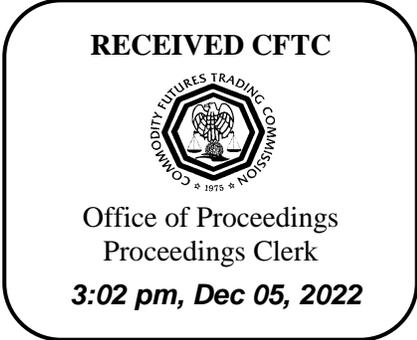




U.S. COMMODITY FUTURES TRADING COMMISSION

Three Lafayette Centre
1155 21st Street, NW, Washington, DC 20581
www.cftc.gov

Office of Proceedings



Jack A. Cox,

Complainant,

v.

Scott Siegel aka Scott M. Siegel, and
Occidental Financial Services, LLC

Respondent.

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CFTC Dkt. No. 22-R004
Served electronically

FINAL DECISION

The parties have elected the voluntary decisional procedure. Under the voluntary decisional procedure, the parties are principally responsible for developing the evidentiary record, the parties waive the opportunity for an oral hearing, waive the right to receive a written statement of the findings of fact upon which the Final Decision is based, and waive the right to appeal this Final Decision to the Commission and to the federal courts. *See* Commission Rules 12.100(b), 12.106(d) and Notice of Voluntary Proceeding (May 4, 2022).

After carefully reviewing the evidentiary record, I find that Complainant Jack A. Cox has established that Respondent Occidental Financial Services, LLC violated Section 4o of the Commodity Exchange Act (CEA), and that these violations

resulted in damages to Cox totaling \$10,000. I do not find he has established any violation of the CEA or its regulations by Respondent Scott Siegel.

Accordingly, Occidental Financial Services, LLC is ordered to pay Cox reparations of \$10,000, plus post-judgment interest on that amount at 4.66% compounded annually from the date of this award to the date of payment, plus \$50 in costs for the filing fee.

Dated: December 5, 2022

/s/ Kavita Kumar Puri
Kavita Kumar Puri
Administrative Judge