CME Group

CHICAGO MERCANTILE EXCHANGE
NOTICE OF DISCIPLINARY ACTION

FILE NO.: **CASE-26-5922**

MEMBER: **Stonex Financial, INC.**

CME RULES: **561. Submission of Large Trader Positions and Volume Threshold Accounts (In Part)**

561.A. Large Trader Reporting

Clearing members, omnibus accounts and foreign brokers shall submit to the Exchange a daily report of all positions required to be reported as set forth in the Position Limit, Position Accountability and Reportable Level Table in the Interpretations Section at the end of Chapter 5.
Positions at or above the reportable level in a particular expiration month of a futures contract, or in all puts or in all calls of a particular option contract expiration month, are required to be reported. For an account with reportable positions in a particular contract, all positions, regardless of size, in any contract month and in any contract that aggregates with that contract must be reported… The Exchange may require that more than one large trader position report be electronically submitted daily. The Business Conduct Committee or the Market Regulation Department may require reports or additional account identification from any clearing member, omnibus account or foreign broker on a lesser number of positions than reflected in the Position Limit, Position Accountability and Reportable Level Table. In addition to the large trader position report, clearing members, omnibus accounts and foreign brokers must electronically provide the Exchange with the required CFTC Form 102A ("Identification of Special Accounts") accurately identifying the owners, controllers, controlled accounts and any additional information required for each reportable account within three business days of the first day that the account in question becomes a reportable account. Notwithstanding the three business day submission requirement, on the first day that an account becomes reportable, clearing members, omnibus accounts and foreign brokers must, at the direction of the Exchange, provide the following information: account type, reportable account number and names and addresses of the owners and controllers of the account.

The Exchange may require that more than one large trader position report be electronically submitted daily. The Business Conduct Committee or the Market Regulation Department may require reports or additional account identification from any clearing member, omnibus account or foreign broker on a lesser number of positions than reflected in the Position Limit, Position Accountability and Reportable Level Table.

If any material change causes the information previously submitted to the Exchange to become inaccurate, then such clearing member, omnibus account or foreign broker must electronically submit to the Exchange an updated form reflecting the accurate information within three business days of such changes becoming effective. Additionally, in the absence of any material changes, the Exchange may require the electronic submission of a new form on an annual basis for the maintenance of accurate records. A material change includes, but is

not limited to, change of account name, address, controllers or controlled accounts

811. Position Change Data

Position change data must be submitted to the Clearing House each trading day not later than the time specified by the Clearing House. Position change data will be in such form and contain such information as prescribed by the Clearing House. When requested, the identification of accounts will be made available to the Financial and Regulatory Surveillance Department.

854. Concurrent Long and Short Positions (In Part)

Set forth below are the procedures that must be followed for concurrent long and short positions and hold-open accounts.

C. Clearing members which, pursuant to this rule, carry concurrent long and short positions, must report to the Exchange both sides as open positions. When either side or both sides are reduced, the open positions as reported to the Exchange must be reduced accordingly, and, pursuant to Rule 806, may not subsequently be re-opened at the Exchange.

FINDINGS: During the months of May, June and July 2026, StoneX Financial, Inc. experienced reporting failures. As a result during the relevant timeframe, StoneX: (1) submitted Large Trader position adjustments after the prescribed deadline; (2) failed to provide OCR 102A information within the prescribed deadline; (3) failed to submit accurate Open Interest to the Clearing House in a timely manner; and (4) failed to accurately report concurrent long and short positions as open positions and/or accurately report reductions to these positions.

It was determined that due to the of the foregoing, StoneX violated Rules 561, 811, and 854.C.

PENALTY: In accordance with the settlement offer, the Panel ordered StoneX Financial, Inc. to pay a fine in the amount of $31,500 in connection with this case and companion cases across the CBT 26-5922, CME 26-5922, COMEX 26-5922, and NYMEX 26-5922 exchanges ($7,500 allocated to CME).

EFFECTIVE DATE: September 8, 2026