

Summary Fine Notice

Case No. 2023-018: Deutsche Bank AG

Summary Fining Authority

In accordance with ICE Futures U.S., Inc. ("Exchange") Rule 21.02(e), the Chief Regulatory Officer or his designee may impose a summary fine of no more than twenty-five thousand dollars (\$25,000) upon a Member or other market participant for certain minor rule violations.

Exchange Rule

Rule 4.19(c)(i) - Audit Trail Requirements for Electronic Orders Submitted Through Direct Access or Order Routing Systems

Each Clearing Member or Person with Direct Access shall, in accordance with procedures adopted by the Exchange at the time of order generation shall accurately assign and populate the following data elements: (1) Order Routing Trader & Authorized Trader (Tag 116 Left & 116 Right, respectively); (2) account number (Tag 440); and (3) Manual Order Identifier (Tag 1028).

Summary

On April 4, 2024, Deutsche Bank AG was issued a summary fine in the amount of \$10,000 for violating Rule 4.19(c)(i) by failing to comply with the Exchange's audit trail requirements between January 1, 2023 and August 7, 2023.

Effective Date

April 19, 2024

For more information:

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Key Information Documents for certain products covered by the EU Packaged Retail and Insurance-based Investment Products Regulation can be accessed on the relevant exchange website under the heading "Key information Documents (KIDS)," commencing January 1, 2022.