



MINNEAPOLIS GRAIN EXCHANGE, LLC

EXCHANGE DISCIPLINARY ACTION

FILE: 20-I-31

CLEARING MEMBER: Wells Fargo Securities, LLC

RULES & RESOLUTION: **MGEX Rules 2.3.5. Reporting Requirements And Disciplinary Action, 1227.00. Trading Session Submissions and 2025.00. Times For Delivery Of "Delivery Notices" And Delivery And Payment On Futures Contracts, 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 December Spring Wheat delivery intentions to the Clearing House.

SUMMARY ACTION: \$1,000 Fine

CUSTOMER HARM: No

BARRABLE: No

PRODUCT: HRSW

FINAL DATE: 3/8/2021

EFFECTIVE DATE: 3/8/2021