



Important Notice
National Securities Clearing Corporation

A#:	9154
P&S#	8727
DATE:	JUNE 10, 2022
TO:	ALL PARTICIPANTS
ATTENTION:	MANAGING PARTNER/OFFICER, CASHIER, MANAGER P&S DEPARTMENT, ACATS PARTICIPANTS, CHIEF FINANCIAL OFFICER
FROM:	GENERAL COUNSEL'S OFFICE
SUBJECT:	DISCIPLINARY NOTICE CONCERNING LEK SECURITIES CORPORATION (MEMBER NO. 0512)

On March 10, 2022, a hearing panel of National Securities Clearing Corporation (“NSCC”) and The Depository Trust Company (“DTC”) affirmed the decision of NSCC to impose upon Lek Securities Corporation, Member no. 0512 (“Lek”) a monetary cap limiting Lek’s unsettled clearing activity at NSCC (“Activity Cap”). The hearing panel also affirmed NSCC’s decision to impose fines on and to censure Lek for breaching the Activity Cap on six separate trading days.

Accordingly, NSCC has imposed the maximum fine of \$120,000 (\$20,000 for each violation) on Lek and hereby formally censures Lek for repeatedly and materially violating the Activity Cap.

Questions regarding this notice should be directed to your Relationship Manager.

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