

Commodity Futures Trading Commission
CEA CASES

NAME: RAYMOND A. GERSTENBERG, RAYMOND M. GERSTENBERG, GERSTENBERG & CO., AND JOHN W. DICKSON. JR.

DOCKET NUMBER: 141

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT -- CEA DOCKET NO. 141

(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:

Raymond A. Gerstenberg,

Raymond M. Gerstenberg,

Gerstenberg & Co., and

John W. Dickson, Jr.

(Chicago, Illinois)

The complaint charges that during the period from February 16, 1965, through December 20, 1965, Raymond A. Gerstenberg and Raymond M. Gerstenberg, acting for themselves and in their capacities as partners of Gerstenberg & Co., entered into fictitious transactions and bucketed customers' orders. In addition, the partnership is charged with taking the other side of a customer's trade without the prior consent of such customer. The complaint also charges that John W. Dickson, Jr., entered into a fictitious sale and that all of the respondents prepared false records and maintained incomplete records.

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 is scheduled to be held before a referee at 10:00 a.m., local time, January 18, 1967, in Chicago, Illinois.

LOAD-DATE: June 12, 2008

