

Commodity Futures Trading Commission
CEA CASES

NAME: FILOR BULLARD & SMYTH

DOCKET NUMBER: STIPULATION 5

DATE: NOVEMBER 16, 1945

DOCUMENT TYPE: STIPULATION OF COMPLIANCE

UNITED STATES OF AMERICA

BEFORE THE SECRETARY OF AGRICULTURE

In re Filor Bullard & Smyth

39 Broadway

New York 6, New York

Stipulation of Compliance Under the Commodity Exchange Act No. 5

WHEREAS, the Secretary of Agriculture has reason to believe that Filor Bullard & Smyth has violated the Commodity Exchange Act, as amended, and the rules and regulations of the Secretary of Agriculture promulgated thereunder; and WHEREAS, no complaint has been filed with respect to [ILLEGIBLE TEXT] violation and said Filor Bullard & Smyth desires to enter into a stipulation pursuant to the provisions of Sections 0.6 (a) of the rules of practice under the Commodity Exchange Act: Now, therefore, the said Filor Bullard & Smyth admits that the following facts are true:

(1) That at all times hereinafter mentioned Filor Bullard & Smyth was a partnership engaged in the security brokerage business and on October 17, 1945, was composed of the following partners: David W. Smyth, Howard F. Fischer, Joseph J. Mulcahy, Samuel W. West and Louie J. Puglies;

(2) That prior to November 6, 1945, Filor Bullard & Smyth was not registered as futures commission merchant under the provisions of the Commodity Exchange Act, as amended;

(3) That on November 5, 1946, Filor Bullard & Smyth filed its application for registration as futures commission merchant under the Commodity Exchange Act, as amended, and that such registration was affected as of November 6, 1945;

(4) That on various dates [ILLEGIBLE TEXT]

(5) That sum of money aggregating as much as \$ 20,000 received to [ILLEGIBLE TEXT]

(6) That the commissions charged [ILLEGIBLE TEXT]

(7) That the commodity futures transactions above referred to were executed for Wool Novelty Company and David [ILLEGIBLE TEXT] as an accommodation in consideration of business in securities which Wool Novelty Company and David [ILLEGIBLE TEXT] transacted through Filor Bullard & Smyth and on which Filor Bullard & Smyth was paid normal brokerage commission.

In addition to admitting the foregoing facts, Filor Bullard & Smyth agrees to discontinue all acts practices which are in violation of the Commodity Exchange Act, as amended, and the rules and regulations promulgated thereunder, and further agrees that this stipulation shall be admissible [ILLEGIBLE TEXT] evidence of note and practices in violation of the Commodity Exchange Act, as amended, and

the rules and regulations promulgated thereunder, in any subsequent proceeding brought against it in the enforcement of the provisions of the said act and regulations.

Done at New York, New York, this 10th day of November 1945.

Filor Bullard & Smyth

By

/s/ David W. Smyth

David W. Smyth

/s/ Howard F. Fischer

Howard F. Fischer

/s/ Joseph J. Mulcahy

Joseph J. Mulcahy

/s/ Samuel W. West

Samuel W. West

/s/ Louis J. Puglies

Louis J. Puglies

LOAD-DATE: June 16, 2008

