

Commodity Futures Trading Commission
CEA CASES

NAME: WARD MERCANTILE, INC. AND PHILIP J. FULLERTON

DOCKET NUMBER: 179

DATE: OCTOBER 25, 1971

DOCUMENT TYPE: CEASE AND DESIST ORDER

Docket No. 179

Name: Ward Mercantile, Inc. and Philip J. Fullerton

Effective On or about October 25, 1971

Order

Effective on the date of service of this order upon respondent Ward Mercantile, Inc., it shall cease and desist from engaging as futures commission merchant without meeting the minimum financial requirements prescribed by section 1.17 of the regulations (17 CFR 1.17) issued under the Commodity Exchange Act.

Effective on the date of service of this order upon respondent Philip J. Fullerton, he shall cease and desist from wilfully causing, aiding, abetting, counseling, commanding or inducing Ward Mercantile, Inc., or any other futures commission merchant, to engage as futures commission merchant without meeting the minimum financial requirements prescribed by section 1.17 of the regulations (17 CFR 1.17) issued under the Commodity Exchange Act.

A copy of this Decision and Order shall be served on each of the parties.

Done at Washington, D. C.

OCT 20 1971

[SEE SIGNATURE IN ORIGINAL]

Thomas J. Flavin

Judicial Officer

LOAD-DATE: June 16, 2008

