

Membership Category Infraction Type May 2023 Failure to meet the 35% Request-for-Quotes compliance - - Late submission of trade data 2 - Failure to place all firm quotes by 10:00 AM on all benchmark securities - - Settlement default - - - Non-Submission of Member-Client Transaction - - - Inaccurate trade report (Fixed Income) - - - Inaccurate trade report (Fixed Income) - - - OTC FX Futures Standard violation - - - Failure to update Members' Authorized Representatives - - - Associate Member (Inter- Dealer Brokers and Brokers) Rendition of incomplete and inaccurate data - - - Associate Member (Inter- Dealer Brokers and Brokers) Rendition of Compliance Report - - - Registration Member (Quotations) Late submission of Compliance Report - - - Reliver to regularize deferred requirements within the stipulated 3 - - -	ENFORCEMENT STATISTICS – MAY 2023		
Late submission of trade data 2 Failure to place all firm quotes by 10:00 AM on all benchmark securities - Settlement default - Non-Submission of Member-Client Transaction - Inaccurate trade report (Fixed Income) - Inaccurate trade report (Foreign Exchange) 111 OTC FX Futures Standard violation - Failure to update Members' Authorized Representatives - Total 13 Fine (N) - Late submission of Drokerage activity data/reports - Late submission of Compliance Report - Registration Member (Quotations) Eate submission of Compliance Report Failure to regularize deferred requirements within the stipulated 3 Failure to regularize deferred requirements within the stipulated 3 Failure to adhere to the minimum commercial paper issue size - Failure to adhere to the minimum commercial paper sisue size - Failure to defere to the minimum commercial paper issue size - Failure to adhere to the minimum commercial paper issue size - Failure to adhere to the minimum commercial paper issue size - Failure of the sponsor to notify the Exchange of	Membership Category	Infraction Type	May 2023
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