

Commodity Futures Trading Commission
CEA CASES

NAME: WILLIAM J. MALLERS

DOCKET NUMBER: 86

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington 25, D. C.

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 86

(Administrative Hearing under the Commodity Exchange Act)

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

William J. Mallers

124 Keeney Street

Evanston, Illinois

The complaint charges that the respondent, while acting as a floor broker in wheat futures on the Chicago Board of Trade, took the opposite side of his principals' orders without their prior consent, matched orders received from the same principal and offset orders received from different principals. The respondent is a registered floor broker under the Commodity Exchange 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 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, October 21, 1958, in Room 1200, Board of Trade Building, 141 West Jackson Boulevard, Chicago, Illinois.

LOAD-DATE: June 12, 2008

