

Commodity Futures Trading Commission
CEA CASES

NAME: STERLING SECURITIES, INC., PAUL J. MILLER, AND R. PETER DENKER

DOCKET NUMBER: 158

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 158

(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:

Sterling Securities, Inc.,

Paul J. Miller, and

R. Peter Denker

(Sterling, Illinois)

The complaint charges that the respondents were undersegregated on eight business days during the period February 28, 1967, through April 27, 1967, in amounts ranging up to approximately \$ 6,000. It also charges that during 1968 funds belonging to customers had been temporarily diverted to the firm's own use. It further charges that on June 26, 1968, certain information was reported by the respondents which they knew, or had reason to know, was false.

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, January 22, 1969, in Chicago, Illinois.

LOAD-DATE: June 16, 2008

