

Commodity Futures Trading Commission
CEA CASES

NAME: VINCENT R. CAPONIGRI

DOCKET NUMBER: STIPULATION 104

DATE: MARCH 1, 1968

DOCUMENT TYPE: STIPULATION OF COMPLIANCE

UNITED STATES DEPARTMENT OF AGRICULTURE
BEFORE THE SECRETARY OF AGRICULTURE

In re: Vincent R. Caponigri

Stipulation of Compliance Under the Commodity Exchange Act No. 104

The Secretary of Agriculture has reason to believe that Vincent R. Caponigri 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. No complaint with respect to such violations has been issued and the said Vincent R. Caponigri 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 Vincent R. Caponigri stipulates the following facts are true:

(1) Vincent R. Caponigri, an individual whose address is 141 West Jackson Boulevard, Chicago, Illinois, is now and was at all times mentioned herein a member of the Chicago Board of Trade, a duly designated contract market under the Commodity Exchange Act.

(2) The registration of Vincent R. Caponigri as floor broker under the Commodity Exchange Act for the calendar year

1966 expired on December 31, 1966, and the said Vincent R. Caponigri did not submit an application for registration as floor broker under the act for the calendar year 1967.

(3) In a letter dated January 11, 1967, the Director of the Accounting and Licensing Division of the Commodity Exchange Authority advised Vincent R. Caponigri as follows:

"Please understand that registration as floor broker is necessary before you can lawfully engage in executing for others any order for the purchase or sale of any regulated commodity for future delivery on or subject to the rules of any designated contract market."

(4) During calendar 1967 Vincent R. Caponigri acted as floor broker by executing for others orders for the purchase or sale of commodities for future delivery on or subject to the rules of the Chicago Board of Trade and for such services received and accepted compensation.

The Commodity Exchange Authority has advised Vincent R. Caponigri that by reason of the acts set forth above, he has violated section 4e of the Commodity Exchange Act and section 1.8 of the regulations thereunder.

The said Vincent R. Caponigri agrees to desist from such acts in the future. He further understands and agrees that this stipulation is admissible as evidence of such acts in any

future proceeding based upon acts or practices in addition to those referred to herein which may be brought by the Secretary of Agriculture against him under the provisions of the said act. He also understands that it is the practice of the Commodity Exchange Authority to issue press releases on stipulations of compliance and to make them a matter of public record.

Done at CHICAGO ILL, this

1st day of MARCH 1968

[SEE SIGNATURE IN ORIGINAL]

Vincent R. Caponigri

Witnessed by:

[SEE SIGNATURE IN ORIGINAL]

[SEE SIGNATURE IN ORIGINAL]

LOAD-DATE: June 16, 2008

