



MINNEAPOLIS GRAIN EXCHANGE, LLC

EXCHANGE DISCIPLINARY ACTION

FILE: 21-I-19

CLEARING MEMBER: Wells Fargo Securities, LLC

RULES & RESOLUTION: **MGEX Rules 2.3.5. Reporting Requirements And Disciplinary Action and 1227.00. Trading Session Submissions, and MGEX Resolution 2101.00.C.**

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

SUMMARY ACTION: \$1,000 Fine

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: HRSW

FINAL DATE: 11/1/2021

EFFECTIVE DATE: 11/1/2021