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NATIONAL FUTURES ASSOCIATION
LEGAL DOCKETING

NATIONAL FUTURES ASSOCIATION
BEFORE THE
BUSINESS CONDUCT COMMITTEE

In the Matter of:	)	
	)	
ROCK FINANCIAL GROUP LLC (NFA ID #351108),	)	
	)	
and	)	NFA Case No. 10-BCC-042
	)	
SCOTT SCHAFFER (NFA ID #331694),	)	
	)	
Respondents.	)	

DECISION

Having reviewed all matters relevant to the Complaint issued by this Committee in the above-captioned proceeding and the Offer of Settlement ("Offer") submitted by Rock Financial Group LLC ("RFG") and Scott Schaffer ("Schaffer") and having accepted the Offer, the Committee hereby issues the following Decision.

I

ALLEGED VIOLATIONS OF NFA REQUIREMENTS

On December 22, 2010, this Committee issued a Complaint against RFG, a commodity trading advisor NFA Member located in Woodland Hills, California and Schaffer, an associated person and principal of RFG and an NFA Associate. The Complaint alleged that RFG and Schaffer failed to cooperate promptly and fully with NFA in its investigation of RFG, in violation of NFA Compliance Rule 2-5. The Complaint also alleged that RFG failed to disclose Schaffer's full business background and the existence of a pending lawsuit against Schaffer in RFG's disclose document, in violation of NFA Compliance Rule 2-13.

II

OFFER OF SETTLEMENT

RFG and Schaffer submitted an Offer whereby RFG and Schaffer agreed to withdraw from NFA membership and associate membership, respectively, within 30 days of the date of a Decision accepting their Offer, and, thereafter, be permanently barred from NFA membership, associate membership or principal status with any NFA Member.

III

FINDINGS

Having considered the matter and having accepted the Offer submitted by RFG and Schaffer, this Committee finds that RFG and Schaffer violated NFA Compliance Rule 2-5 and that RFG violated NFA Compliance Rule 2-13, as alleged in the Complaint.

IV

PENALTY

Having considered the matter and having accepted the Offer submitted by RFG and Schaffer, this Committee orders RFG and Schaffer to withdraw from NFA membership and associate membership, respectively, within 30 days of the date of this Decision, and, thereafter, they shall be permanently barred from NFA membership, associate membership and principal status with any NFA Member.

V

INELIGIBILITY

Pursuant to the provisions of Commodity Futures Trading Commission ("CFTC") Regulation 1.63, this Decision and the sanctions imposed herein render Schaffer permanently ineligible to serve on a disciplinary committee, arbitration panel, oversight panel or governing board of any self-regulatory organization, as that term is defined in CFTC Regulation 1.63.

NATIONAL FUTURES ASSOCIATION
BUSINESS CONDUCT COMMITTEE

Dated: 12-22-10

By: _____
Chairperson

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AFFIDAVIT OF SERVICE

I, Myra Lewis, on oath state that on December 22, 2010, I served a copy of the attached Decision by sending such copies in the United States Mail, postage prepaid, certified mail, return receipt requested, and by regular mail, in envelopes addressed as follows:

David Stawick
Office of the Secretariat
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

Terry Montgomery
Division of Enforcement
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

William Penner
Deputy Director
Compliance & Registration, DCIO
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

Tempest Thomas
Proceedings Clerk
Office of Proceedings
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

and also by regular mail and overnight mail, in envelopes addressed as follows:

Rock Financial Group LLC
5256 Calatrana Drive
Woodland Hills, CA 91364
Attn: Scott Schaffer

Scott Schaffer
4330 Alhama Drive
Woodland Hills, CA 91364

Michael Shippee, Esq.
Law Offices of Gregory L. Parkin
2500 W. Orangethorpe Avenue, Suite 116
Fullerton, CA 92833

and by hand delivery to:

Elizabeth C. Sheridan, Esq.
National Futures Association
300 South Riverside Plaza, Suite 1800
Chicago, IL 60606

Myra Lewis

Myra Lewis

Subscribed and sworn to before me
on this 22nd day of December 2010.

Notary Public

OFFICIAL SEAL
JUDITH JENKS
NOTARY PUBLIC - STATE OF ILLINOIS
MY COMMISSION EXPIRES MAY 27, 2012

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