

Commodity Futures Trading Commission
CEA CASES

NAME: DEAN WITTER & CO., INCORPORATED

DOCKET NUMBER: 197

DOCUMENT TYPE: ISSUANCE OF COMPLAINT

UNITED STATES DEPARTMENT OF AGRICULTURE

Commodity Exchange Authority

Washington, D. C. 20250

ISSUANCE OF COMPLAINT - CEA DOCKET NO. 197

(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:

Dean Witter & Co., Incorporated

(San Francisco, California)

The complaint charges Dean Witter & Co., Incorporated with failing to handle and account for customers' funds as required under the Commodity Exchange Act. The complaint alleges that on a number of days between July 21 and October 7, 1971, the firm was under-segregated in amounts ranging up to \$ 414,000. The complaint also alleges that on numerous days during the period the firm failed to prepare accurate records of funds in segregation.

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 San Francisco, California, at a date and time to be specified at a later date.

LOAD-DATE: June 16, 2008

