

Commodity Futures Trading Commission
CEA CASES

NAME: STERLING SECURITIES, INC.

DOCKET NUMBER: 158

DATE: MARCH 29, 1969

DOCUMENT TYPE: CEASE AND DESIST ORDER

Docket No. 158

Name: Sterling Securities, Inc.

Effective March 29, 1969

Order

Respondent Sterling Securities, Inc., shall cease and desist from: (1) engaging as futures commission merchant without treating and dealing with all customers' funds in conformity with the provisions of section 4d of the Commodity Exchange Act (7 U.S.C. 6d); (2) failing to prepare and maintain an accurate record as of the close of the market on each business day of the amount of money, securities, and property which must be in segregated account in order to comply with the requirements of section 4d of the Commodity Exchange Act (7 U.S.C. 6d); (3) willfully making any false or misleading statement of any material fact in any report filed with the Secretary of Agriculture under the Commodity Exchange Act; and (4) willfully omitting to state in any such report any material fact which is required to be stated therein.

Done at Washington, D. C.

February 27, 1969

Thomas J. Flavin

Judicial Officer

LOAD-DATE: June 16, 2008

