



MINNEAPOLIS GRAIN EXCHANGE, INC.

EXCHANGE DISCIPLINARY ACTION

FILE: 19-I-25

CLEARING MEMBER: Marex North America LLC

RULES & REGULATIONS: **MGEX Rule 2.3.5. Reporting Requirements And Disciplinary Action and Regulation 1226.00. General Requests.**

FINDINGS: The MGEX Department of Audits and Investigations determined Marex North America LLC ("Marex") apparently violated the aforementioned MGEX Rule and Regulation by failing to submit information required by the Exchange in a complete format. Specifically, Marex failed to complete all of the components required by MGEX for Disaster Recovery Testing.

SUMMARY ACTION: Warning Letter

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: Not Applicable

FINAL DATE: December 18, 2019

EFFECTIVE DATE: December 18, 2019