



MIAX FUTURES EXCHANGE, LLC

EXCHANGE DISCIPLINARY ACTION

FILE: 24-I-16

ENTITY: R.J. O'Brien & Associates, LLC

RULES: **MIAX Futures Rules 2.3.5. Reporting Requirements And Disciplinary Action and 1226.00. Summary Fines: General Information Requests.**

FINDINGS: The MIAx Futures Exchange, LLC Market Regulation Department determined that R.J. O'Brien & Associates, LLC did not complete all required components of the required annual industry-wide Disaster Recovery test on October 5, 2024.

SUMMARY ACTION: Warning Letter

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: Not Applicable

FINAL DATE: March 4, 2025

EFFECTIVE DATE: March 4, 2025

MINNEAPOLIS GRAIN EXCHANGE, LLC

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