

Bloomberg SEF LLC: Disciplinary Action

For trade date March 26, 2020 Deutsche Bank Aktiengesellschaft (“DB”) did not notify nor receive prior approval to offset and correct an error trade as required under BSEF Rule 516. Furthermore, DB violated BSEF Rule 516 by failing to use the appropriate Offsetting Terms as required. Settlement (\$6500)

Effective Date: June 19, 2020