



2023 Disciplinary Actions as of April 13, 2023

The following is a list of disciplinary actions that have resulted in the imposition of penalties for violations of specified provisions of the federal securities laws and/or the Constitution and Rules of the Exchange. New actions are added to the list as and when they are finalized.

A. Disciplinary Sanctions Imposed Pursuant to BOX Rule 12030, Letters of Consent:

- Susquehanna Securities, LLC (“Susquehanna” or “the Firm”) was censured and fined a total of \$80,000, of which \$8,000 is payable to BOX. FINRA, on behalf of BOX, conducted a review of the Firm’s adherence to listed position limits between January 2021 and March 2021. As a result of its review, FINRA determined that the Firm failed to comply with the options position limit on four occasions during the review period, the Firm exceeded the applicable position limit in violation of BOX Rules 3120 and 3130.