

Commodity Futures Trading Commission
CEA CASES

NAME: RICE COMMODITIES, INC., AND SAM L. RICE, JR.

DOCKET NUMBER: 213

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 213

(Administrative Hearing Under the Commodity Exchange Act)

A complaint and notice of hearing has been signed by the Assistant Secretary of Agriculture, charging violation of the Commodity Exchange Act by:

Rice Commodities, Inc., and Sam L. Rice, Jr.

(Toledo, Ohio)

The complaint charges that on March 31 and on April 21, 1972, Rice Commodities, Inc., acted as a futures commission merchant, notwithstanding that it failed to meet the Chicago Board of Trade and CEA's minimum financial requirements. It also charges that on April 21, 1972, the respondents filed with CEA a false report purporting to show the corporation's financial condition as of March 31, 1972.

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 will be held before a referee in Toledo, Ohio, at a date and time to be specified at a later date.

LOAD-DATE: June 12, 2008

