

Commodity Futures Trading Commission
CEA CASES

NAME: BACHE & CO. INCORPORATED, HAROLD L. BACHE, AND ROBERT C. HALL

DOCKET NUMBER: 147

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 147

(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:

Bache & Co. Incorporated,

Harold L. Bache, and

Robert C. Hall

(New York, New York)

The complaint charges Bache & Co. Incorporated and two of its principal officers, Harold L. Bache and Robert C. Hall, with failing to handle and account for customers' funds as required under the Commodity Exchange Act. The complaint alleges that on a number of days during the period between May 2 and September 3, 1966, the firm and its two named officers violated the sections of the act and regulations which require the safeguarding and proper accounting of customers' funds.

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 had 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 15, 1967. in New York, New York.

LOAD-DATE: June 16, 2008

