

NOTICE**NODAL
EXCHANGE**

Respondent: MAREX SPECTRON INTERNATIONAL LIMITED

NFA ID
Number: 0445699

Case
Number: CD205

Date Action
Is Final: March 29, 2023

Date Action
Is Effective: March 29, 2023

Disposition: Summary

Barrable: No

Committee: COMPLIANCE DEPARTMENT

Penalty: \$1,000.00 fine
\$1,000.00 fine

Rules: 4.6.2(f) - Block Trades

Description of Conduct:

On one occasion in September 2021, Marex Spectron International Limited reported a block trade to the Exchange later than fifteen minutes after execution, in violation of Exchange Rule 4.6.2(f). (This violation did not result in financial harm to customers)