

Bloomberg SEF LLC: Disciplinary Action

For trade dates March 7, 2022 May 11, 2022 and July 1, 2022, Bank of America, NA violated BSEF Rule 516 by failing to use BSEF's offset and correct functionality.

Summary Notice of Fine (\$1250)

Summary Notice of Fine (\$1500)

Summary Notice of Fine (\$1750)

Effective Date: April 12, 2023