

Commodity Futures Trading Commission  
CEA CASES

**NAME:** DAVID L. HOFER

**DOCKET NUMBER:** 156

**DATE:** DECEMBER 17, 1970

**DOCUMENT TYPE:** CEASE AND DESIST ORDER

Docket No. 156

Name: David L. Hofer

Effective On or about December 17, 1970 David L. Hofer, shall cease and desist from:

(1) engaging as futures commission merchant within the meaning of the Commodity Exchange Act without being registered with the Secretary of Agriculture as required by Section 4d(1) of the Act (7 U.S.C. 6d(1)) and the Regulations thereunder;

(2) failing to treat and deal with customers' funds that he receives as such futures commission merchant as belonging to such customers as required by Section 4d(2) of the Act (7 U.S.C. 6d(2)) and the Regulations thereunder:

(3) failing to hold his customers' funds in segregated accounts as required in Section 4d(2) of the Act (7 U.S.C. 6d(2)) and the Regulations thereunder:

(4) failing to maintain a daily segregation record of his customers' funds as required in Section 4d(2) of the Act (7 U.S.C. 6d(2)) and the Regulations thereunder;

(5) wilfully making any material false or misleading statement in any application or report filed with the Secretary of Agriculture under the Commodity Exchange Act; and

(6) wilfully omitting to state any material fact in connection with any such application or report.

Done at Washington, D. C.

DEC 15 1970

[SEE SIGNATURE IN ORIGINAL]

Thomas J. Flavin

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

