



**MINNEAPOLIS GRAIN EXCHANGE, LLC**

**EXCHANGE DISCIPLINARY ACTION**

**FILE:** 20-1-27

**MEMBER:** SG Americas Securities, LLC

**RULES:** **MGEX Rules 2.3.5. Reporting Requirements And Disciplinary Action and 1226.00. General Requests.**

**FINDINGS:** The MGEX Department of Audits and Investigations determined SG Americas Securities, LLC apparently violated the aforementioned MGEX Rules for failure to complete all required components of MGEX's Disaster Recovery test on October 24, 2020.

**SUMMARY ACTION:** \$2,500.00 Fine

**CUSTOMER HARM:** No

**BARRABLE:** No

**PRODUCT:** Not Applicable

**FINAL DATE:** 01/14/2021

**EFFECTIVE DATE:** 01/14/2021