

Commodity Futures Trading Commission
CEA CASES

NAME: DEAN WITTER & CO., INCORPORATED

DOCKET NUMBER: 178

DATE: AUGUST 27, 1971

DOCUMENT TYPE: CEASE AND DESIST ORDER

Docket No. 178

Name: Dean Witter & Co., Incorporated

Effective August 27, 1971

Order

Effective upon the date of service of this order upon the respondent, it shall cease and desist from:

(1) failing to treat and deal with customers' funds as belonging to such, customers as required by section 4d of the Commodity Exchange Act (7 U.S.C. 6d) and the regulations thereunder;

(2) failing to hold customers' funds in segregated account as required by section 4d of the Commodity Exchange Act (7 U.S.C. 6d) and the regulations thereunder; and

(3) failing to prepare and maintain (a) 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) and the regulations thereunder, and (b) such other books and records relating to dealing in commodity futures in such form and manner and for such period as may be required by the Secretary of Agriculture.

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

Done at Washington, D. C.

AUG 25 1971

[SEE SIGNATURE IN ORIGINAL]

Thomas J. Flavin

Judicial Officer

LOAD-DATE: June 16, 2008

