



245 Park Avenue
New York, NY 10167

phone: 646.430.6000
fax: 646.430.6250
e-mail: help@tradeweb.com
www.tradeweb.com

TW SEF LLC: Disciplinary Action

For trade date August 26, 2025, UBS AG violated TW SEF Rule 1005 by failing to notify the SEF of an error trade as well as subsequent offsetting and correcting trades (either by contacting TW SEF or using TW SEF's offset and correct functionality).

Summary Notice of Fine (\$1250)

Effective Date: **November 12, 2025**