

Commodity Futures Trading Commission
CEA CASES

NAME: THOMAS E. HERR

DOCKET NUMBER: STIPULATION 84

DATE: SEPTEMBER 29, 1965

DOCUMENT TYPE: STIPULATION OF COMPLIANCE

UNITED STATES DEPARTMENT OF AGRICULTURE

BEFORE THE SECRETARY OF AGRICULTURE

In re: Thomas E. Herr

Stipulation of Compliance Under the Commodity Exchange Act No. 84

The Secretary of Agriculture has reason to believe that Thomas E. Herr has violated the provisions of the Commodity Exchange Act (7 U.S.C., Chapter 1) and the regulations of the Secretary of Agriculture promulgated thereunder (17 CFR, Chapter 1). No complaint with respect to such violations has been issued and the said Thomas E. Herr is desirous of disposing of the matter by entering into a stipulation of compliance as authorized by section 0.4(a) of the Rules of Practice under the Commodity Exchange Act (17 CFR, Part 0). Therefore, the said Thomas E. Herr stipulates the following facts are true:

(1) Thomas E. Herr an individual whose address is 141 West Jackson Boulevard, Chicago, Illinois 60604, is now and was on August 13, 1965, a registered floor broker under the Commodity Exchange Act and a member of the Board of Trade of the City of Chicago, a duly designated contract market under the Commodity Exchange Act.

(2) On August 13, 1965, Thomas E. Herr executed 69 transactions in regulated commodity futures on the Board of Trade of the City of Chicago but failed to prepare a trading card or other

record clearly identifying the opposite floor broker or other person with whom each of such transactions was executed.

The Secretary of Agriculture has advised Thomas E. Herr that his failure to keep full and complete records of futures transactions, as described above, was in violation of section 4g of the Commodity Exchange Act and section 1.35 of the regulations under the Commodity Exchange Act.

The said Thomas E. Herr agrees to desist from such acts and practices in the future. He further understands and agrees that this stipulation shall be admissible as evidence of such acts and practices in any future proceeding based upon acts or practices in addition to those referred to herein which may be brought against him by the Secretary of Agriculture under the provisions of the said act. He also understands that it is the practice of the Commodity Exchange Authority to make stipulations of compliance a matter of public record.

Done at Chicago, Illinois, this

29 day of September 1965

[SEE SIGNATURE IN ORIGINAL]

Witnessed by:

[SEE SIGNATURE IN ORIGINAL]

[SEE SIGNATURE IN ORIGINAL]

LOAD-DATE: June 16, 2008

