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Et Seq Inter Alia Cftc

The Commodity Futures Trading Commission (Commissionis proposing to) ... 7 U.S.C. 1, et seq. (2019). The CEA and the Commission's regulations are accessible through the ... inter alia, that the exemption would be consistent with the "public interest." ...

COMMODITY FUTURES TRADING COMMISSION

2.In 1999, the Commodity Futures Trading Com mission (CFTC) commenced this enforcement action pursuant to the Commodities Exchange Act, 7 U.S.C. 1 et seq. (CEA or Act). The CFTC

alleged, inter alia, that petitioners committed fraud by misrepresentation and omission of material facts in connection with the solicitation of commodity futures transactions, in violation of 17 C.F.R. 33.10, which provides:

Fitzgerald v. CFTC - Opposition | OSG | Department of Justice

Plaintiff U.S. Commodity Futures Trading Commission is an independent federal regulatory agency that is charged by Congress with the responsibility for administering and enforcing the provisions of the Act, 7 U.S.C. §§ 1 et seq. (2012), and the Regulations promulgated thereunder, 17 C.P.R. §§ 1 et seq. (2014).

et seq. inter alia,

17 C.F.R. §§ 1 et seq. (2000). On July 13, 2001, the Court entered a Consent Order of Preliminary Injunction with Asset Freeze which, inter alia, froze Defendants' assets, prohibited their destruction of documents, preliminarily enjoined them from further violating the Act as alleged in the Complaint, and appointed a permanent Receiver.

UNITED STATES DISTRICT COURT SOUTHERN DISTRICT ... - cftc.gov

The CFTC brought this action in 1994, alleging that, beginning in 1992, petitioners solicited investments in and operated a fraudulent scheme in violation of the Commodity Exchange Act (CEA), 7 U.S. C. § 1 et seq., and CFTC regulations. [1]

COMMODITY FUTURES TRADING COMMISSION et al.

2. Petitioner was a registered floor broker on the New York Mercantile Exchange (NYMEX). In August 2001, the CFTC filed an administrative complaint alleging, inter alia, that petitioner had violated the CEA on five occasions in 1998 by manipulating the settlement prices of futures contracts on the NYMEX. Pet. App. 12a & n.1.

DiPlacido v. CFTC - Opposition | OSG | Department of Justice

The CFTC brought this action in 1994, alleging that, beginning in 1992, petitioners solicited investments in and operated a fraudulent scheme in violation of the Commodity Exchange Act (CEA), 7 U.S.C. § 1 et seq., and CFTC regulations. App. 10. See 7 U.S.C. § 6c(b); 17 CFR § 32.9 (1996).

Dunn v. Commodity Futures Trading Commission, 519 U.S. 465 ...

In general, the Commodity Futures Trading Commission (“the Commission”) has jurisdiction to oversee the trading of commodity futures in the United States. See generally 7 U.S.C. § The 2. Commodity Exchange Act (“the Act”), 7 U.S.C. § et seq., establishes the 1 statutory framework under which the Commission operates.

COMMODITY FUTURES TRADING COMMISSION, RUN ADVANTAGE, LLC ...

The Commodity Exchange Act ("CEA"), 7 U.S.C. § 1 et seq., prohibits fraudulent conduct in the trading of futures, swaps, and other derivatives. The stated mission of the CFTC is to promote the integrity, resilience, and vibrancy of the U.S. derivatives markets through sound regulation.

Commodity Futures Trading Commission - Wikipedia

6 17 C.F.R. § 23.600(c)(2) (stating, inter alia, that “[t]he risk management unit of each [SD] . . . shall provide to senior management and to its governing body quarterly written reports setting forth the market, credit, liquidity, foreign currency, legal, operational, settlement, and any other applicable risk exposures of the [SD] . . .

U.S. COMMODITY FUTURES TRADING COMMISSION

After setting forth exemptions for, inter alia, "transactions in foreign currency," the Amendment

contains a proviso sweeping back into the statute's coverage "such transactions involv[ing] the sale thereof for future delivery conducted on a board of trade." 7 U.S.C. §2(ii) (emphasis added). As we have already noted, the CFTC agrees that futures contracts are a subset of "transactions in foreign currency."

William C. DUNN and Delta Consultants, Inc., Petitioners ...

4.13(a)(4), which had previously exempted from registration³ Commodity Pool Operators ("CPOs") who, inter alia, operated a pool for only those individuals who met a certain "qualified eligible person" standard.⁴ In general, family offices relied on Regulation 4.13(a)(4) as an exemption from registration.

U.S. COMMODITY FUTURES TRADING COMMISSION

The question presented is whether the Commodity Exchange Act (CEA or Act), 7 U.S.C. § 1 et seq., empowers the Commodity Futures Trading Commission (CFTC or Commission) to entertain state law counterclaims in reparation. Page 478 U. S. 836.

CFTC v. Schor :: 478 U.S. 833 (1986) :: Justia US Supreme ...

U.S.C. §§ 1 et seq. (1994), and the Commission Regulations promulgated thereunder ("Regulations"), 17 C.F.R. §§ 1 et seq. (2000). 2. On October 14, 1999, the Court entered a Consent Order of Preliminary Injunction and Other Equitable Relief which, inter alia, froze Defendants' assets, prohibited their destruction of

IN THE UNITED STATES DISTRICT COURT FOR THE ... - CFTC

18. Plaintiff CFTC brought an action against Worth in this District, CFTC v. Worth Group, Inc., et al. Case No. 13-cv-80796-KLR (S.D. Fla., complaint filed August 13, 2013), alleging, inter alia, that Worth defrauded retail precious metals customers and engaged in illegal, off-exchange leveraged

commodity transactions with retail customers.

UNITED STATES DISTRICT COURT FOR THE SOUTHERN DISTRICT OF ...

The Board moved to dismiss the proceeding before the Commission on the ground that the Commodity Exchange Act, 49 Stat. 1491, as amended, 7 U.S.C. 1 et seq., 7 U.S.C.A. § 1 et seq., and the regulations thereunder superseded the provisions of Illinois law which Rice sought to invoke. That motion was denied.

RICE et al. v. BOARD OF TRADE OF CITY OF CHICAGO. ILLINOIS ...

The CFTC is an independent regulatory agency charged by law with the administration and enforcement of the Commodity Exchange Act, as amended, 7 U.S.C. §§ 1 et seq.

In the United States Court of Appeals

system by, inter alia, enhancing the Commodity Futures Trading Commission's (the "Commission" or "CFTC") rulemaking and enforcement authorities with respect to all registered entities and intermediaries subject to the Commission's oversight. 1 See Dodd-Frank Wall Street Reform and Consumer Protection Act, Pub. L. 111-203, 124 Stat. 1376 (2010).

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