Act expunged but an Industry entity/individual can have their criminal background expunged.

The matter of my Arbitration and Industry activities in my accounts reaches to [REDACTED] office.

One cannot have an award for this matter- no oversight, fraud, conspiracy along with other failures along with other professional and personal insults. Yes, people participated in a Monkey Trial, going through the motions with no accountability, as I continue with points made below. FINRA has few options. Any and all options are with FINRA exposed for absolute failure and fraud in the charade, not to ignore, the words "Bad Faith" alongside my name on the World Wide Web, expanding FINRA employees and leadership's liability. How do you take back Libel in an ecosystem where things live forever. And how does FINRA duck the Audio tape confirming what people have ruminated for many years as I understand. FINRA is anti investor.

FINRA does not operate in a bubble. FINRA operates under laws- local, federal- rules and regulations – IRS, SEC- that FINRA must be compliant with. It does not appear you understand the magnitude of what took and is taking place. Enclosed find a cover of a book the GPO prints.

The inset page advises you how to order "How Laws Are Made." [ 1 ] [REDACTED] is now party to the culpability.

FINRA had no oversight over this matter as the documents I provided before support

(1) I did not sign an arbitration agreement. An undated, unnumbered page, not provided either in Discovery or in the Documents provided to the Arbitrators was sent to FINRA employee Bonnie Simon as part of two pages, the top paper labelled "WIS Client Agreement", dated July 2009, was signed by [REDACTED]

(2) [REDACTED] testified under Oath to the Arbitrators she had no authority to sign papers on behalf of WIS. The "agreement" that was provided as being a real document to the Arbitrators was signed by [REDACTED]

(3) [REDACTED] testified to the Arbitrators she is a broker, representing to the Arbitrators that [REDACTED] was a broker when I was her client

(4) [REDACTED] was a financial advisor according to FINRA papers given by my counsel to the arbitrators, in their Document binders, when I was her client. FINRA does not have authority over Advisors.

FINRA has chosen to say, 'the process is over and we cant do anything about it.' [ 3 ]

You can. This is not even a decision.

Just because something "happened" does not give it "authenticity." Some circles call it going through the motions, other circles call it "performance theatre", others call it "intentional deception." A marriage performed by someone pretending to be a judge is annulled; court matters represented by someone pretending to be a lawyer are meritless. Investor awards are annulled. Among your case precedence are addressed in

(i) [REDACTED] paper "The Role Of Justice In Annulling Investor-State Arbitration Awards (<http://scholarship.law.berkeley.edu/cgi/viewcontent.cgi?article=1438&context=bjil>)

(ii) [REDACTED] Law Blog (<http://omanlawblog.curtis.com/2013/10/annulment-of-arbitration-award.html>) My counsel was denied his request of the Arbitrators [ 4 ] to explain their decision. Worked out better, the Hot Mic moment plays very well.

Document after document sent to you adds to the Fraud. The Hot Mic moment supports Conspiracy, along with conducting this interstate, through the mails and the wires, too. FINRA accepting and sending through the wires a manipulated arbitration document is serious. My letter written responsive to the award notice was sent Certified Return receipt requested. That letter stated (i) the financial hardship (ii) fraud on behalf of FINRA. My health situation is not improving. That said, a 59 year old woman with continuing disability without a college degree no training other than in my prior career, not attended college, no history of being employed in that I was a freelancer, in the works I did further complicates my survival moving forward. My stamina is limited. These papers have already been provided to FINRA and shared, now, again.

Another Claim against [REDACTED] is on her CV. Ms. [ 5 ] [REDACTED] testified to Arbitrators she had one item pending. Three. Three that have been published by FINRA. My case wasn't. [REDACTED] chose not to oversee that "I" being dotted in her managing of the case. I was told there was another matter not reported to FINRA. Time will tell.

There will be more.

I did not know prior to this Arbitration that FINRA is a private corporation. It appears even FINRA's staff does not know this, too. I called FINRA's Maryland consumer number. I am cynical while I write the recorded voice message described your phone operators as "customer satisfaction agents."

Legal definition of Customer is 16 CFR 240.4.

"§ 240.4 Definition of customer. A *customer* is any person who buys for resale directly from the seller, or the seller's agent or broker. In addition, a "customer" is any buyer of the seller's product for resale who purchases from or through a wholesaler or other intermediate reseller. The word "customer" which is used in section 2(d) of the Act includes "purchaser" which is used in section 2(e). (<http://www.law.cornell.edu/cfr/text/16/240.4>)

Investors are not customers of FINRA. I bought nothing from FINRA. FINRA sold me nothing.

The Governing Code here is, 15 U.S. Code § 45 - Unfair methods of competition unlawful; prevention by Commission (<http://www.law.cornell.edu/uscode/text/15/45>)

FINRA's phone audio use of "customer" is misleading and deceptive. FINRA's mission is "FINRA IS DEDICATED TO INVESTOR PROTECTION AND MARKET INTEGRITY THROUGH EFFECTIVE AND EFFICIENT REGULATION OF THE SECURITIES INDUSTRY".

The "customer satisfaction agent" told me FINRA was created by an Act of Congress. "About FINRA" on [www.finra.org](http://www.finra.org), states "not-for-profit organization authorized by Congress." [ 6 ] I called Congress. I spoke to both sides on the Hill. No Act of Congress created FINRA. The 1930's Maloney Act was referred to.

FINRA's GC's Analyst [REDACTED] researched FINRA and the "Act of Congress" I asked citation of [REDACTED] read from Wikipedia. [REDACTED] said she went to Wikipedia because there is nothing on FINRA's site stating the Act of Congress sanctioning FINRA's creation. Nicole read FINRA was created under the Maloney Act. Nicole now understands the Maloney Act was written in the 1930's. FINRA was created in 2007.

([www.finra.org/newsroom/newsreleases/2007/p036329](http://www.finra.org/newsroom/newsreleases/2007/p036329)) [ 7 ]

As not to lose the impact of Wikipedia being the source a FINRA General Counsel's research analyst deferring to for expert opinion, under Fair Use, I printed Page 1 of the Common License data from Wikipedia along with providing a shot of the page which states this page last modified April 28, 2014. The Wikipedia page Alert states "This article has multiple issues... This article reads like a news release or is otherwise written in an overly promotional tone", "This article has been nominated to be checked for its neutrality." [ 8 ]

FINRA in its 2007 Press release states ".... the largest non-government regulatory organization for securities brokers and dealers doing business in the United States." Congress may have approved the merger of NASD and NYNEX. Nicole read from "About FINRA," on FINRA's site page, states "We're an independent, not-for-profit organization authorized by Congress to protect America's investors by making sure the securities industry operates fairly and honestly." A legal definition of "Authorize" is "v. to officially empower someone to act." Congress did not "authorize" FINRA. [ 9 ]

Your site provides "FINRA By The Numbers":

"3400 employees dedicated to market

20 offices across the US 660 fraud cases referred for prosecution

6 billion share trades monitored every day

633,155 under FINRA's supervision

\$74.5m in fines and restitution levied against fraudulent traders in 2013"

Form 990, Schedule L, Part IV, states, "...FINRA's Bylaws... must always meet the "Public" definition....were conducted in the ordinary course of business and do not reflect special arrangements between interested parties." [ 10 ] Part III, "Statement of Program Service Accomplishments", Line 1, Form 990, and Part 1, Summary, both say, "FINRA is dedicated to investor protect and market integrity through effective and efficient regulation of the securities industry." [ 11 ]

That is the Federal return. FINRA forms in Tax Haven, Delaware. Delaware has its rules. "In order to file as an exempt corporation you must meet the requirements of 391(j) as follows: "... the term "exempt corporation" shall be defined as any corporation organized under this chapter that is not authorized to issue capital and that:....(6)(i) is organized not for profit and (ii) no part of its net earnings inures to the benefit of any member or individual." I included some of the names I found that are part of this "Business League" FINRA files under as a non-profit. First class air fare is a covered expense, travel for companions, personal services like maid, chauffeur and chef.

As a "Business League", IRS rules state "that no part of its net earnings will inure to the benefit of any private shareholder or individual and that it is not organized for profit or organized to engage in an activity ordinarily carried on for profit (even if the business is operated on a cooperative basis or produces only sufficient income to be self-sustaining.)" Furthermore, the IRS rules state "In addition, your organization must be primarily engaged in its activities or functions that are the basis of its exemption." [ 12 ]

I looked up Inures (<http://dictionary.reference.com/browse/inure>)

1. to accustom to hardship, difficulty, pain, etc.; toughen or harden; habituate (usually followed by to ) inured to cold.
2. to come into use; take or have effect.
3. to become beneficial or advantageous.

Furthermore, Department of Finance: Division of Revenue states "Non-profit organizations include, but are not limited to:

1. fraternal beneficiary societies,
2. orders or associations, cemetery corporations and corporations organized or trusts created for religious, charitable, scientific or educational purposes or for the prevention of cruelty to children or animals, home owner associations,
3. business leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, as well as clubs organized and operated exclusively for pleasure, recreation and other non-profit purposes.

FINRA's multiple entities are formed under Delaware law. Delaware law states, "The net profit of these organizations cannot benefit any private stockholder or member."  
(<http://revenue.delaware.gov/services/Business Tax/Non Profit.shtml>) [ 13 ]

#### Delaware's Corporations Code

Title 8 of Delaware's Corporations Code , Section 102, Contents of Certificate of Incorporation (3) states "...that the purpose of the corporation is to engage in any lawful act or activity for which corporations may be organized under the General Corporation law of Delaware, and by such statement all lawful acts and activities shall be within the purposes of the corporation , except for express limitations, if any;" (7) states "A provision eliminating or limiting the personal liability of a director to the corporation or its stockholders for monetary damages for breach of fiduciary duty as a director, provided that such provision shall not eliminate or limit the liability of a director: (i) for any breach of the director's duty of loyalty to the corporation or its stockholders; (ii) for acts or omissions not in good faith or for which involve intentional misconduct or a knowing violation of law..." [ 14 ]

#### GRANTS:

FINRA's website states "Our grants allow researchers to explore investor behavior and develop practical ways to avoid costly mistakes and prepare for the future. Grant funding also helps nonprofit organizations ensure that reliable financial and investor education is available to all who need it, when they need it- at the workplace, online 24/7 or wherever its, most effective," further, under "Partnerships" stating, "The FINRA Foundation maintains partnerships with leading nonprofits and agencies to ensure best practices in grant making and financial literacy education across the lifespan. By collaborating with others, the FINRA Foundation maximizes the value of every dollar spent. Our partners, in both the public and private sectors, help us reach individuals and families who need thoughtful, unbiased guidance."  
(<http://www.finrafoundation.org/about/index.htm>) [ 15 ]

Recalling the hot mic moment of the arbitrators, the word here, unbiased, strikes odd. Form 990, Part IV (21) Did the organization report more than \$5000 of grants and other assistance to governments and organization in the United States on Part IX, column (A), line 1? If "yes" complete Schedule I, Parts 1 and II,... NO is written.  
Part IV (22) Did the organization report more than \$5000 of grants and other assistance to individuals in the United States on Part IX, column (A), line 2? If "yes" complete Schedule I, Parts 1 and III,... NO is written.

The District Court of Columbia adjudicating over the SEC shielding FINRA Industry oversight by a FOIA is in conflict with the papers FINRA filed with the IRS. FOIA Form 990 Part VI, Line 19 says, "The organization makes its governing documents and the FINRA consolidated audited financial statements available upon request" FOIA.gov is clear FOIA's are for government agencies. FINRA is not. Refer about to "About Finra" "FINRA is assumed by most people, it appears, to be a Government agency. FINRA is registered with the IRS as a non profit. It is not a government agency. FOIA's do not apply for FINRA. "Form 990, Part VI, Line 19, the organization makes its governing documents and the FINRA consolidated audited financial statements available upon request." [ 16 ]

"Who is FINRA" has taken a bit of time to profile from papers FINRA filed with multiple interstate government agencies. Form 990, Part VI, Line 6, states that "FINRA" is the sole not-for-profit stockholder of FINRA Dispute Resolution. Florida, New York, Delaware, DC, MD do not show a FINRA company. FINRA, a non-profit with stock, has 7 entities formed in Delaware. Form 990,

Part VI, Line 6 states, "FINRA is the sole Not-For-Profit Stockholder of FINRA Dispute Resolution, Inc" Guidestar.org, the IRS, confirm 4 FINRA entities. Not one of them is just "FINRA." Form 990, Part VI, Line 7B, explains "FINRA'S" authority. The website states [www.FINRA.org](http://www.FINRA.org). There is a website FINRA.org. There is an email @finra.org

FINRA lists four entities with the IRS (i) FINRA Dispute Resolution Inc, EIN 52-2187577, Leadership: Linda Feinberg, (ii) Financial Industry Regulatory Authority Inc, EIN 53-00887190, Principal Officer: Richard Ketchum, (iii) FINRA Investor Education Foundation, EIN 20-0863779, Leadership: Gerri M Walsh, (iv) FINRA Regulation Inc., EIN: 52-1959501, Principal Officer: Richard Ketchum. I am understanding that FINRA, on a Federal level, is listed as a 501(c)6 for 52-2187577, 52-1959501, 53-0088710 and as a 501(c)4 for 20-0863779. [ 17 ]

FINRA is multiple companies using the FINRA word along with, surprisingly, still using NASD. The "NEW NASD HOLDING INC, 52-2307595, is listed at 1735 K Street, Washington DC 200061506, and SECURITIES DEALERS RISK PURCHASING GROUP, 52-1953595, is listed at the same address. This was a document I accidentally came across which struck me as puzzling in that the impression online is that the NASD folded in to FINRA. The failure to disclose that FINRA "folds" back to the "NEW" NASD sits uncomfortably.

#### NEW NASD HOLDING INC:

Schedule R, 2011, Form 990 Part IV, Identification of Related Organizations Taxable as a Corporation or Trust repost as "Related Organizations", (1) NEW NASD HOLDING INC, located at 1735 K Street, Washington DC 20006-1506 (2) SECURITIES DEALERS RISK PURCHASING GROUP, at the same address, 1735 K Street, Washington DC 20006-1506. Results for (1) and (2) did not produce a Hit on the DCRA site. There is the opportunity to retrieve a Certified confirmation differently, if in fact they were filed. (1) and (2) appears as Entity in the Delaware Corporate Search. [ 18 ]

Refer to FINRA's press release, above, where it states FINRA is what came from the merger of NASD and NYNEX. That was 2007. NASD exists in FINRA filings, Live, in 2014. In DC. In New York. [ 19 ]

The New York filings are interesting. FINRA's New York filings with the New York Division of Corporations, current May 2 2014, state FINRA REGULATION INC's DOS filing date is September 14, 1998, Jurisdiction DELAWARE. Then it says, January 14, 2008. Delaware says 1996. New York States division of corporations cites FINRA DISPUTE RESOLUTION INC, DOS Filing date, May 9 2000. It is a small thing but a big thing to the barometer of Judgement the State of Delaware holds entities to- the Consumer. NASD appears to be the entity in May 2000. Technically, all the bad of the NASD died with the entity. FINRA, technically, gave the NASD a clean slate. One cannot have it both ways which opens up access to what the NASD does not want public. [ 20 ] Refer back to the [REDACTED] and her Wikipedia source, above.

More interesting was reading in FINRA Legal that "the terms of this disclaimer are governed by the laws of the State of New York." [ 21 ]

Delaware and the IRS may have opinions here, as would the Divisions of Corporations of Florida [ 22 ], Maryland and DC. FINRA declares three entities in DC (i) FINRA Dispute Resolution Inc (ii) FINRA Investor Education Foundation (iii) FINRA Regulation (the black and white papers are printed by the DCRA; the color papers are online printouts) FINRA's Form 990's listed a Fourth entity in MD, "Financial Industry Regulatory Authority Inc, EIN 53-



00887190." (C) "Nonprofit corporation" means a domestic or foreign corporation that is formed otherwise than for the pecuniary gain or profit of, and whose net earnings or any part of them is not distributable to, its members, directors, officers, or other private persons, except that the payment of reasonable compensation for services rendered and the distribution of assets on dissolution as permitted by section 1702.49 of the Revised Code is not pecuniary gain or profit or distribution of net earnings. In a corporation all of whose members are nonprofit corporations, distribution to members does not deprive it of the status of a nonprofit corporation.

DC Law states (page 74) (d) Unless ordered by a court under § 29-406.54(a)(3), a nonprofit corporation shall not indemnify a director:

(<http://www.asaecenter.org/files/New%20DC%20Nonprofit%20Corporation%20Act.pdf>) [ 23 ]

### INVESTOR PROTECTION

FINRA's Investor Education Foundation is in DC under the oversight of Marcia Asquith. FIEF is listed as a "Social Welfare Program." [ 24 ] FINRA's "basis" is stated on its site "FINRA is dedicated to investor protection and market integrity through effective and efficient regulation of the securities industry. FINRA is not part of the government. We're an independent, not-for-profit organization authorized by Congress to protect America's investors by making sure the securities industry operates fairly and honestly. We do this by: writing and enforcing rules governing the activities of more than 4,140 securities firms with approximately 633,155 brokers; examining firms for compliance with those rules; fostering market transparency; and educating investors" and, as indicated below, in all of its entities' Form 990's." The site lists FINRA receive "indirect public support."

FINRA Investor Education Foundation states it "provides underserved Americans with the knowledge, skills and tools necessary for financial success throughout life."

Expunging, implemented by FINRA to the benefit of Industry, provides a new "alias" to a problem firm or investment person, removing their taint from unsuspecting everyday people researching Firms or Industry people.

The rules state the "organization" must be primarily supported by membership dues and income from activities substantially related to its exempt purpose" which is written in the Form 990, Mission statement for (i) FINRA Dispute Resolution Inc, (ii) Financial Industry Regulatory Authority Inc, (iii) FINRA Investor Education Foundation and (iv) FINRA Regulation Inc., is "FINRA IS DEDICATED TO INVESTOR PROTECTION AND MARKET INTEGRITY THROUGH EFFECTIVE AND EFFICIENT REGULATION OF THE SECURITIES INDUSTRY". [ 25 ]

IRS rules, page 49 lists 6 points stating what "Common Business Interest" qualifications. Expungement hiding backgrounds of Bad Industry entities and Industry people is not Investor protection. PIABA Study released stated " Stockbroker Arbitration Slates Wiped Clean 9 Out of 10 Times When "Expungement" Sought In Settled Cases." (<http://www.prnewswire.com/news-releases/piaba-study--stockbroker-arbitration-slates-wiped-clean-9-out-of-10-times-when-expungement-sought-in-settled-cases-228042891.html>) FINRA does address "Expunge" – as a roadmap for Industry and Industry entities. FINRA does not state "EXPUNGE" anywhere on the Expunged party's site (an example is provided in papers provided in earlier submission) [ 26 ]

Investmentnews.com reports a "Big Rise In FINRA lobbying \$\$\$" "shelling out more than \$300K in first quarter...", after Dodd-Frank was implemented ([www.investmentnews.com/article/20110425/FREE/110429969](http://www.investmentnews.com/article/20110425/FREE/110429969)). A second article headline reads "FINRA

hires big gun to lobby for advisor biz SRO". Former Congressman Michael Oxley was registered as FINRA's lobbyist to promoted, the article says, "Self- regulation of investment advisors" ([www.investmentnews.com/article/20110321/FREE/110329997](http://www.investmentnews.com/article/20110321/FREE/110329997)) FINRA declares as a Business League [ 27 ]

FINRA Investor Education Foundation "About Us" page says "Mission and Vision" "The mission of the FINRA Investor Education Foundation is to provide underserved Americans with the knowledge skills and tools necessary for financial success throughout life. The FINRA Foundation envisions a society characterized by universal financial literacy."

FINRA states on its site it "educates investors." ([www.finra.org/AboutFINRA](http://www.finra.org/AboutFINRA)) There are multiple listings in "Investor Complaint Center- FINRA" There does not appear to be a statement in compliance with President Obama's "Plain Writing Communication Act of 2010" that states Industry entity and Industry have expunged backgrounds. There does not appear to be an "Alert" for Expungement [ 28 ] There is no "expunge" or "expungement" in FINRA's glossary alerting unsuspecting Investors the Entity or Industry person has a history the Investor would find objectionable [ 29 ]

The "About Broker Check" states "FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct or to continue to conduct, business with them." [ 30 ] I called FINRA's customer line for clarification on a point raised in the arbitration during the days of the Arbitration. A second party was there with me when the FINRA phone operator said she was hearing red flags not to work with this person. I was in the Arbitration. The phone operators advice was too late. She looked at the report. Neither of us knew the report had been expunged more than once. [ 31 ]

It was seeing Copyright/Trademark under Legal Notices on FINRA's site [ 32 ] that prompted me to look at TESS. TESS is the Search engine on the USPTO site. TESS results show NASD first used in Commerce August 16, 2007, one month after NASD was, according to FINRA's site, "authorized by Congress" to cease to exist by FINRA having formed. TESS showed FINRA was filed July 10, 2007 for the Goods and Services category of IC 025- Clothing, namely T-shirts, hats, sweatshirts, jackets." TESS shows the Record was filed as "FIRST USE IN COMMERCE." [ 33 ] FINRA does list clothing on its site but with relation to "Test Center Security Guidelines [ 34 ] FINRA does sell items on its site, "Printed Publications" [ 35 ] FINRA wordmark confirms the online store for publications, each time stating FINRA is a non-profit corporation DELAWARE.

Most important is a revisit to FINRA and what to do about the award- Western International Securities was not present in the faux Arbitration. On that basis alone, I won, I win FINRA revisiting the Arbitrators bias against investors stated on Audio. It is their words that cripple FINRA's allegation of Investor Protection stated in each and every of FINRA's IRS Business League Filings.

I have since learned of the CFTC. I now know the CFTC has jurisdiction over the Advisor, [REDACTED] [REDACTED] knew that too. [REDACTED] is, after all, a FINRA case manager. "Investor Complaint Center- FINRA" states "Who handles Problems with Investment Advisers and Financial Planners?" The answer is clear enough [REDACTED] should have done diligence at the get go "Not all investment advisers and financial planners are FINRA brokers or brokerage firms.

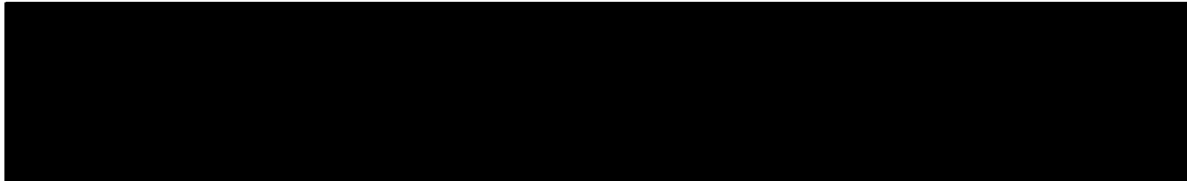
Your complaint may need to be directed to other organizations depending on who has jurisdiction over the investment adviser or financial planner."

The next paragraph "Other Types of Complaints" says "If you are unsure what type of complaint you have and choose to file it with FINRA, we will evaluate the complaint and may pass it on to the appropriate regulator if it is not within FINRA's jurisdiction." The paragraph continues "Forwarding your complaint to other regulators may delay the process of investigating your complaint." I could have handled that in that "delay the process of investigating your complaint" the stress aggravation and significant expense of addressing this matter FINRA got wrong for this Investor along with Defamation of my goodwill and Name is incalculable. [ 36 ]

Cordially

[REDACTED]

[REDACTED]



May 23, 2014

Mr. A. Roy Lavik, Inspector General  
U.S. Commodity Futures Trading Commission  
Office of Inspector General  
Room 10166  
1155 21<sup>st</sup> Street N.W  
Washington, DC 20581

Re: Steven W. Adamske, Director, CFTC Office of Public Affairs  
(Rating and Reviewing Official); Political Appointee - May 2011 to present.

Dear Mr. Lavik:

This letter represents a request for investigation into the systemic conduct by Steven W. Adamske, Director in the CFTC Office of Public Affairs. Our client, [REDACTED]

[REDACTED] (b)(6)  
[REDACTED] (b)(6)

The facts surrounding this request for an investigation are as follows: Mr. Adamske has engaged in arbitrary and capricious conduct (b)(6)

(b)(6) This constitutes a serious abuse of power and obstructs our client's right to a fair, open, and unbiased

(b)(6)

(b)(6)

In summary, Mr. Adamske has violated the Commission's regulations by

(b)(6)

Under Mr. Adamske's on-going regime as OPA Director, these responsibilities have been ignored, to the detriment of [REDACTED]. Thus, we request that this matter be investigated, (b)(6) when available.

Sincerely,

**From:** Ricci, Charles A.  
**To:** OIGEmail  
**Subject:** RE: report fraud, waste and abuse at CFTC  
**Date:** Thursday, June 05, 2014 1:39:45 PM

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Yes, I will handle this. Thanks.

---

**From:** OIGEmail  
**Sent:** Thursday, June 05, 2014 1:31 PM  
**To:** Enforcement; Ricci, Charles A.  
**Subject:** FW: report fraud, waste and abuse at CFTC

Hi, Charlie – can you help this person? I did find the press release mentioned below here:

[REDACTED]

Judy

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**From:** [REDACTED]  
**Sent:** Thursday, June 05, 2014 3:08 PM  
**To:** OIGEmail  
**Subject:** OIG: report fraud, waste and abuse at CFTC

[REDACTED] [REDACTED]  
[REDACTED] [REDACTED]  
[REDACTED] [REDACTED]  
Dear Sir or Madam: Home Phone: [REDACTED] Cell: [REDACTED]  
[REDACTED]

I was recently informed by [REDACTED]  
[REDACTED]  
[REDACTED] that my name is in a judgment that allows people  
to reclaim money from fraudulent precious metal companies—" [REDACTED]  
[REDACTED]". He said that his company could reclaim my  
money for me, but since I could not verify his credentials, I did not retain him. However, I  
believe that I was defrauded by [REDACTED]  
President [REDACTED]  
[REDACTED] Website:  
[REDACTED] I think they are part of the [REDACTED] company. The address on the  
envelopes was [REDACTED]  
[REDACTED] speaks on  
[REDACTED]. I also dealt with [REDACTED], [REDACTED], and [REDACTED]. I only wanted  
to invest \$5000, but they talked me into investing a lot more, and kept phoning me for  
more and always talked us out of selling when we wanted to. I started investing in 2003 and  
"owned" 66,000 ozs. of silver bullion before it dropped in 2006. I had phoned them and  
asked them to sell it before it started falling, but they didn't. Then I had to sell off ozs. or I  
had to send more money. It was a nightmare. I ended up with 22000 ozs on paper. This

company sent me receipts under the name [REDACTED]  
[REDACTED]. I was phoned by [REDACTED] and persuaded to change my silver for palladium. I sold my palladium in 2007, but lost a lot of money. Can you please inform me how I go about reclaiming my money from the "pool" as apparently I never owned any bullion, just was charged interest, storage, and commissions and also lost a lot of my principal. I would hire [REDACTED] to do it for me, but am too afraid of another fraud since I don't know him or his company.

Thank you,

[REDACTED]

**From:** [Connie\\_Brown@ca5.uscourts.gov](mailto:Connie_Brown@ca5.uscourts.gov)  
**To:** [OIGEmail](#)  
**Subject:** RE: CFTR APPEALS WITH THE U.S. COURT OF APPEALS  
**Date:** Monday, July 28, 2014 1:50:27 PM

---

THANKS!

Connie Caluda Brown  
Case Manager  
Louisiana/Mississippi/Agency Divisions of the  
United States Court of Appeals for the Fifth Circuit  
600 S. Maestri Place  
New Orleans, LA 70130  
[connie\\_brown@ca5.uscourts.gov](mailto:connie_brown@ca5.uscourts.gov)  
504-310-7671  
(Monday - Friday 7:30 a.m. to 4:00 p.m.)

From: [OIGEmail <OIGEmail@CFTC.gov>](mailto:OIGEmail@CFTC.gov)  
To: "Connie\_Brown@ca5.uscourts.gov" <[Connie\\_Brown@ca5.uscourts.gov](mailto:Connie_Brown@ca5.uscourts.gov)>  
Date: 07/28/2014 12:47 PM  
Subject: RE: CFTR APPEALS WITH THE U.S. COURT OF APPEALS

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Dear Ms. Brown:

You have reached the Office of Inspector General for the Commodity Futures Trading Commission. We conduct internal audits of CFTC programs and operations and investigate allegations of misconduct by CFTC employees, but we do not litigate in the U.S. Court of Appeals. You might wish to reach out to Jonathan Marcus, CFTC General Counsel, at [jmarcus@cftc.gov](mailto:jmarcus@cftc.gov). He oversees litigation, including litigation in the U.S. Court of Appeals.

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG  
(202)418-5110

**From:** [Connie\\_Brown@ca5.uscourts.gov](mailto:Connie_Brown@ca5.uscourts.gov) [[mailto:Connie\\_Brown@ca5.uscourts.gov](mailto:Connie_Brown@ca5.uscourts.gov)]  
**Sent:** Tuesday, July 22, 2014 10:48 AM  
**To:** [OIGEmail](#)  
**Subject:** CFTR APPEALS WITH THE U.S. COURT OF APPEALS

Good morning:

We are attempting to received ALL of our records electronically from the different agencies in our jurisdiction.

Please advise if the CFTR will be able to send any requested record electronically (i.e. by CD) to this court in the event an appeal is filed.



Your assistance in this matter is greatly appreciated.

Thanks,  
Connie Caluda Brown  
Case Manager  
Louisiana/Mississippi/Agency Divisions of the  
United States Court of Appeals for the Fifth Circuit  
600 S. Maestri Place  
New Orleans, LA 70130  
[connie\\_brown@ca5.uscourts.gov](mailto:connie_brown@ca5.uscourts.gov)  
504-310-7671  
(Monday - Friday 7:30 a.m. to 4:00 p.m.)

**From:** Ringle, Judith A  
**To:** Ricci, Charles A.  
**Subject:** RE: RE: Ugh  
**Date:** Thursday, July 31, 2014 9:03:00 AM

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Wow – I felt like I was being a pest. I'm so glad I emailed you! Many thanks for following up.

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**From:** Ricci, Charles A.  
**Sent:** Thursday, July 31, 2014 9:01 AM  
**To:** Ringle, Judith A  
**Subject:** RE: Ugh

I spoke to him on February 25, 2014, he said he didn't need any assistance. I will call him again.

Thanks,

Charlie

---

**From:** Ringle, Judith A [<mailto:/O=CFTC/OU=WASHINGTON, DC/CN=RECIPIENTS/CN=JRINGLE>]

**Sent:** Thursday, July 31, 2014 08:41 AM

**To:** Ricci, Charles A.

**Subject :** Ugh

We got a hotline call from a [REDACTED] of Michigan [REDACTED]. Two calls. I was presuming he was calling several places for help with his issue and would get relief from someone more appropriate than us. Anyway, he is having problems withdrawing \$\$ from his IRA. Totally not our bailiwick. He called again yesterday. I'm happy to call him but please let me know if you know off the top of your head someplace where I can refer him where he can get some assistance - I'm thinking maybe you've run into this before. I hate to tell people to go hire a lawyer.

Judy

**From:** Ringle, Judith A  
**To:** [Ricci, Charles A.](#)  
**Subject:** RE: referral  
**Date:** Thursday, August 21, 2014 2:58:00 PM

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Thanks!

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**From:** Ricci, Charles A.  
**Sent:** Thursday, August 21, 2014 2:58 PM  
**To:** Ringle, Judith A  
**Subject:** RE: referral

OK, will do. Thanks

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**From:** Ringle, Judith A  
**Sent:** Thursday, August 21, 2014 2:48 PM  
**To:** Enforcement  
**Cc:** Ricci, Charles A.  
**Subject:** referral

Hi there – I got a call from a [REDACTED] He is having problems with a firm called [REDACTED]. If you could please give him a call at [REDACTED] I would appreciate it. He did not have any complaints regarding CFTC programs or operations.

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG

From: OIGEmail

Sent: Friday, October 04, 2013 8:54 AM

To: '????????? ????????'

Subject: RE: report fraud, waste and abuse at CFTC

I have forwarded your email to our Division of Enforcement.

Judy Ringle, Attorney-Advsior

CFTC OIG

(202)418-5109

From: ?????????? ?????????? [mailto: ]

Sent: Thursday, September 26, 2013 9:20 AM

To: OIGEmail

Subject: OIG: report fraud, waste and abuse at CFTC

Good afternoon. Can I speak to you about the broker fraud? [REDACTED] They do not take money and do not get in touch. I have screenshots of all my accounts with them proof of my innocence.

--

? ??????????, ??????????.

**From:** OIGEmail  
**To:** [REDACTED]  
**Subject:** RE: OIG: report fraud, waste and abuse at CFTC  
**Date:** Monday, October 20, 2014 2:52:00 PM

---

Dear [REDACTED] – I apologize for not responding sooner. Your complaint is outside our jurisdiction. The CFTC is authorized by Congress to regulate the commodities markets in futures and options and derivatives. Please contact the Department of Housing and Urban Development Office of Inspector General. Their webpage is <http://www.hudoig.gov/>.

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG

**From:** [REDACTED]  
**Sent:** Friday, September 26, 2014 10:59 AM  
**To:** OIGEmail  
**Subject:** Re: OIG: report fraud, waste and abuse at CFTC

See below. Please confirm receipt.

On Sep 26, 2014 9:18 AM, "[REDACTED]" > wrote:

My name is [REDACTED]. I am a [REDACTED]. I worked for a firm that primarily handles real estate closings called [REDACTED], [REDACTED].

Now it is clear to me that we didn't care how the job was done. I received almost no training and a couple of weeks after I started I was the only [REDACTED]. I've heard that closing attorneys are often sued after foreclosure, but it doesn't matter because the lender is the client here and we owe no duty to the borrower.

I committed fraud on behalf of our clients. I signed false closing attorney affidavits. These were eventually recorded in the counties where the Property is located.

These closing attorney affidavits state that I informed the borrower of the contents of the waiver of borrower's rights document. Well I didn't because these were telephonic closings handled by a different attorney.

I also did a number of telephonic closings myself. These have been illegal in GA since 2000. Doing such a closing amounts to aiding in the unlicensed practice of law. I don't know how the court would rule on the validity of a security deed executed in such a manner.

I was also given a notary stamp with the wrong county on it when I started at [REDACTED]. They told me it wouldn't matter when I expressed concern about the validity of documents, security instruments, executed with such a stamp. The notary commission told me it would invalidate the documents. A lawyer told me there is currently no law in GA on the matter and would come down to the intent of the parties at signing whether the document would be valid.

If asked whether I believed the parties were acting under their own volition upon signing, I would have to truthfully say I once was able to get a guy to sign a document full of symbols that contained very little information because that is how convincing I can be.

These closings represent millions upon millions of dollars of secured assets. I would be willing to bet that some of them over the last couple of years have been resold as asset backed securities. I think there is an argument that very few of them are actually valid securities. I would also assume because of the difficulty of receiving credit these days that most of them are considered class A risks.

My old company showed no concern when I tried to bring some of these issues to their attention. I then contacted [REDACTED] and expressed some of my concerns with them. They never responded. I didn't know how to contact the plethora of other lenders that we worked with, but I asked [REDACTED] to contact the other lenders and title companies for me.

I apologize for any misspelled words in this email. I am currently typing this from a tablet. You can contact me at this email address.

Thank you,  
[REDACTED]

**From:** [REDACTED]  
**To:** Ringle, Judith A.; [REDACTED]  
**Subject:** FW: OIG  
**Date:** Wednesday, August 27, 2014 10:11:42 AM

---

Greetings,

I received your voicemail yesterday Ms. Ringle, thank you for the call and information. I will try to introduce myself to [REDACTED] this week, but I will be out after Thursday.

In the event we are unable to connect, here are some concerns identified during my first few weeks (no doubt you are aware of some if not all):

1. CFTC is severely underfunded and understaffed – result: our team is working hard (too hard) for too little. This needs addressed yesterday...
  - a. I understand that Congress is the problem, or part of it – how to circumvent their gridlock? In effect, they are preventing the CFTC from performing their duties. Result – Congress has set up the CFTC to fail. Why???
  - b. Someone mentioned that there are currently no application fees for potential DCO registrants due to a poorly worded law – this could be changed, and these application fees could be used to fund the CFTC (but how best to change a law – again, Congress is the problem here, apparently).
  - c. Also, whenever CFTC does levy a fine for misconduct or rule violations, why does the fine go into the general Treasury coffers? Perhaps the fines can be used to fund the CFTC directly? If a law needs to be changed to make this happen (or disregarded for the greater good), so be it. Can you help me understand how one goes about initiating a law change like this?
2. Based on a recent draft report on CMEs system safeguards, and interpretations of the current and past Commodities Exchange Act (CEA) laws specific to the Core Principles (namely (b)(6)), this DCO is in violation of the law and has been since at least 2009!
  - a. Evidence of this includes the recent draft report on findings at the CME, as well as a recently performed a gap analysis between the 2009 CEA and the 2014 CEA – although the law has changed somewhat since then, the interpretation hasn't – why is this DCO (and one assumes others) still non-compliant in 2014?!?!? This also needs addressed yesterday – time for some Enforcement?
3. Regarding Enforcement, why haven't Enforcement efforts been initiated, it's 2014 after all? Who makes the call on whether to begin Enforcement? OIG may want to better understand this process, or lack of process. A message could/should be sent that these system failures are no longer acceptable. How best to send that message (again, this message should have been sent yesterday – our markets are at risk):
  - a. Suggestion: Given the recent failures at CME (refer to system outages a few days ago and going back to April earlier this year, as well as failures identified during the recent on-site review of system safeguards), perhaps this entity is too large, too disorganized, or too dis-incentivized to comply with CEA - would a break-up allow for

better management in complying with the CEA? Would a billion \$\$\$, not million \$\$\$ dollar fine get some much needed attention? Or an anonymous call to the Wall Street Journal? Can the CFTC do more than fine? Can our attorneys prosecute CME management for possible jail sentences? Jail sentences for the fat cats at the top who rake in undeserved salaries would certainly send a message...kitty food for thought...

- b. Note for further consideration: CME has been a publicly traded company for how many years, years that they have been subject to the Sarbanes-Oxley (SOX) law. As a former Big-4 auditor, I wonder why CME's external auditor E&Y has not yet uncovered these same system safeguard failures that the CFTC has? From my own personal experience, these system safeguard internal controls are normally included within the scope of an external/SOX related audit. Or perhaps they were included in scope, and E&Y hasn't found the same issues, enforced remediation, or hasn't done their job properly. Does the CFTC have any means of enforcing (or fining) an accounting firm like E&Y, as E&Y is responsible for the public audit of an entity like CME?

As a concerned citizen and taxpayer, it is my duty to bring these concerns to light (but again, none of this is news, is it?). Having read this email, is the OIG surprised about what is written here?

We (the people) expect results, and if Congress prevents results, we (the CFTC) should consider alternative methods (for funding, for enforcement, for RESULTS). How can I help? I've copied my personal email for any follow up discussions while I am out of the office...

[REDACTED]  
[REDACTED]

---

**From:** [REDACTED]  
**Sent:** Friday, August 22, 2014 12:02 PM  
**To:** Lavik, A. Roy  
**Subject:** OIG

Greetings Mr. Lavik,

I recently joined the CFTC and wanted to introduce myself, [REDACTED]

[REDACTED]

began reading some of the reports:

<http://www.cftc.gov/About/OfficeoftheInspectorGeneral/index.htm>

I look forward to more good work from your team...

Thank you,

[REDACTED]  
[REDACTED]



**From:** OIGEmail  
**To:** Ricci, Charles A.  
**Subject:** FW: !!!!!!! Account !!!!!!!!  
**Date:** Friday, September 12, 2014 8:23:00 AM

---

FYI. Hopefully you can help this guy.

---

**From:** [REDACTED]  
**Sent:** Thursday, September 11, 2014 11:43 AM  
**To:** OIGEmail  
**Subject:** FW: !!!!!!! Account !!!!!!!!

Hello can you help me.

Kind regards

---

**From:** [REDACTED]  
**To:** [REDACTED]  
**Subject:** RE: !!!!!!! Account !!!!!!!!  
**Date:** Thu, 11 Sep 2014 15:34:48 +0000

Hi [REDACTED],

Please contact the Commodity Futures Trading Commissions (CFTC) The OIG Report Fraud at the CFTC email address is [oig@cftc.gov](mailto:oig@cftc.gov) . If you should require additional information please feel free to contact me.

Thanks

[REDACTED]

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**From:** [REDACTED]  
**Sent:** Thursday, September 11, 2014 10:22 AM  
**To:** [REDACTED]  
**Subject:** RE: !!!!!!! Account !!!!!!!!

Hi [REDACTED],

there is a big problem. [REDACTED] living in Germany told a lot of cliens that he had managed a lot of accounts on your platform with an amount of approx. 1 million \$. Now we checked all the accounts, and now we got to know that there doesnt exist any of our accounts. Is this real. We all have been at the policestation and involved a lawyer. How could you help me?

kind regards

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**From:** [REDACTED]  
**To:** [REDACTED]  
**Subject:** RE: !!!!!!! [REDACTED] Account [REDACTED] !!!!!!!!  
**Date:** Thu, 11 Sep 2014 15:15:29 +0000  
Good Morning

How may I help you?

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**From:** [REDACTED]  
**Sent:** Thursday, September 11, 2014 10:15 AM  
**To:** AMP - Compliance  
**Subject:** !!!!!!! [REDACTED] Account [REDACTED] !!!!!!!!

Dear Madam and Sir,

I please you to contact me immediatly!!!

Kind regards

**From:** OIGEmail  
**To:** [REDACTED]  
**Subject:** RE: report fraud, waste and abuse at CFTC  
**Date:** Monday, October 20, 2014 2:55:00 PM

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Dear Ms. [REDACTED],

I apologize for not responding sooner. Your complaint does not fall within our jurisdiction. The Commodity Futures Trading Commission has the authority to regulate the futures and derivatives markets; the OIG is authorized to investigate allegations regarding potential misconduct by CFTC employees and contractors. Your complaint does not allege violations of the Commodity Exchange Act nor wrongdoing by CFTC personnel.

I am sorry that I cannot be of assistance.

Sincerely,  
Judy Ringle, Attorney-Advisor  
CFTC OIG

-----Original Message-----

**From:** [REDACTED]  
**Sent:** Wednesday, September 24, 2014 12:58 AM  
**To:** OIGEmail  
**Subject:** OIG: report fraud, waste and abuse at CFTC

Hello, [REDACTED] I was not aware of the 1937 act where my great aunt had trade world wide as of July 29 the when I filed her last tax the markets went sky high and gave a economy boost where does my part play in these k1 q1 forms wired transfer is this legal because I have a levy on my house four kids disabled husband please help direct me for I was unaware of the seriousness of this do I need to fill any forms or am I suppose to use here rollover Ira no one had explained anything I just now my aunt past and was being frauded world wide trade it state on my credit report but yet I have not recieved any thing as it said I had please respond asap

Sent from my iPhone

**From:** OIGEmail  
**To:** [REDACTED]  
**Subject:** RE: report fraud, waste and abuse at CFTC  
**Date:** Monday, October 20, 2014 2:55:00 PM

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