



MIAX FUTURES EXCHANGE, LLC

EXCHANGE DISCIPLINARY ACTION

FILE: 25-I-13

ENTITY: StoneX Financial Inc.

RULES: **MIAX Futures Rules 2.3.4 Reporting Open Interest Information to the Clearing House, 2.3.6 Reporting Requirements And Disciplinary Action, 1227.00 Summary Fines: Trading Session Submissions, 1227.00 Trading Session Submissions, and MIAX Futures Resolution 2101.00.C.**

FINDINGS: The MIA X Market Regulation Department determined StoneX Financial Inc. failed to submit timely customer gross margining files and gross position reporting files in apparent violation of **MIAX Futures Rules 2.3.4, 2.3.6, 1227.00, and 2101.00.C**. A review of StoneX Financial Inc's disciplinary history indicates previous violations of **MIAX Futures Rules 2.3.6, 1227.00, and 2101.00.C** during the previous 24-month rolling period.

DISCIPLINARY ACTION: \$15,000 Summary Fine

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: Minneapolis Hard Red Spring Wheat Futures

FINAL DATE: April 14, 2026

EFFECTIVE DATE: April 14, 2026

MIAX FUTURES EXCHANGE, LLC

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