

Commodity Futures Trading Commission
CEA CASES

NAME: ROBERT M. SWEDLOW

DOCKET NUMBER: STIPULATION 141

DATE: JULY 13, 1972

DOCUMENT TYPE: STIPULATION OF COMPLIANCE

UNITED STATES DEPARTMENT OF AGRICULTURE
BEFORE THE SECRETARY OF AGRICULTURE

In re: Robert M. Swedlow

Stipulation of Compliance Under the Commodity Exchange Act No. 141

The Secretary of Agriculture has reason to believe that Robert M. Swedlow has violated the provisions of the Commodity Exchange Act (7 U.S.C., Chapter 1) and the regulations of the Secretary of Agriculture promulgated thereunder (17 CFR, Chapter 1). No complaint with respect to such violations has been issued and the said Robert M. Swedlow is desirous of disposing of the matter by entering into a stipulation of compliance as authorized by section 0.4(a) of the Rules of Practice under the Commodity Exchange Act (17 CFR, Part 0). Therefore, the said Robert M. Swedlow stipulates the following facts are true:

(1) Robert M. Swedlow, an individual whose address is 110 N. Franklin Street, Room 1314, Chicago, Illinois 60606, is now and was at all times material herein a member of the Chicago Mercantile Exchange, a duly designated contract market under the Commodity Exchange Act.

(2) The registration of Robert M. Swedlow as floor broker under the Commodity Exchange Act for the calendar year 1971 expired on December 31, 1971, and the said Robert M. Swedlow did not submit an application for registration as a floor broker under the Act for the calendar year 1972 until January 13, 1972.

(3) During the period from January 1 through January 13, 1972, Robert M. Swedlow acted as floor broker by executing for others orders for the purchase or sale of commodities for future delivery on or subject to the rules of the Chicago Mercantile Exchange.

The Commodity Exchange Authority has advised Robert M. Swedlow that by reason of the acts set forth above, he has violated section 4e of the Act and section 1.8 of the regulations thereunder.

The said Robert M. Swedlow agrees to desist from such acts and practices in the future. He further understands and agrees that this stipulation is admissible as evidence of such acts and practices in any future proceeding based upon acts or practices in addition to those referred to herein which may be brought against him by the Secretary of Agriculture under the provisions of the said Act. He also understands that it is the practice of the Commodity Exchange Authority to issue press releases on stipulations of compliance and to make them a matter of public record.

Done at Chicago, Illinois, this 13 day of July 1972

[SEE SIGNATURE IN ORIGINAL]

Robert M. Swedlow

Witnessed by:

[SEE SIGNATURE IN ORIGINAL]

[SEE SIGNATURE IN ORIGINAL]

LOAD-DATE: August 6, 2008

