

UNITED STATES DISTRICT COURT  
MIDDLE DISTRICT OF TENNESSEE  
NASHVILLE DIVISION

UNITED STATES COMMODITY  
FUTURES TRADING COMMISSION,

Plaintiff,

v.

Case Number 15-00928

Honorable David M. Lawson

MAVERICK ASSET MANAGEMENT, LLC,  
RODNEY SCOTT PHELPS, and JASON T.  
CASTENIR,

Defendant.

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**JUDGMENT**

In accordance with the opinion and order entered on this date,

It is **ORDERED AND ADJUDGED** that defendant Rodney Scott Phelps, and all other persons and entities in active concert and participation with him who receive actual notice of this judgment, hereby **PERMANENTLY ARE RESTRAINED, ENJOINED, AND PROHIBITED** from doing any of the following:

1. Engaging in conduct in violation of 7 U.S.C. §§ 6b(a)(2)(A)-(C); 6o(1);
2. Engaging in conduct in violation of 7 USC § 6m(1);
3. Engaging in conduct in violation of 17 CFR §§ 4.20(b)-(c);
4. Directly or indirectly:

(i) trading on or subject to the rules of any registered entity (as that term is defined in Section 1a(40) of the CEA, 7 U.S.C. § 1a(40));

(ii) entering into any transactions involving “commodity interests” (as that term is defined in Regulation 1.3, 17 C.F.R. § 1.3), for the defendant’s own personal account or for any account in which he has a direct or indirect interest;

- (iii) having any commodity interests traded on the defendant's behalf;
- (iv) controlling or directing the trading for or on behalf of any other person or entity, whether by power of attorney or otherwise, in any account involving commodity interests;
- (v) soliciting, receiving, or accepting any funds from any person for the purpose of purchasing or selling any commodity interests;
- (vi) applying for registration or claiming exemption from registration with the Commission in any capacity, and engaging in any activity requiring such registration or exemption from registration with the Commission, except as provided for in Regulation 4.14(a)(9), 17 C.F.R. § 4.14(a)(9);
- (vii) acting as a principal (as that term is defined in Regulation 3.1 (a), 17 C.F.R. § 3.1(a)), agent, or any other officer or employee of any person registered, exempted from registration, or required to be registered with the Commission, except as provided for in Regulation 4.14(a)(9); or
- (viii) engaging in any business activities related to commodity interests.

It is further **ORDERED AND ADJUDGED** that the plaintiff shall recover from defendant Rodney Scott Phelps restitution on behalf of the unnamed investors in the amount of \$1,172,800.

It is further **ORDERED AND ADJUDGED** that the plaintiff shall recover from defendant Rodney Scott Phelps civil monetary penalties in the amount of \$420,000.

s/David M. Lawson  
DAVID M. LAWSON  
United States District Judge  
Sitting by special designation

Dated: March 14, 2022