



MINNEAPOLIS GRAIN EXCHANGE, INC.

EXCHANGE DISCIPLINARY ACTION

FILE: 20-I-15

MEMBER: Wells Fargo Securities, LLC

REGULATIONS & RESOLUTION: **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 Wells Fargo Securities, LLC apparently violated the aforementioned MGEX Regulations & Resolution by failing to submit an accurate May Spring Wheat long positions report to the Clearing House.

SUMMARY ACTION: Warning Letter

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: HRSW

FINAL DATE: 6/22/2020

EFFECTIVE DATE: 6/22/2020