



MINNEAPOLIS GRAIN EXCHANGE, INC.

EXCHANGE DISCIPLINARY ACTION

FILE: 19-1-22

MEMBER: UBS Securities, LLC

RULES, REGULATIONS & RESOLUTIONS: **MGEX Regulations 1227.00. Trading Session Submissions and 2100.00. Requirements for Clearing, and MGEX Resolution 2101.00.C.**

FINDINGS: The MGEX Department of Audits and Investigations determined UBS Securities, LLC apparently violated the aforementioned MGEX Regulations & Resolution by failing to submit an accurate September Spring Wheat long positions report to the Clearing House.

SUMMARY ACTION: \$1,000 Fine

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: HRSW

FINAL DATE: 9/26/2019

EFFECTIVE DATE: 9/26/2019