

Commodity Futures Trading Commission
CEA CASES

NAME: GREENE & COLLINS INC., A. LAWRENCE CARROLL, AND J. ROBERT COLLINS

DOCKET NUMBER: 235; 75-15

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

NOTE: LATER BECAME CFTC DOCKET # 75-15

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D.C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 235

(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:

Greene & Collins, Inc., A. Lawrence Carroll

and J. Robert Collins

(Chicago, Illinois)

The complaint charges that Greene & Collins, Inc., a registered futures commission merchant located in Chicago, Illinois, and A. Lawrence Carroll and J. Robert Collins, officers of the firm, failed to meet minimum financial requirements on December 31, 1973, by \$ 15,000 and on January 31, 1974, by \$ 150,000. In addition, the complaint charges that the respondents failed to comply with various recordkeeping and reporting regulations under the 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 there has been a determination that the evidence substantiates allegations in the complaint. A determination is considered as having been made when a decision of the Administrative Law Judge becomes final or, after appeal, a decision is made by the Judicial Officer of the Department. Complaints are filed in the Office of the Hearing Clerk of the Department of Agriculture and are a matter of public record. Pending disposition of a complaint, it is the policy of the CEA not to comment or elaborate on charges contained therein or to discuss evidence on which it is based.

A public hearing on the complaint will be held before an Administrative Law Judge in Chicago, Illinois, at a place, date, and time to be specified at a later date.

LOAD-DATE: August 6, 2008

