

Commodity Futures Trading Commission
CEA CASES

NAME: THE SIEGEL TRADING CO., INC.

DOCKET NUMBER: 159

DATE: MARCH 2, 1970

DOCUMENT TYPE: CEASE AND DESIST ORDER

Docket No. 159

Name: The Siegel Trading Co., Inc.

Effective March 2, 1970

Effective immediately, respondent The Siegel Trading Co., Inc., shall cease and desist from: (1) making, or causing to be made, any record purporting to show that any trade in commodity futures has been made for the account of any customer when no such trade has been made; (2) making, or causing to be made, to any customer any report or statement purporting to show that any trade in commodity futures has been made for the account of such customer when no such trade has been made; (3) failing to place in any customer's account any trade in commodity futures that is executed pursuant to such customer's order; and (4) failing to accurately compute and maintain: (a) records as of the close of the market on each business day, showing the amount of money, security and property owing or accruing to its customers which it is required to have in segregated account for such customers in order to comply with the requirements of section 4d(2) of the Commodity Exchange Act; (b) records showing customers' trades and positions carried with other futures commission merchants; (c) daily records showing for each transaction executed by it on the Chicago Mercantile Exchange the identity of the customer for whose account the transaction was executed and the identity of the floor broker on the opposite side of the transaction, as required by section 1.35 of the regulations; and (d) such other books and records relating to its business of dealing in commodity futures in such form and manner and for such period as may be required by the Secretary of Agriculture.

Done at Washington, D.C.

March 2, 1970

Thomas J. Flavin, [ILLEGIBLE TEXT]

LOAD-DATE: June 16, 2008

