

Commodity Futures Trading Commission
CEA CASES

NAME: HAROLD GOLDSTEIN

DOCKET NUMBER: 208

DATE: FEBRUARY 27, 1973

DOCUMENT TYPE: COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

BEFORE THE SECRETARY OF AGRICULTURE

In re: Harold Goldstein, Respondent

CEA Docket No. 208

Complaint and Notice of Hearing Under the Commodity Exchange Act

There is reason to believe that the respondent, Harold Goldstein, has violated the Commodity Exchange Act (7 U.S.C. 1 et seq.) and the regulations made pursuant thereto, and this complaint and notice of hearing is issued stating the charges in that respect as follows:

I

The respondent, Harold Goldstein, an individual whose current business address is 8383 Wilshire Blvd., Suite 300, Beverly Hills, California 90211, from on or about February 1, 1971 to on or about June 18, 1971, was manager of the Fort Lauderdale, Florida branch office of The Siegel Trading Co., Inc., a registered futures commission merchant under the Commodity Exchange Act.

II

On or about the dates specified below, the respondent converted to his own use money which had been received by The Siegel Trading Co., Inc. from its customers to margin their trades in commodity futures regulated under the Commodity Exchange Act.

See original document-page 1

Date	Name of Customer	Amount Converted
June 4, 1971	Richard T. Price	\$ 1,000
April 20, 1971	Leroy V. Peart	\$ 1,500
April 20, 1971	Richard E. Hoyenga	\$ 2,000

III

The trades in commodities for future delivery referred to above, if executed, could have been used for (a) hedging transactions in such commodities or the products or byproducts thereof, or (b) determining the price basis of transactions in interstate commerce in such commodities, or (c) delivering such commodities sold, shipped or received in interstate commerce for the fulfillment thereof.

IV

By reason of the facts alleged in this complaint, the respondent wilfully violated sections 4b, 4d and 9 of the Commodity Exchange Act, as amended (7 U.S.C. 6b, 6d and 13), and section 1.20 of the regulations thereunder.

WHEREFORE, it is hereby ordered that this complaint and notice of hearing be served upon the respondent and this proceeding shall be governed by sections 0.1, 0.2, 0.4(b), 0.5 through 0.22 and 0.28 of the rules of practice under the

Commodity Exchange Act (17 CFR 0.1, 0.2, 0.4(b), 0.5 through 0.22, 0.28). The respondent will have

twenty (20) days after the receipt of this complaint in which to file with the Hearing Clerk, United States Department of Agriculture, Washington, D. C. 20250, an answer with an original and three copies, fully and completely stating the nature of the defense and admitting or denying, specifically and in detail, each allegation of this complaint. Allegations not answered will be deemed admitted for the purpose of this proceeding. Failure to file an answer will constitute an admission of all the allegations of this complaint and a waiver of hearing. The filing of an answer in which all of the material allegations of fact contained in the complaint are admitted likewise shall constitute a waiver of hearing unless a hearing is requested. The respondent is hereby notified that unless hearing is waived, a hearing will be held in Los Angeles, California at a place therein and date to be specified later, before a referee designated to conduct such hearing. At such hearing, the respondent will have the right to appear and show cause, if any there be, why an appropriate order should not be issued in accordance with the Commodity Exchange Act, (1) prohibiting the respondent from trading on or subject to the rules of any contract market, and directing that all contract markets refuse all trading privileges to the respondent for such

period of time as may be determined, and (2) directing that the respondent shall cease and desist from violating the Act and regulations in the manner alleged herein.

Done at Washington, D.C.

February 27, 1973.

[SEE SIGNATURE IN ORIGINAL]

CLAYTON YEUTTER

Assistant Secretary

LOAD-DATE: June 16, 2008

