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**Settlement of Charges Against J. Aron & Company**

1 message

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Fri, Sep 11, 2015 at 4:22 PM



## DISCIPLINARY NOTICE

SEPTEMBER 11, 2015

CASE NUMBER 2014-111

SETTLEMENT OF CHARGES AGAINST J. ARON &amp; COMPANY

**Exchange Rule:****Exchange Rule 6.20(b) - Position Limits, Conditional Limits and Position Accountability for Energy Contracts**

No Person may exceed the position limits specified in the Position Limit Table for any Energy Contract unless an exemption has been granted by the Exchange in accordance with these Rules.

**Summary:**

A subcommittee of the Exchange's Business Conduct Committee determined that J. Aron & Company ("J. Aron") may have violated Exchange Rule 6.20(b) in one instance by holding a position in excess of the applicable spot month positions limit. The subcommittee also noted that J. Aron self-reported the instance to the Exchange.

**Penalty:**

In accordance with the terms of settlement, in which J. Aron neither admitted nor denied the rule violations, J. Aron paid a monetary penalty of \$35,000.00 and agreed to cease and desist from future violations of Rules 6.20(b).

**Effective Date:** September 10, 2015**FOR MORE INFORMATION**

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