

Commodity Futures Trading Commission  
CEA CASES

**NAME:** WILLIAM R. THOMPSON, JR.

**DOCKET NUMBER:** 148

**DOCUMENT TYPE:** ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 148

(Administrative Hearing Under the Commodity Exchange Act)

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

William R. Thompson, Jr.

(Toledo, Ohio)

The complaint charges that the respondent, while employed by a futures commission merchant, deceived, cheated and defrauded certain of its customers. The complaint alleges that during the period from March 22 through June 14, 1967, the respondent followed the practice of placing unprofitable trades in accounts of certain customers without their authorization or knowledge. The complaint further alleges that the respondent used funds received from one customer to margin the account of another. The complaint also alleges that the respondent withheld or altered confirmations and statements which would have advised the customers of the status of their accounts.

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, November 29, 1967, in Toledo, Ohio.

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

