

Commodity Futures Trading Commission  
CEA CASES

**NAME:** DEAN WITTER & CO., INCORPORATED

**DOCKET NUMBER:** 178

**DOCUMENT TYPE:** ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 178

(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:

Dean Witter & Co., Incorporated

(San Francisco, California)

The complaint charges Dean Witter & Co., Incorporated with failing to handle and account for customers' funds as required under the Commodity Exchange Act. The complaint alleges that during the period from June 5 through June 11, 1970, the firm was under-segregated in amounts ranging up to \$ 260,000. The complaint also alleges that on numerous days during the period from August 13 to December 31, 1970, the firm violated the sections of the Act and regulations which require the proper accounting of customers' funds.

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 Hearing 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, on October 13, 1971, in San Francisco, California.

**LOAD-DATE:** June 16, 2008

