

OneChicago Disciplinary Actions

Case	Effective	Respondent	Disposition	Rules	Penalty	Link to Notice
2017-38 /2017-77	May 29, 2018	Tavira Securities Limited	Settled	417(a), 502	\$15,000 fine	Click for PDF
2016-35	April 12, 2018	UBS Securities LLC	Settled	502, 611(b)	\$35,000 fine	Click for PDF
2017-52	April 10, 2018	Interactive Brokers LLC	Settled	617(a)	\$10,000 fine	Click for PDF
2015-28	May 5, 2016	SG Americas Securities LLC	Settled	417(a)	\$5,000 fine	Click for PDF
2015-28	May 5, 2016	Tavira Securities Limited	Settled	417(a)	\$5,000 fine	Click for PDF
2014-03	October 30, 2015	John Briner	Adjudicated	601, 602, 607, 608, 614	\$100,000 fine, Permanent Access Ban	Click for PDF
2014-03	September 30, 2015	Matthew Marcus	Settled	601, 602, 614	\$75,000 fine, Permanent Access Ban	Click for PDF
2013-05	March 17, 2015	Badin Rungruangnavarat	Adjudicated	601, 607, 608	\$500,000 fine, Permanent Access Ban	Click for PDF
2012-07	May 13, 2013	Yizhen Xiong	Settled	601, 607, 608, 614	\$12,000 Fine, 1 Year Trading and Access Ban	Click for PDF
2012-07	May 13, 2013	Yiyuan Xiong	Settled	601, 607, 608, 614	\$18,000 Fine, 2 Year Trading and Access Ban	Click for PDF