

Commodity Futures Trading Commission  
CEA CASES

**NAME:** WALKER & CO.

**DOCKET NUMBER:** 201

**DOCUMENT TYPE:** ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 201

(Administrative Hearing under the Commodity Exchange Act)

A complaint and notice of hearing has been signed by the Deputy Assistant Secretary of Agriculture, charging violation of the Commodity Exchange Act by:

Walker & Co.

(Boston, Massachusetts)

The complaint charges Walker & Co., with failing to handle and account for customers' funds as required under the Commodity Exchange Act. The complaint alleges that on a number of days between March 21 and May 26, 1971, the firm was undersegregated in amounts ranging up to \$ 158,000. The complaint also alleges that on a number of days during the period the firm failed to prepare accurate records of funds in segregation.

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 in Boston, Massachusetts, at a place therein and date to be specified later.

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

