

BrokerCheck Report

ICE BONDS SECURITIES CORPORATION

CRD# 123635

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 8
Firm History	9
Firm Operations	10 - 26
Disclosure Events	27



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

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Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



ICE BONDS SECURITIES CORPORATION

CRD# 123635

SEC# 8-65601

Main Office Location

1345 AVENUE OF THE AMERICAS
8TH FLOOR
NEW YORK, NY 10105
Regulated by FINRA New York Office

Mailing Address

1345 AVENUE OF THE AMERICAS
7TH FLOOR
NEW YORK, NY 10105

Business Telephone Number

646-237-4328

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.
This firm was formed in Delaware on 04/18/2002.
Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 5 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? No

This firm conducts 6 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? Yes

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

The number of disclosures from non-registered control affiliates is 1



Firm Profile

This firm is classified as a corporation.
This firm was formed in Delaware on 04/18/2002.
Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ICE BONDS SECURITIES CORPORATION
Doing business as ICE BONDS SECURITIES CORPORATION
CRD# 123635
SEC# 8-65601

Main Office Location
1345 AVENUE OF THE AMERICAS
8TH FLOOR
NEW YORK, NY 10105
Regulated by FINRA New York Office

Mailing Address
1345 AVENUE OF THE AMERICAS
7TH FLOOR
NEW YORK, NY 10105

Business Telephone Number
646-237-4328

Other Names of this Firm

Name	Where is it used
ICE BONDPOINT	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX,

	UT, VA, VI, VT, WA, WI, WV, WY
ICE TMC	AK, AL, AR, AZ, CA, CO, CT, DC, DE, FL, GA, HI, IA, ID, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, MT, NC, ND, NE, NH, NJ, NM, NV, NY, OH, OK, OR, PA, PR, RI, SC, SD, TN, TX, UT, VA, VI, VT, WA, WI, WV, WY



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): CREDITTRADE INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SHAREHOLDER

Position Start Date 04/2002

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): BORSTELMANN, PETER L
4825965

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT/DIRECTOR

Position Start Date 09/2020

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): EILEN, JEFFREY PHILIP
6149705

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF COMPLIANCE OFFICER

Position Start Date 04/2022

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): FICARRA, THOMAS JOSEPH
5502295

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 01/2022

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): LANSING, RYAN WILLIAM
5408916

Is this a domestic or foreign entity or an individual? Individual

Position DIRECTOR

Position Start Date 09/2021

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MCKISSICK, JOHN JOSEPH

Firm Profile



Direct Owners and Executive Officers (continued)

	4939416
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER
Position Start Date	08/2019
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	THOMASSON, SEAN JOSEPH 5124423
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL PRINCIPAL
Position Start Date	12/2017
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No



Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any): CREDITEX GROUP INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established CREDITTRADE INC

Relationship to Direct Owner SHAREHOLDER

Relationship Established 11/2006

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): INTERCONTINENTAL EXCHANGE HOLDINGS, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Company through which indirect ownership is established CREDITEX GROUP INC.

Relationship to Direct Owner SHAREHOLDER

Relationship Established 06/2020

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? Yes

Legal Name & CRD# (if any): INTERCONTINENTAL EXCHANGE, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	INTERCONTINENTAL EXCHANGE HOLDINGS, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	11/2013
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 5 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	04/04/2003

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	04/04/2003

Firm Operations



Registrations (continued)

U.S. States & Territories	Status	Date Effective
Georgia	Approved	04/19/2011
Louisiana	Approved	06/18/2018
New York	Approved	04/11/2003
Ohio	Approved	05/01/2019
Virginia	Approved	11/08/2010



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 6 types of businesses.

Types of Business

Broker or dealer selling corporate debt securities

U S. government securities broker

Municipal securities dealer

Municipal securities broker

Broker or dealer selling interests in mortgages or other receivables

Other - OPERATES (I) ALTERNATIVE TRADING SYSTEMS; AND (II) AN INTERACTIVE ELECTRONIC DATA COMMUNICATION SYSTEM THAT FACILITATES TRANSACTIONS IN FIXED INCOME SECURITIES BETWEEN BROKER-DEALERS AND INSTITUTIONAL CUSTOMERS. IN COORDINATION WITH S&P GLOBAL AND ISDA, OPERATES COMPUTER SOFTWARE IN THE CONDUCT OF CREDIT EVENT AUCTIONS FOR SINGLE NAME CREDIT DEFAULT SWAPS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: EFFECTING TRANSACTIONS IN CERTIFICATES OF DEPOSITS EITHER ON AN AGENCY OR RISKLESS PRINCIPAL BASIS WITH OTHER BROKER-DEALERS AND INSTITUTIONAL CUSTOMERS.

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	ICE SECURITIES EXECUTION & CLEARING, LLC
CRD #:	299634
Business Address:	1345 AVENUE OF THE AMERICAS 8TH FLOOR NEW YORK, NY 10105
Effective Date:	10/23/2019
Description:	APPLICANT HAS ENTERED INTO A FULLY-DISCLOSED CLEARING AGREEMENT WITH ICE SECURITIES EXECUTION & CLEARING, LLC

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: AMAZON WEB SERVICES, INC.

Business Address: 2021 7TH AVENUE
LEVEL 12
SEATTLE, WA 98121

Effective Date: 12/21/2023

Description: THE FIRM USES AMAZON WEB SERVICES, INC. TO MAINTAIN CERTAIN ELECTRONIC BOOKS AND RECORDS.

Name: PRAMATA CORPORATION

Business Address: 1 SANSOME ST.
SUITE 3500
SAN FRANCISCO, CA 94104

Effective Date: 02/20/2023

Description: PRAMATA CORPORATION MAINTAINS CERTAIN OF THE FIRM'S BOOKS AND RECORDS IN A NON-REWRITEABLE, NON-ERASABLE FORMAT.

Name: NCC GROUP

Business Address: 11675 RAINWATER DRIVE
600 NORTHWINDS, SUITE 260
ALPHARETTA, GA 30009

Effective Date: 09/21/2015

Description: NON-REWRITEABLE, NON-ERASABLE FORMAT. THIS FILING IS SIMPLY TO MEMORIALIZE THAT, ON JUNE 7, 2021, NCC GROUP ACQUIRED IRON MOUNTAIN'S TECHNOLOGY ESCROW BUSINESS, IMP, THROUGH AN ASSET PURCHASE AGREEMENT. AS PART OF THIS ACQUISITION, NCC GROUP NOW PROVIDES THE DESIGNATED THIRD PARTY (D3P) SERVICES THAT WE PREVIOUSLY MAINTAINED WITH IRON MOUNTAIN. NO NEW SERVICE OR FUNCTIONALITY HAS BEEN INTRODUCED AS A RESULT OF THIS ACQUISITION.

Name: ICE SECURITIES EXECUTION & CLEARING, LLC

CRD #: 299634

Business Address: 1345 AVENUE OF THE AMERICAS
8TH FLOOR
NEW YORK, NY 10105



Firm Operations

Industry Arrangements (continued)

Effective Date:	10/23/2019
Description:	APPLICANT HAS ENTERED INTO A FULLY-DISCLOSED CLEARING AGREEMENT WITH ICE SECURITIES EXECUTION & CLEARING, LLC
Name:	IRON MOUNTAIN
Business Address:	100 CAMPUS DRIVE COLLEGEVILLE, PA 19426
Effective Date:	09/21/2015
Description:	IRON MOUNTAIN HAS BEEN DESIGNATED AS THE FIRM'S THIRD PARTY DOWNLOADER FOR CERTAIN BOOKS AND RECORDS AND MAINTAINS AN ARCHIVE OF CERTAIN OF THE FIRM'S PHYSICAL BOOKS AND RECORDS.
Name:	GLOBAL RELAY COMMUNICATIONS, INC.
Business Address:	286 MADISON AVENUE 7TH FLOOR NEW YORK, NY 10017
Effective Date:	09/21/2015
Description:	GLOBAL RELAY MAINTAINS AN ARCHIVE OF THE FIRM'S ELECTRONIC COMMUNICATIONS.
Name:	INTERCONTINENTAL EXCHANGE, INC.
Business Address:	5660 NEW NORTHSIDE DRIVE 3RD FLOOR ATLANTA, GA 30328
Effective Date:	10/01/2008
Description:	INTERCONTINENTAL EXCHANGE, INC., THE FIRM'S ULTIMATE PARENT COMPANY, MAINTAINS CERTAIN BOOKS AND RECORDS IN CONNECTION WITH ITS SUPPORT OF THE FIRM'S OPERATIONS.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

ICE DATA SERVICES ITALY S.R.L is under common control with the firm.

Business Address:	VIA CRISTOFORO COLOMBO, 149 1ST FLOOR ROME, ITALY 100147
Effective Date:	08/01/2025
Foreign Entity:	Yes
Country:	ITALY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE SECURITIES NETHERLANDS B.V. is under common control with the firm.

Business Address:	HOOGOORDDREEF 5, ASIA BUILDING 5TH FLOOR AMSTERDAM, NETHERLANDS 1101 BA
Effective Date:	01/10/2025
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

Firm Operations



Organization Affiliates (continued)

ICE SWAP TRADE, LLC is under common control with the firm.

Business Address:	1345 AVENUE OF THE AMERICAS 8TH FLOOR NEW YORK, NY 10105
Effective Date:	08/12/2024
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE DATA SERVICES INDIA PRIVATE LIMITED is under common control with the firm.

Business Address:	9TH AND 11TH FLOOR, UNIT NO. 901-904 AND 1101-1104 SKYVIEW TOWER 10 HYDERABAD, INDIA 500081
Effective Date:	10/26/2023
Foreign Entity:	Yes
Country:	INDIA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC

ICE CLEAR NETHERLANDS B.V. is under common control with the firm.

Business Address:	ATLAS ARENA AMSTERDAM AUSTRALIA BUILDING 3RD FLOOR, HOOGOORDDREEF 7 AMSTERDAM, NETHERLANDS 1101 BA
Effective Date:	09/10/2018
Foreign Entity:	Yes
Country:	NETHERLANDS

Firm Operations



Organization Affiliates (continued)

Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE ENDEX MARKETS B.V. is under common control with the firm.

Business Address:	ATLAS ARENA AMSTERDAM AUSTRALIA BUILDING 3RD FLOOR, HOOGOORDDREEF 7 AMSTERDAM, NETHERLANDS 1101 BA
Effective Date:	09/10/2018
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE FUTURES EUROPE is under common control with the firm.

Business Address:	2ND FLOOR, SANCROFT, ROSE STREET PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7DQ
Effective Date:	11/17/2014
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

INTERCONTINENTAL EXCHANGE GERMANY GMBH is under common control with the firm.

Business Address:	TAUNUSANLAGE 8 FRANKFURT, GERMANY 60329
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Firm Operations



Organization Affiliates (continued)

Effective Date: 12/14/2015
Foreign Entity: Yes
Country: GERMANY
Securities Activities: No
Investment Advisory Activities: Yes
Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE DATA SERVICES FRANCE SAS is under common control with the firm.

Business Address: 9 RUE DE TEHERAN
PARIS, FRANCE 75008
Effective Date: 12/14/2015
Foreign Entity: Yes
Country: FRANCE
Securities Activities: No
Investment Advisory Activities: Yes
Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE DATA SERVICES SINGAPORE PTE. LTD. is under common control with the firm.

Business Address: 6 BATTERY ROAD
SINGAPORE, SINGAPORE 049909
Effective Date: 12/14/2015
Foreign Entity: Yes
Country: SINGAPORE
Securities Activities: No
Investment Advisory Activities: Yes
Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

Firm Operations



Organization Affiliates (continued)

ICE DATA SERVICES EUROPE LTD is under common control with the firm.

Business Address:	2ND FLOOR, SANCROFT, ROSE STREET PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7DQ
Effective Date:	12/14/2015
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE SECURITIES EXECUTION & CLEARING, LLC is under common control with the firm.

CRD #:	299634
Business Address:	1345 AVENUE OF THE AMERICAS 8TH FLOOR NEW YORK, NY 10105
Effective Date:	06/07/2019
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE CLEAR EUROPE LIMITED is under common control with the firm.

Business Address:	2ND FLOOR, SANCROFT, ROSE STREET PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7DQ
Effective Date:	08/29/2008
Foreign Entity:	Yes

Firm Operations



Organization Affiliates (continued)

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE CLEAR CREDIT LLC is under common control with the firm.

Business Address: 353 NORTH CLARK STREET
CHICAGO, IL 60654

Effective Date: 07/16/2011

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

NYSE TEXAS, INC. is under common control with the firm.

Business Address: 11 WALL STREET
NEW YORK, NY 10005

Effective Date: 07/18/2018

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

NYSE NATIONAL, INC. is under common control with the firm.

Business Address: 11 WALL STREET
NEW YORK, NY 10005

Firm Operations



Organization Affiliates (continued)

Effective Date: 01/31/2017

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE DATA SERVICES (AUSTRALIA) PTY LTD is under common control with the firm.

Business Address: 7/60 CITY ROAD
SOUTHBANK, AUSTRALIA VIC 3006

Effective Date: 12/14/2015

Foreign Entity: Yes

Country: AUSTRALIA

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE DATA PRICING AND REFERENCE DATA LLC is under common control with the firm.

Business Address: 100 CHURCH STREET
NEW YORK, NY 10007

Effective Date: 12/14/2015

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

Firm Operations



Organization Affiliates (continued)

ICE DATA DESKTOP SOLUTIONS LIMITED is under common control with the firm.

Business Address:	2ND FLOOR, SANCROFT, ROSE STREET PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7DQ
Effective Date:	12/14/2015
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

NYSE AMERICAN LLC is under common control with the firm.

Business Address:	100 S WACKER DRIVE 18TH FLOOR CHICAGO, IL 60606
Effective Date:	11/13/2013
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

NYSE ARCA, INC. is under common control with the firm.

Business Address:	11 WALL STREET NEW YORK, NY 10005
Effective Date:	11/13/2013
Foreign Entity:	No
Country:	
Securities Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

NEW YORK STOCK EXCHANGE LLC is under common control with the firm.

Business Address: 11 WALL STREET
NEW YORK, NY 10005

Effective Date: 11/13/2013

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ARCHIPELAGO TRADING SERVICES, INC. is under common control with the firm.

CRD #: 15853

Business Address: 353 NORTH CLARK STREET
FLOOR 32
CHICAGO, IL 60654

Effective Date: 11/13/2013

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ARCHIPELAGO SECURITIES L.L.C. is under common control with the firm.

CRD #: 102500

Business Address: 353 NORTH CLARK STREET

Firm Operations



Organization Affiliates (continued)

FLOOR 32
CHICAGO, IL 60654

Effective Date: 11/13/2013

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE MARKETS LIMITED is under common control with the firm.

Business Address: 2ND FLOOR, SANCROFT, ROSE STREET
PATERNOSTER SQUARE
LONDON, UNITED KINGDOM EC4M 7DQ

Effective Date: 08/29/2008

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

CREDITEX BROKERAGE LLP is under common control with the firm.

Business Address: 2ND FLOOR, SANCROFT, ROSE STREET
PATERNOSTER SQUARE
LONDON, ENGLAND EC4M 7DQ

Effective Date: 11/22/2006

Foreign Entity: Yes

Country: UNITED KINGDOM

Securities Activities: Yes

Investment Advisory Activities: No

Firm Operations



Organization Affiliates (continued)

Description: UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Firm

Current Status: Final



Allegations:	CREDITEX SECURITIES CORPORATION ("CREDITEX") MAY HAVE VIOLATED NYMEX RULES 526.F ("BLOCK TRADES") AND 432.W ("GENERAL OFFENSES - FAILURE TO SUPERVISE") WHEREBY CREDITEX MAY HAVE SUBMITTED MULTIPLE BLOCK TRADES WITH INACCURATE EXECUTION TIMES AND ALSO FAILED TO REPORT BLOCK TRADES TO THE EXCHANGE WITHIN THE REQUIRED TIME PERIOD FOLLOWING EXECUTION.
Initiated By:	NEW YORK MERCANTILE EXCHANGE INC.
Date Initiated:	01/30/2020
Docket/Case Number:	NYMEX 19-1095-BC
Principal Product Type:	Futures - Commodity
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	FINES
Resolution:	Settled
Resolution Date:	01/28/2020
Sanctions Ordered:	Monetary/Fine \$60,000.00
Other Sanctions Ordered:	
Sanction Details:	CREDITEX SECURITIES CORPORATION ("CREDITEX") MAY HAVE VIOLATED NYMEX RULES 526.F ("BLOCK TRADES") AND 432.W ("GENERAL OFFENSES - FAILURE TO SUPERVISE") WHEREBY CREDITEX MAY HAVE SUBMITTED MULTIPLE BLOCK TRADES WITH INACCURATE EXECUTION TIMES AND ALSO FAILED TO REPORT BLOCK TRADES TO THE EXCHANGE WITHIN THE REQUIRED TIME PERIOD FOLLOWING EXECUTION.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE SETTLEMENT, IN WHICH CREDITEX NEITHER ADMITTED NOR DENIED THE RULE VIOLATIONS, CREDITEX PAID A FINE IN THE AMOUNT OF \$60,000.00.

Disclosure Events for Non-Registered Control Affiliates



All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

Regulatory - Final

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	ICE CLEAR EUROPE LIMITED
Current Status:	Final
Allegations:	<p>THE COMMODITY FUTURES TRADING COMMISSION ("COMMISSION") ISSUED AN ORDER SIMULTANEOUSLY FILING AND SETTLING CHARGES AGAINST ICE CLEAR EUROPE LIMITED ("ICEU") ALLEGING VIOLATIONS OF REGULATIONS REQUIRING DERIVATIVE CLEARING ORGANIZATIONS TO OBTAIN WRITTEN ACKNOWLEDGMENT LETTERS FROM A DEPOSITORY.</p> <p>THE COMMISSION ALLEGED THAT FROM FEBRUARY 17, 2015 THROUGH AUGUST 12, 2019, ICE CLEAR EUROPE LIMITED VIOLATED COMMISSION REGULATIONS 1.20(G)(4) AND 39.15(A),(B)(1), AND (C), 17 C.F.R. §§ 1.20(G)(4), 39.15(A), (B)(1), (C) (2020).</p>
Initiated By:	COMMODITY FUTURES TRADING COMMISSION
Date Initiated:	10/06/2021
Docket/Case Number:	CFTC DOCKET NO. 22-01
Principal Product Type:	Futures - Commodity
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CEASE AND DESIST
Resolution:	Settled
Resolution Date:	10/06/2021
Sanctions Ordered:	Monetary/Fine \$450,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO AN OFFER OF SETTLEMENT, IN WHICH ICE CLEAR EUROPE LIMITED ("ICEU") NEITHER ADMITTED NOR DENIED THE FINDINGS AND CONCLUSIONS CONTAINED IN THE ORDER, ICEU AGREED TO PAY A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$450,000.00 AND



Firm Statement

TO CEASE AND DESIST FROM VIOLATING REGULATIONS 1.20(G)(4) AND 39.15 (A), (B)(1), AND (C), 17 C.F.R. §§ 1.20(G)(4), 39.15(A), (B)(1), (C) (2020).

IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ICE CLEAR EUROPE LIMITED ("ICEU") NEITHER ADMITTED NOR DENIED THE FINDINGS AND CONCLUSIONS CONTAINED IN THE ORDER, ICEU PAID A CIVIL MONETARY PENALTY IN THE AMOUNT OF \$450,000.00 AND AGREED TO CEASE AND DESIST FROM VIOLATING REGULATIONS 1.20(G)(4) AND 39.15 (A), (B)(1), AND (C), 17 C.F.R. §§ 1.20(G)(4), 39.15(A), (B)(1), (C) (2020).

End of Report



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