

Commodity Futures Trading Commission  
CEA CASES

**NAME:** MARSHALL J. STEIN

**DOCKET NUMBER:** STIPULATION 148

**DATE:** MAY 30, 1974

**DOCUMENT TYPE:** STIPULATION OF COMPLIANCE

UNITED STATES DEPARTMENT OF AGRICULTURE

BEFORE THE SECRETARY OF AGRICULTURE

In re: Marshall J. Stein

Stipulation of Compliance Under the Commodity Exchange Act No. 148

The Secretary of Agriculture has reason to believe that Marshall J. Stein has 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 violations has been issued and the said Marshall J. Stein 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 Marshall J. Stein stipulates the following facts are true:

(1) Marshall J. Stein, an individual whose address is 141 W. Jackson Boulevard, Room 1025, Chicago, Illinois 60604, is now and was at all times material herein a member of the Chicago Mercantile Exchange, a duly designated contract market under the Commodity Exchange Act.

(2) The registration of Marshall J. Stein as floor broker under the Commodity Exchange Act for the calendar year 1973 expired on December 31, 1973, and the said Marshall J. Stein did not submit an application for registration as a floor broker under the Act for the calendar year 1974 until January 11, 1974.

(3) During the period from January 1 through January 11, 1974, Marshall J. Stein acted as floor broker by executing for another person orders for the purchase or sale of commodities for future delivery on or subject to the rules of the Chicago Mercantile Exchange.

The Commodity Exchange Authority has advised Marshall J. Stein that by reason of the acts set forth above, he has violated section 4e of the Act and section 1.8 of the regulations thereunder.

The said Marshall J. Stein agrees to desist from such acts and practices 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 against him by the Secretary of Agriculture 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 Chicago, Illinois, this

30 day of May 1974.

[SEE SIGNATURE IN ORIGINAL]

Marshall J. Stein

Witnessed by:

[SEE SIGNATURE IN ORIGINAL]

**LOAD-DATE:** June 16, 2008

