

Commodity Futures Trading Commission  
CEA CASES

**NAME:** COWEN & CO.

**DOCKET NUMBER:** 152

**DOCUMENT TYPE:** ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 152

(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:

Cowen & Co.

(New York, New York)

The complaint charges that during the period January 26, 1967, through November 1, 1967, Cowen & Co. willfully and knowingly failed to make the computation and permanent record, as of the close of the market on each business day, of the amount of money, securities and property of customers which it was required to hold in segregation pursuant to the provisions of the Commodity Exchange Act.

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, March 6, 1968, in New York, New York.

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

