

Commodity Futures Trading Commission
CEA CASES

NAME: PAUL MAHLER

DOCKET NUMBER: STIPULATION 111

DATE: DECEMBER 1, 1970

DOCUMENT TYPE: STIPULATION OF COMPLIANCE

UNITED STATES DEPARTMENT OF AGRICULTURE

BEFORE THE SECRETARY OF AGRICULTURE

In re: Paul Mahler

Stipulation of Compliance Under the Commodity Exchange Act No. 111

The Secretary of Agriculture has reason to believe that Paul Mahler 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 violation has been issued and the said Paul Mahler 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 Paul Mahler for the purposes of this stipulation of compliance and administrative proceedings under the Commodity Exchange Act and for such purposes only, stipulates the following facts are true:

(1) Paul Mahler; an individual whose address is 6 Harrison Street, New York, New York 10013, is now and was on May 9, 1969, a registered floor broker under the Commodity Exchange Act and a member of the New York Mercantile Exchange.

(2) The transactions herein described were in Maine potato futures on the New York Mercantile Exchange, a duly designated contract market under the Act.

(3) On May 9, 1969, Paul Mahler, trading for his own account, made the following transactions in the May 1969 future:

Purchases		Sales	
No. of contracts	Price	No. of contracts	Price
1	2.63		
3	2.52		
2	2.65		
16	2.40	16	2.50

Thereafter, with the knowledge and consent of Philip M. Smith, a then employee of Evans & Co., Inc., the said Paul Mahler allocated such executions to Evans & Co., Inc.

The Commodity Exchange Authority has advised Paul Mahler that his action as described above was in violation of section 1.38 of the regulations under the Commodity Exchange Act.

The said Paul Mahler agrees to desist from such acts in the future. He further understands and agrees that this stipulation is 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 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 New York City [ILLEGIBLE TEXT] this

1 day of December 1970

Witnessed by:

[SEE SIGNATURE IN ORIGINAL]

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