



Via Portal Submission

February 8, 2024
MGEXDCM Submission No. 24-3

Mr. Christopher Kirkpatrick
Secretary of the Commission
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street NW
Washington, DC 20581

RE: Rule Certification Submission Pursuant to Regulation 40.6(a); Amendments to MGEX Rules

Dear Mr. Kirkpatrick:

Pursuant to Commodity Exchange Act (“CEAct”) Section 5c and Commodity Futures Trading Commission (“CFTC” or “Commission”) Regulation 40.6(a), the Minneapolis Grain Exchange, LLC (“MGEX” or “Exchange”) hereby certifies that the amendments to MGEX Rule 2.1.4., Rule 2.1.7., Form 4-00.00, Form 4-01.00, Form 4-10.00, Form 4-10.01, Form 4-14.00, Form 4-15.00, Form 20-26.00, Form 9-00.00, Form 3-20.00, and the Response to Commission Registrant Complaint Form; and deletion of Form 5-02.00, Form 5-10.00, Form 5-14.00, and Form 5-15.00 as set forth in Exhibit A, comply with the CEAct and the Commission regulations promulgated thereunder (the “Proposed Amendments”). Formatting and spacing may vary slightly upon implementation in the Rulebook. MGEX further certifies that the submission and pending changes to the MGEX Rules have been posted on the Exchange website at the following link: <https://www.miaxglobal.com/markets/us-futures/mgex/rule-filings>.

Overview of Rule Amendments

The Proposed Amendments to the above-referenced Rules are to update MGEX holidays, update certain forms and references therein contained in the MGEX Rulebook, and update cross-citations in certain Rules.

DCM Core Principles

MGEX has reviewed the Core Principles for designated contract markets (“DCM Core Principles”) and identified that the Proposed Amendments may impact the following DCM Core Principles:

- *DCM Core Principle 2 – Compliance with Rules:* The Proposed Amendments will establish a clearer Rulebook by updating certain rules and forms that require such.
- *DCM Core Principle 7 – Availability of General Information:* The Proposed Amendments have been disseminated on the MGEX website, and will be available in the MGEX Rulebook, which is accessible online.

Pursuant to MGEX Bylaw 3.1., the Proposed Amendments were approved on February 7, 2024. There were no substantive opposing views expressed with respect to this filing. The Proposed Amendments are

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to be effective when incorporated into the MGEX Rulebook and posted on its website, which will be at least 10 business days following the date of this submission.

If there are any questions regarding this submission, please contact me at (612) 321-7128 or psparby@miaglobal.com. Thank you for your attention to this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "Peter D. Sparby". The signature is fluid and cursive, with the first name being the most prominent.

Peter D. Sparby
Vice President, Counsel

Enclosure

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EXHIBIT A

The following MGEX Bylaws are to be amended. Additions are underlined while deletions are ~~strike~~through.

CHAPTER 2 UNIVERSAL PROVISIONS

2.1.4. MGEX RULES, INTERPRETATION, AND ENFORCEMENT AUTHORITY.

The Exchange has adopted the MGEX Rules, and from time to time adopts amendments to such Rules (See Bylaw 2.3.204.01, and 2.4.204.02), to promote a free and open market on the Exchange, to maintain appropriate business conduct, and to provide protection to the public. The Exchange, in its sole discretion, will interpret and enforce the MGEX Rules not inconsistent with applicable provisions of the CE A and CFTC Regulations.

2.1.7. HOLIDAYS.

The following days are declared to be holidays, during which the Exchange will not be open for business: New Year's Day, Dr. Martin Luther King, Jr. Day, Presidents' Day, Good Friday, Memorial Day, Juneteenth, Independence Day, Labor Day, Thanksgiving Day and Christmas Day. When a holiday falls on a Saturday it will be observed the preceding Friday. When a holiday falls on a Sunday it will be observed the following Monday. The Exchange may, in its discretion, declare additional holidays and details of observance.

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MGEX MINNEAPOLIS GRAIN EXCHANGE
FORM 4-100.00
ARBITRATION PROFILE

PART I
Page 1 of 3

The information included on Part 1 of the data sheet will be disclosed to the parties at the time you are selected to enable them to determine potential conflicts of interest.

Name: _____

Position: _____

Employer's Name: _____

Employer's Address: _____
Street

_____ City State Zip

Preferred mailing address: _____ Business
_____ Home
_____ Other

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PART I
Page 2 of 3

In the space provided below, please list your employment history. Include your present position first. If retired, please list your last employer, number of years at the firm and date of retirement. A resume may be submitted in lieu of this section.

Previous Employer: _____

Starting Date: ____/____/____ Ending Date: ____/____/____ Year(s) ____
Month Date Year Month Date Year

Position/Title: _____

Duties/Responsibilities: _____

Previous Employer: _____

Starting Date: ____/____/____ Ending Date: ____/____/____ Year(s) ____
Month Date Year Month Date Year

Position/Title: _____

Duties/Responsibilities: _____

Previous Employer: _____

Starting Date: ____/____/____ Ending Date: ____/____/____ Year(s) ____
Month Date Year Month Date Year

Position/Title: _____

Duties/Responsibilities: _____

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PART I
Page 3 of 3

In the space provided below, please list your educational background.
(Information provided in this section is optional)

School Level	Name and Location	No. of Years Attended	Did You Graduate	Subjects Studied
High School				
College				
Graduate School				
Trade Business or Other School				

Describe any current or prior experience, as an arbitrator in a futures industry ~~commodities~~ dispute and including, but not limited to, experience as an arbitrator in general, or other experience that you feel qualifies you to serve.

List the name of any Professional or Business Associations of which you are a member. Include offices held.

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PART II
Page 1 of 2

Name: _____ Social Security No: _____

Home Telephone: _(____) _____ Date of Birth: _____
____/____/____

~~(include Area Code)~~

Month _____ Date _____ Year _____

Office Telephone: _(____) _____

~~(include Area Code)~~

Home Address: _____
Street City State Zip

The following information is requested to enable the Secretary of the ~~Exchange Company~~ to determine if there is a potential conflict which would preclude you ~~from~~ serving on an ~~an~~ ~~particular~~ arbitration panel.

- 1. Brokerage firm(s) where you maintain an account (include IRA and Keogh Accounts).

- 2. Do you, your employer/firm, or your family have any significant business relationships with futures industry ~~commodities~~ firms? If so, please list the name of the firm(s) and the type of relationship.

- 3. Have you ever had your registration or authority to practice any business or professional license revoked or suspended? _____

- 4. Have you ever been disciplined by the MGEX ~~Minneapolis Grain Exchange~~ or another self-regulatory organization? If so, give dates and details.

~~5. Previous arbitration experience:~~ _____

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6.5. Related areas of expertise: _____

PART II
Page 2 of 2

7.6. What area(s) do you feel you are most qualified to arbitrate?

- | | |
|--------------------------|-----------------------------|
| _____ Cash Grain Trading | _____ Weights and Grades |
| _____ Deliveries | _____ Transportation Issues |
| _____ Futures or Options | _____ Other _____ |
| | _____ |
| | _____ |
| | _____ |

8.7. Attorneys:

A. Areas of practice in which you are most active: _____

B. Bar Admission – Jurisdiction: _____

I AFFIRM THAT THE INFORMATION SUPPLIED ON THIS FORM IS, TO THE BEST OF MY KNOWLEDGE, CORRECT AND COMPLETE.

Signature

Date

**PLEASE COMPLETE, SIGN AND
RETURN THIS FORM TO:**

MGEX MINNEAPOLIS GRAIN EXCHANGE
Secretary's Office ~~Corporate Secretary~~
400 South 4th Street – Suite 1304
Minneapolis, MN 55415

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~~MGEX MINNEAPOLIS GRAIN EXCHANGE~~
FORM 4-~~310.00~~
STATEMENT OF CLAIM

_____, 20__

To the Secretary of ~~MGEX the~~
~~Minneapolis Grain Exchange~~

_____, *Complainant*, hereby submitting to the jurisdiction of a Board of Arbitration, and hereby voluntarily submits the Claim or Grievance herein referred to, to the arbitrament of said Panel, makes and files this Complaint against

_____, *as Respondent*, in accordance with the Charter, Bylaws, the Rules, customs and usages of said ~~Grain~~ Exchange with a view to an arbitration thereunder.

AND FOR CAUSE OF COMPLAINT SAYS: That Complainant has a matter of dispute or difference with Respondent growing out of a transaction, the facts and particulars relating to which are as follows:

(The Complainant shall then set forth in plain language the substance and particulars of the Complainants demands, commodity contract, date, month, quantity, price, time, parties involved, etc.)

*(If you need more space to explain your claim,
please attach additional paper.)*

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STATEMENT OF CLAIM
Page 2 of 2

The computation of monetary loss is based on the following calculation:

In support of these allegations, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as ~~floor orders,~~ account statements, time and sales, ~~trading cards,~~ etc.). Copies of the evidentiary material should correspond with the heading you have assigned below.

- C-1 _____
- C-2 _____
- C-3 _____
- C-4 _____
- C-5 _____
- C-6 _____
- C-7 _____

- C-7 _____
- C-8 _____
- C-9 _____
- C-10 _____
- C-11 _____
- C-12 _____
- C-13 _____

Subscribed and sworn to before me
this _____ day of
_____ A.D., 20____

Complainant's Signature:

Notary Public, _____ County
State of _____

_____ Print Name

Notary Public

Date

SEAL

MGE
 2000 11 16 16:01:28
 400 South 4th Street | 130 Grain Exchange Building | Minneapolis, MN 55415
 612-321-7101
 Referenced in Rule 410.00
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MGEX~~MINNEAPOLIS GRAIN EXCHANGE~~
FORM 4-410.01
PETITION FOR JOINT ARBITRATION

_____, 20____

To the Secretary of **MGEX**~~the~~
~~Minneapolis Grain Exchange~~

_____ and _____ hereby submit to the jurisdiction of a Board of Arbitration, and hereby voluntarily submit their respective claims or grievances hereinafter referred to, to the arbitrament of a panel of arbitration in accordance with the Charter, Bylaws, the Rules, custom and usages of the ~~Minneapolis Grain~~ Exchange.

Attached hereto is a sworn statement of claim or grievance by each Petitioner. Also attached are documents, if any, which are submitted as evidence to support each Petitioner's grievance or claim.

Petitioners jointly wish to place the matters in issue before a Board of Arbitration, but neither Petitioner wishes to take the position of Complainant. The Board of Arbitration will, however, for procedural purposes only, including the identifying caption of the matter, assign one Petitioner as Complainant and one Petitioner as Respondent.

First Petitioner

Second Petitioner

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PETITION FOR JOINT ARBITRATION

First Petitioner

Page 3 of 5

The computation of monetary loss is based on the following calculation:

In support of these allegations, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as ~~floor orders~~, account statements, time and sales, ~~trading cards~~, etc.). Copies of the evidentiary material should correspond with the heading you have assigned below.

C-1 _____

C-7 _____

C-2 _____

C-8 _____

C-3 _____

C-9 _____

C-4 _____

C-10 _____

C-5 _____

C-11 _____

C-6 _____

C-12 _____

C-7 _____

C-13 _____

Subscribed and sworn to before me
this _____ day of
_____ A.D., 20____
Notary Public, _____ County
State of _____

Complainant's Signature:

Print Name

Notary Public

Date

SEAL

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PETITION FOR JOINT ARBITRATION
Second Petitioner
Page 5 of 5

The computation of monetary loss is based on the following calculation:

In support of these allegations, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as ~~floor orders~~, account statements, time and sales, ~~trading cards~~, etc.). Copies of the evidentiary material should correspond with the heading you have assigned below.

- C-1 _____
- C-2 _____
- C-3 _____
- C-4 _____
- C-5 _____
- C-6 _____
- C-7 _____

- C-7 _____
- C-8 _____
- C-9 _____
- C-10 _____
- C-11 _____
- C-12 _____
- C-13 _____

Subscribed and sworn to before me
this _____ day of
_____ A.D., 20____
Notary Public, _____ County
State of _____

Complainant's Signature:

Print Name

Notary Public

Date

SEAI

MGE
2000-11-16 16:02:17

Referenced in Rule 410.00

MINNEAPOLIS GRAIN EXCHANGE, LLC

~~MGEX MINNEAPOLIS GRAIN EXCHANGE~~

FORM 4-514.00

RESPONDENT'S ANSWER

_____, 20____

To the Secretary of ~~MGEX the Minneapolis, Grain Exchange~~

IN THE MATTER OF CLAIM OR GRIEVANCE OF

_____(Petitioner)

vs.

_____(Respondent)

The above Respondent hereby submitting to the jurisdiction of said Board of Arbitration, and hereby voluntarily submitting the Claim or Grievance referred to in said Complainant and in the Answer to the arbitrament of said Panel for Answer to the Complainant says:

(The Answer shall then set forth in plain language the substance and particulars of the Respondent's Answer.)

(Describe in detail the circumstances surrounding the transactions(s) in question; e.g., date, commodity month, price, quantity, time, parties involved, etc. You may attach photocopies of pertinent documents such as ~~floor orders~~, account statements, ~~trading cards~~, time and sales, and sworn statements of witnesses).

(If you need more space to explain your Answer ~~Counterclaim~~, please attach additional paper)

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RESPONDENT'S ANSWER
Page 2 of 2

In support of this Answer, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as ~~floor orders,~~ account statements, time and sales, ~~trading cards,~~ etc.). Copies of the evidentiary material should correspond with the heading you have assigned below.

R-1 _____

R-7 _____

R-2 _____

R-8 _____

R-3 _____

R-9 _____

R-4 _____

R-10 _____

R-5 _____

R-11 _____

R-6 _____

R-12 _____

Subscribed and sworn to before me
this _____ day of
_____ A.D., 20____
Notary Public, _____ County
State of _____

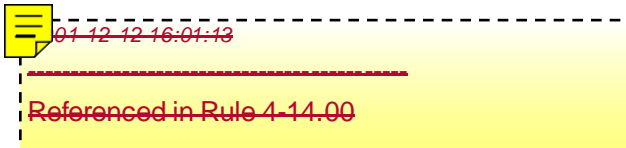
Respondent's Signature:

Print Name

Notary Public

Date

SEAL



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Filing Fee: \$ _____
(Payment of filing fee must
Accompany Counterclaim)

~~MGEX MINNEAPOLIS GRAIN EXCHANGE~~

FORM 4-~~615.00~~

STATEMENT OF COUNTERCLAIM

_____, 20____

To the Secretary of ~~MGEX the~~
~~Minneapolis Grain Exchange~~

I, _____, (trading initials) _____ customer (see
CFTC Regulation § 166.5) of the Minneapolis Grain Exchange, hereby file a counterclaim against

_____, *Complainant*. I claim a loss of \$ _____

Based on the actions(s) or omission(s) of _____
as follows:

***(If you need more space to explain your claim,
please attach additional paper.)***

STATEMENT OF COUNTERCLAIM

Page 2 of 2

The computation of monetary loss is based on the following calculation:

Five horizontal lines for calculation details.

In support of these allegations, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as floor orders, account statements, time and sales, trading cards, etc.). Copies of the evidentiary material should correspond with the heading you have assigned below.

- CC-1 through CC-6 with horizontal lines for descriptions.

- CC-7 through CC-12 with horizontal lines for descriptions.

Subscribed and sworn to before me this ___ day of ___ A.D., 20___ Notary Public, ___ County State of ___

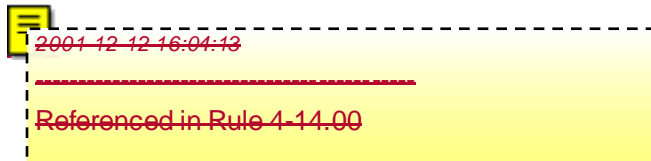
Complainant's Signature:

Print Name

Notary Public

Date

SEAL



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**MINNEAPOLIS GRAIN EXCHANGE
FORM 5-02.00
IMPARTIALITY FORM**

Listed below are any circumstances likely to effect impartiality, including any bias or any financial or personal interest in the result of the arbitration or any past or present relationship with the parties or their counsel.

Multiple horizontal lines for text entry.

Name:

Arbitrator (Please type or print)

(Signature)

(Date)



MGE
2000-11-16 18:27:50

Referenced in Rules 502.00, 504.01

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**MINNEAPOLIS GRAIN EXCHANGE
FORM 5-10.00
STATEMENT OF CLAIM**

_____, 20____

**To the Secretary of the
Minneapolis Grain Exchange**

_____, *Complainant*, hereby submitting to the jurisdiction of a Board of Arbitration, and hereby voluntarily submits the Claim or Grievance herein referred to, to the arbitrament of said Panel, makes and files this Complaint against _____, as *Respondent*, in accordance with the Charter, Rules, customs and usages of said Grain Exchange with a view to an arbitration thereunder.

AND FOR CAUSE OF COMPLAINT SAYS: That Complainant has a matter of dispute or difference with Respondent growing out of a transaction, the facts and particulars relating to which are as follows:

~~(The Complainant shall then set forth in plain language the substance and particulars of the Complainants demands, commodity, date, month, quantity, price, time, parties involved, etc.)~~

***(If you need more space to explain your claim,
please attach additional paper.)***

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STATEMENT OF CLAIM
Page 2 of 2

The computation of monetary loss is based on the following calculation:

In support of these allegations, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as floor orders, account statements, time and sales, trading cards, etc). Copies of the evidentiary material should correspond with the heading you have assigned below.

C-1 _____ C-7 _____
C-2 _____ C-8 _____
C-3 _____ C-9 _____
C-4 _____ C-10 _____
C-5 _____ C-11 _____
C-6 _____ C-12 _____

Subscribed and sworn to before me _____ Complainant's Signature:
this _____ day of _____
_____ A.D., 20 _____

Notary Public, _____ County
State of _____
_____ Print Name

Notary Public _____ Date

SEAL



2001-12-12 16:06:46

Referenced in Rule 510.00

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**MINNEAPOLIS GRAIN EXCHANGE
FORM 5-14.00
RESPONDENT'S ANSWER**

_____, 20____

**To the Secretary of the
Minneapolis, Grain Exchange**

**IN THE MATTER OF CLAIM
OR GRIEVANCE OF**

_____ (Petitioner)

vs.

_____ (Respondent)

The above Respondent hereby submitting to the jurisdiction of said Board of Arbitration, and hereby voluntarily submitting the Claim or Grievance referred to in said Complaint and in the Answer to the arbitrament of said Panel for Answer to the Complainant says:

(The Answer shall then set forth in plain language the substance and particulars of the Respondent's Answer.)

(Describe in detail the circumstances surrounding the transactions(s) in question; e.g., date, commodity, month, price, quantity, time, parties involved, etc. You may attach photocopies of pertinent documents such as floor orders, account statements, trading cards, time and sales, and sworn statements of witness).

*(If you need more space to explain your
counterclaim, please attach additional paper)*

RESPONDENT'S ANSWER
Page 2 of 2

In support of this Answer, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as floor orders, account statements, time and sales, trading cards, etc). Copies of the evidentiary material should correspond with the heading you have assigned below.

R-1 _____ **R-7** _____

R-2 _____ **R-8** _____

R-3 _____ **R-9** _____

R-4 _____ **R-10** _____

R-5 _____ **R-11** _____

R-6 _____ **R-12** _____

Subscribed and sworn to before me _____ Respondent's Signature:
this _____ day of _____
_____ A.D., 20 _____

Notary Public, _____ County
State of _____
_____ Print Name

Notary Public _____ Date

SEAL



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Filing Fee: \$ _____
(Payment of filing fee must
Accompany Counterclaim)

Page 1 of 2

**MINNEAPOLIS GRAIN EXCHANGE
FORM 5.15.00
STATEMENT OF COUNTERCLAIM**

_____, 20____

**To the Secretary of the
Minneapolis Grain Exchange**

I, _____, (trading initials) _____ customer (see
CFTC Regulation § 166.5) of the Minneapolis Grain Exchange, hereby file a counterclaim against

_____, *Complainant*. I claim a loss of \$ _____

Based on the actions(s) or omission(s) of _____
as follows:

***(If you need more space to explain your claim,
please attach additional paper.)***

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STATEMENT OF COUNTERCLAIM
Page 2 of 2

The computation of monetary loss is based on the following calculation:

In support of these allegations, I present as evidence the following documents: (i.e., statements of witnesses, pertinent documents such as floor orders, account statements, time and sales, trading cards, etc). Copies of the evidentiary material should correspond with the heading you have assigned below.

- | | |
|------------|-------------|
| GC-1 _____ | GC-7 _____ |
| GC-2 _____ | GC-8 _____ |
| GC-3 _____ | GC-9 _____ |
| GC-4 _____ | GC-10 _____ |
| GC-5 _____ | GC-11 _____ |
| GC-6 _____ | GC-12 _____ |

Subscribed and sworn to before me _____ Complainant's Signature:
 this _____ day of _____
 _____ A.D., 20 _____
 Notary Public, _____ County _____
 State of _____
 _____ Print Name

 _____ Notary Public _____ Date

SEAL



Date:

Name
Street
City, State, Zip

Dear _____:

RE: RESPONSE TO COMMISSION REGISTRANT COMPLAINT

We understand that you seek redress from a –customer (see CFTC Regulation § 166.5) in connection with misunderstandings or disagreements arising from the handling of your account, or orders or executions for your account, on business conducted on, and subject to MGEX Rules.

We ask that you complete the enclosed **STATEMENT OF CLAIMS FORM**, which will be the basis for your claim against the customer whom you indicate.

In describing the substance of the Complaint, please indicate as accurately as you can the dates involved, the commodities in dispute and, where appropriate, the number of contracts, the prices and any other pertinent information. Identify any other persons involved, either as participants or witnesses and, where possible, their business affiliation. Copies of orders, confirmations, statements, trade agreements or other memoranda will be helpful.

When the completed Complaint form has been received by this office, the Respondent will be advised and, in accordance with MGEX Rules, an arbitration panel will be formed to arbitrate the differences.

In arbitrations between one Exchange customer and another, the Exchange chooses arbitrators from a pool of twenty (20) or more persons, and all of whom are familiar with MGEX Bylaws and Rules, customs and usages. However, in an arbitration between a Commission registrant (see CFTC Regulation § 166.5) and another customer, the Commission registrant customer may elect to have the dispute heard by an independent, or mixed, panel. This independent panel will consist of two persons who are not customers of the Company nor associated with any customers of the Exchange, and one Exchange customer.

Should you elect to have the dispute heard by an independent panel as described above, it is necessary that you advise the Secretary in writing within ten (10) business days after the

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~~RESPONSE TO COMMISSION REGISTRANT COMPLAINT~~
~~PAGE 2~~

date of the Secretary's Notice. In the absence of such advice from you, the dispute will be heard by the Arbitration Panel.

Fees from each hearing before a Customer Claims Arbitration Panel (whether customers or independent) shall be as follows:

For each case involving up to \$2,500.00	\$100.00
For each case involving \$2,501.00 to \$10,000.00	\$200.00
For each case involving more than \$10,000.00	\$300.00
For any non-monetary claims	\$300.00

The amount of the fee shall be based on the amount asked in the Complaint; and, in cases in which the payment of money is neither asked in the Complaint nor awarded, the fees shall be at the discretion of the panel, but, in no case more than three hundred dollars (\$300.00).

In each case, all fees shall be paid in advance to the Exchange. Such fees shall be retained by the Exchange whether the case is heard or not.

The CFTC has ruled that the incremental cost for an independent panel is solely for the expense of the Exchange customer unless the arbitrators determine that the customer acted in bad faith in initiating or conducting the proceedings.

Please note that MGEX Rule 418.00. PRE-HEARING EXCHANGE OF DOCUMENTS AND WRITTEN INFORMATION (see enclosed copy of Arbitration Rules) requires that all parties cooperate in the voluntary exchange of relevant documents and written information to facilitate a fair, equitable and expeditious hearing.

If you have questions or need further assistance in completing the Complaint form, please contact me at 612-321-7101 or write:

~~MGEX Minneapolis Grain Exchange~~
 Attn: ~~Corporate~~ Secretary
 400 South 4th Street – Suite 130
 Minneapolis, MN 55415

Please remember to let us know if you want an independent panel. Also, please accompany your Complaint form by a check in the appropriate amount (see previous page and Customer Claim Form).

Very truly yours,

~~Minneapolis Grain Exchange~~ MGEX

~~Corporate~~ Secretary's Office

~~Form – Response to Commission registrant complaint~~

MINNEAPOLIS GRAIN EXCHANGE, LLC

400 South 4th Street | 130 Grain Exchange Building | Minneapolis, MN 55415
 612-321-7101

mgex.com

MGEX ~~MINNEAPOLIS GRAIN EXCHANGE~~
FORM 20-26.00
REQUIRED LOAD-OUT NOTICE

Serial No. _____

TO _____ Minneapolis, MN _____, 20____
We have loaded out of the _____ Elevator for your account ____ cars containing
_____. These cars are carded to the _____ Railroad
Yard for our account, and possession thereof can be obtained upon surrender of the original copy of
the Load-out Notice properly signed.

X or V C	Car No.	Initial	Gross Pounds	Bushels	Capacity Ordered	Capacity Furnished	Remarks

"X" furnished at R.R. Co.'s convenience.
"VC" loaded to full visible capacity.

(Name of Elevator Company)

NOTE – Each line not used should be "Xd"
Out. Positively not more than one car to
a line or five cars in all.

Per _____

MGE
2000-11-16 20:17:15

Referenced in Rule 813.01

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Minneapolis Grain Exchange, LLC Inc.
Elevator Application/Renewal Form 9-00.00
Hard Red Spring Wheat Futures

____ APPLICATION FOR BECOMING A “REGULAR” ELEVATOR
 ____ RENEWAL AS A “REGULAR” ELEVATOR

Company Information

Company Name: _____

Address: _____

Street	Suite Number	
City	State	Zip Code

Telephone Number: _____ Fax Number: _____

Elevator Information

Elevator Applying for Regularity/Renewal: _____

Address: _____

Street	Suite Number	
City	State	Zip Code

Telephone Number: _____ Fax Number: _____

Has your elevator license ever been suspended or revoked? () Yes () No

If yes, give dates of suspension/revocation and reason(s):

Note

Please note that each elevator and location must submit a separate application.

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Elevator Information Continued

Elevator Location: Waterfront
 Interior

Switching District: Minneapolis/St. Paul, Minnesota
 Duluth, Minnesota/Superior, Wisconsin
 Red Wing, Minnesota

Connects to One or More Rail Lines? Yes
 No

List Railroad(s) Serving Elevator: (1) _____
(2) _____
(3) _____

Type of Warehouse License: Federal License Number: _____
 State of _____ License Number: _____

CAPACITY

Licensed Storage Capacity at Elevator: _____ bushels

Total Licensed Storage Capacity at All Elevators Applying for Regularity: _____ bushels

Minimum Load-out Rate in an 8 Hour Shift by Mode of Transportation
Rail: _____ bushels per day
Barge: _____ bushels per day
Vessel: _____ bushels per day

Can you load-out by rail and barge or by rail and vessel at the same time? () Yes () No

If yes, minimum combined load-out rate: _____ bushels per day

TARIFF

Storage Per Day: \$ _____ per bushel

Insurance Per Day: \$ _____ per bushel

Other Insurance Rate: _____

Note: The maximum load-out charge is eight cents per bushel. Furthermore, insurance is included within the storage charge which is limited to \$.002333 per bushel per day.

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612-321-7101

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CONTACTS

Contact Person: _____

Title: _____

Address: _____

Street

Suite Number

City

State

Zip Code

Telephone Number: _____

Fax Number: _____

Email Address: _____

2nd Backup Person: _____

Title: _____

Address: _____

Street

Suite Number

City

State

Zip Code

Telephone Number: _____

Fax Number: _____

Email Address: _____

Before this application can be considered the following documents must be included:

Tariff Audited Financial Statement* Interim Financial Statement* Copy of Warehouse License

***If not already forwarded as required by the MGEX Rules**

The undersigned agrees to comply with all MGEX Rules.

Additionally, the undersigned shall agree to subscribe to all of the applicable provisions of the CEA and CFTC Regulations.

**Return this form to:
MGEX
Attn: ~~Corporate~~ Secretary
400 S. 4th St., Suite 130
Minneapolis, MN 55415
Phone: (612) 321-7169
Fax: (612) 339-1155**

Applicant's Name (Please type or print)

Signature

Title

Phone Number

Fax Number

Date

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MGEX ~~MINNEAPOLIS GRAIN EXCHANGE~~
~~FORM 3-20.00~~
RELEASE TO TRADE PERSONAL ACCOUNT

As an authorized representative of _____, who
(Company Name)

is -registered in the name of _____,
(Print Exchange Customer's Name)

I, _____, _____, hereby release said Customer
(Print Name) (Officer's Title)

from the trading limitations described in MGEX Rules and permit said Customer to trade his/her account.

Print Officer's Name

Sign Officer's Name

Title

Date

Return this form to:

Minneapolis Grain Exchange
Department of Audits and Investigations
400 South 4th Street
Suite 13044
Minneapolis, MN 55415
(612) 338-6212



MINNEAPOLIS GRAIN EXCHANGE, LLC

400 South 4th Street | 130 Grain Exchange Building | Minneapolis, MN 55415
612-321-7101

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