



MINNEAPOLIS GRAIN EXCHANGE, LLC

EXCHANGE DISCIPLINARY ACTION

FILE: 20-1-28

CLEARING MEMBER: StoneX Financial Inc.

RULE: **MGEX Rule 3.1.8 Offsets And Transfer Trades**

FINDINGS: The MGEX Disciplinary Committee charged StoneX Financial Inc. with violating the aforementioned MGEX Rule for offsetting December 2020 Spring Wheat futures contracts during the prohibition period without the benefit of trade activity. Without admitting or denying the charges, StoneX Financial Inc. submitted an offer of settlement. The settlement terms were accepted in satisfaction of the charges.

DISCIPLINARY ACTION: \$25,000 Settlement Fine

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: HRSW

FINAL DATE: 12/28/2021

EFFECTIVE DATE: 12/28/2021

MINNEAPOLIS GRAIN EXCHANGE, LLC

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