

Bloomberg SEF LLC: Disciplinary Action

For trade dates September 27, 2021, February 10, 2022 and March 7, 2022 Deutsche Bank Aktiengesellschaft did not notify nor receive prior approval to offset and correct an error trade as required under BSEF Rule 516. Additionally, through repeated violations of BSEF Rule 516, Deutsche violated BSEF Rule 513 by failing to develop and implement reasonable supervisory procedures designed to ensure its Authorized Traders comply with SEF Rules. Settlement (\$75,000)

Effective Date: February 27, 2023