

Commodity Futures Trading Commission
CEA CASES

NAME: DAVID L. HOFER

DOCKET NUMBER: 156

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 156

(Administrative Hearing Under the Commodity Exchange Act)

A complaint and notice of hearing has been signed by the Assistant Secretary of Agriculture, charging violation of the Commodity Exchange Act by:

David L. Hofer

(Chicago, Illinois)

The complaint charges that during the period June 18, 1968, through August 16, 1968, the respondent was engaged as a futures commission merchant without being so registered. It also charges that he willfully made a material false statement in his application for registration and that he filed a false financial report. The complaint also charges that the respondent failed and refused to segregate and account separately for customers' funds, commingled such funds with his own, and used customers' funds for his own benefit.

The issuance of a complaint under the Commodity Exchange Act does not constitute proof of violation of the law. Such violation is established only when the Judicial Officer of the Department has made a determination that the evidence substantiates allegations in the complaint. Complaints are filed in the Office of the Bearing Clerk of the Department of Agriculture and are a matter of public record. Pending disposition by the Judicial Officer, it is the policy of the Commodity Exchange Authority not to comment or elaborate on charges contained in complaints or to discuss evidence on which they are based.

A public hearing on the complaint is scheduled to be held before a referee at 10:00 a.m., local time, December 11, 1968, in Chicago, Illinois.

LOAD-DATE: June 16, 2008

