

Commodity Futures Trading Commission
CEA CASES

NAME: THE SIEGEL TRADING CO., INC., JOSEPH E. SIEGEL, ALVIN C. WINOGRAD AND D. PETER ANDERSON

DOCKET NUMBER: 159

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 159

(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:

The Siegel Trading Co., Inc.,

Joseph E. Siegel,

Alvin C. Winograd

(Chicago, Illinois) and

D. Peter Anderson

(New York, New York)

The complaint charges The Siegel Trading Co., Inc., and two of its principal officers, Joseph E. Siegel and Alvin C. Winograd, with mishandling certain customers' accounts and failing to maintain required records. It charges that in April 1968, six customers trading in potato futures were cheated by the manner in which certain trades were closed out. It also charges that on May 7, 1968, certain trades in cotton futures were bucketed. It further charges that in October 1967 a customer was given a false report in an attempt to deceive him. D. Peter Anderson is charged with cheating in connection with the potato transactions. The recordkeeping violations alleged in the complaint occurred between August 1, 1967 and April 19, 1968.

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, June 24, 1969, in Chicago, Illinois.

LOAD-DATE: June 16, 2008

