

Commodity Futures Trading Commission
CEA CASES

NAME: KROLL, DALON & CO., INC.

DOCKET NUMBER: 173

DATE: AUGUST 17, 1970

DOCUMENT TYPE: CEASE AND DESIST ORDER

Docket No. 173

Name: Kroll, Dalon & Co., Inc.

Effective On or about August 17, 1970

Order

Respondent Kroll, Dalon & Co., Inc., shall cease and desist from: (1) failing to treat and deal with customers' funds as belonging to such customers as required by section 4d of the Commodity Exchange Act (7 U.S.C. 6d, Supp. IV, 1969) and the regulations thereunder; (2) failing to hold customers' funds in segregated accounts as required by section 4d of the Commodity Exchange Act (7 U.S.C. 6d, Supp. IV, 1969) and the regulations thereunder; and (3) engaging as futures commission merchant within the meaning of the Commodity Exchange Act without meeting the minimum financial requirements prescribed by section 1.17 of the regulations (34 F.R. 559) issued under the Commodity Exchange Act.

Done at Washington, D. C.

August 12, 1970

Thomas J. Flavin

Judicial Officer

LOAD-DATE: June 16, 2008

