

BrokerCheck Report

ARCHIPELAGO TRADING SERVICES, INC.

CRD# 15853

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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.

• **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.



ARCHIPELAGO TRADING SERVICES
INC.

CRD# 15853

SEC# 8-33180

Main Office Location

353 NORTH CLARK STREET
SUITE 3200
CHICAGO, IL 60654
Regulated by FINRA Chicago Office

Mailing Address

353 NORTH CLARK STREET
SUITE 3200
CHICAGO, IL 60654

Business Telephone Number

312-836-6700

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 Florida on 09/07/1984.

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
- 51 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? No

This firm conducts 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have 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	5

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 Florida on 09/07/1984.

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.

ARCHIPELAGO TRADING SERVICES, INC.

Doing business as ARCHIPELAGO TRADING SERVICES, INC.

CRD# 15853

SEC# 8-33180

Main Office Location

353 NORTH CLARK STREET
SUITE 3200
CHICAGO, IL 60654

Regulated by FINRA Chicago Office

Mailing Address

353 NORTH CLARK STREET
SUITE 3200
CHICAGO, IL 60654

Business Telephone Number

312-836-6700



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): NYSE GROUP, INC.

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

Position HOLDING COMPANY

Position Start Date 08/2012

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): KNIGHT, JOHN CHARLES

5187603

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

Position CHIEF COMPLIANCE OFFICER

Position Start Date 08/2011

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): SCADDEN, BARRY SCOTT

2400877

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

Position EXECUTIVE PRINCIPAL

Position Start Date 01/2025

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): THOMASSON, SEAN JOSEPH
5124423

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

Position FINANCIAL AND OPERATIONS PRINCIPAL

Position Start Date 01/2015

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



Firm Profile

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

Indirect Owners

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	NYSE HOLDINGS, LLC
Relationship to Direct Owner	100% EQUITY OWNER
Relationship Established	03/2014
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):	INTERCONTINENTAL EXCHANGE, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	INTERCONTINENTAL EXCHANGE HOLDINGS, INC.
Relationship to Direct Owner	100% EQUITY OWNER
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

Legal Name & CRD# (if any):	NYSE HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established	NYSE GROUP, INC.
Relationship to Direct Owner	100% EQUITY OWNER
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?	No

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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/08/1985

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

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	03/20/1985



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	03/22/2004
Alaska	Approved	11/26/2003
Arizona	Approved	01/02/2004
Arkansas	Approved	02/11/2004
California	Approved	11/26/2003
Colorado	Approved	12/12/2003
Connecticut	Approved	01/02/2004
Delaware	Approved	02/12/2004
District of Columbia	Approved	02/05/2004
Florida	Approved	01/01/1998
Georgia	Approved	01/30/2004
Hawaii	Approved	02/09/2004
Idaho	Approved	12/03/2003
Illinois	Approved	03/21/2000
Indiana	Approved	02/11/2004
Iowa	Approved	01/08/2004
Kansas	Approved	02/28/2004
Kentucky	Approved	12/01/2003
Louisiana	Approved	02/12/2004
Maine	Approved	01/08/2004
Maryland	Approved	01/02/2004
Massachusetts	Approved	01/05/2004
Michigan	Approved	01/07/2004
Minnesota	Approved	12/02/2003
Mississippi	Approved	11/26/2003
Missouri	Approved	01/02/2004
Montana	Approved	12/19/2003
Nebraska	Approved	07/01/2004
Nevada	Approved	11/26/2003
New Hampshire	Approved	02/27/2004
New Jersey	Approved	03/01/2004
New Mexico	Approved	01/28/2004
New York	Approved	01/21/2004

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	03/02/2004
North Dakota	Approved	03/01/2004
Ohio	Approved	01/02/2004
Oklahoma	Approved	12/02/2003
Oregon	Approved	01/15/2004
Pennsylvania	Approved	01/07/2004
Puerto Rico	Approved	02/23/2004
Rhode Island	Approved	01/08/2004
South Carolina	Approved	02/02/2004
Tennessee	Approved	04/08/2004
Texas	Approved	03/25/2004
Utah	Approved	11/26/2003
Vermont	Approved	02/27/2004
Virginia	Approved	11/26/2003
Washington	Approved	11/26/2003
West Virginia	Approved	12/01/2003
Wisconsin	Approved	02/10/2003
Wyoming	Approved	02/04/2004



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 1 type of business.

Types of Business

Other - THE APPLICANT OPERATES AN ALTERNATIVE TRADING SYSTEM (ATS) PURSUANT TO REGULATION ATS OF THE SECURITIES EXCHANGE ACT OF 1934 AND ELECTRONIC COMMUNICATIONS NETWORK (ECN), AS DEFINED IN SEC RULE 11AC1-1(A)(8).

Other Types of Business

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

This firm does not engage in other non-securities business.

Non-Securities Business Description:

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 not refer or introduce customers to other brokers and dealers.

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: 06/28/2022

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

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
THIRD FLOOR
ATLANTA, GA 30328

Effective Date: 03/01/2014

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.

Name: ARCHIPELAGO SECURITIES L.L.C.



Firm Operations

Industry Arrangements (continued)

CRD #: 102500

Business Address: 100 S. WACKER DRIVE
SUITE 1800
CHICAGO, IL 60606

Effective Date: 09/28/2005

Description: ITEM 8A-8B: THE APPLICANT HAS A FULLY DISCLOSED CLEARING AGREEMENT WITH ARCHIPELAGO SECURITIES, LLC WHO IS RESPONSIBLE FOR THE POSSESSION AND CONTROL OF THE APPLICANT'S FUNDS AND SECURITIES.

This firm does have accounts, funds, or securities maintained by a third party.

Name: ARCHIPELAGO SECURITIES L.L.C.

CRD #: 102500

Business Address: 100 S. WACKER DRIVE
SUITE 1800
CHICAGO, IL 60606

Effective Date: 09/28/2005

Description: ITEM 8A-8B: THE APPLICANT HAS A FULLY DISCLOSED CLEARING AGREEMENT WITH ARCHIPELAGO SECURITIES, LLC WHO IS RESPONSIBLE FOR THE POSSESSION AND CONTROL OF THE APPLICANT'S FUNDS AND SECURITIES.

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
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 is under common control with the firm.

Business Address:	850 THIRD AVENUE 9TH FLOOR NEW YORK, NY 10222
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 1101-11 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 BUILDING 3RD FLOOR, HOOGOORDDREEF 7 AMSTERDAM, NETHERLANDS 1101 BA
Effective Date:	09/10/2018
Foreign Entity:	Yes
Country:	NETHERLANDS
Securities Activities:	Yes

Firm Operations



Organization Affiliates (continued)

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

Effective Date: 12/14/2015

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	GERMANY
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH 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 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 APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

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

Firm Operations



Organization Affiliates (continued)

Business Address: MILTON GATE 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 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 CREDIT LLC is under common control with the firm.

Business Address: 353 NORTH CLARK STREET
CHICAGO, IL 60654

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.

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: 11/13/2013

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 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 NYSE GROUP, 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

Firm Operations



Organization Affiliates (continued)

Foreign Entity:	Yes
Country:	AUSTRALIA
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	UNDER COMMON CONTROL WITH THE 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:	11/13/2013
Foreign Entity:	Yes
Country:	UNITED KINGDOM
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH THE APPLICANT THROUGH INTERCONTINENTAL EXCHANGE, INC.

ICE DATA DESK 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.

Firm Operations



Organization Affiliates (continued)

CREDITEX BROKERAGE LLP is under common control with the firm.

Business Address:	2ND FLOOR, SANCROFT ROSE STREET PATERNOSTER SQUARE LONDON, UNITED KINGDOM EC4M 7DQ
Effective Date:	11/13/2013
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 NATIONAL, INC. is under common control with the firm.

Business Address:	11 WALL STREET NEW YORK, NY 10005
Effective Date:	01/31/2017
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	UNDER COMMON CONTROL WITH APPLICANT THROUGH NYSE GROUP, 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

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities: Yes

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

NYSE AMERICAN, LLC is under common control with the firm.

Business Address: 11 WALL STREET
NEW YORK, NY 10005

Effective Date: 01/17/2008

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH NYSE GROUP, INC.

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

Business Address: 11 WALL STREET
NEW YORK, NY 10005

Effective Date: 07/14/2005

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: UNDER COMMON CONTROL WITH APPLICANT THROUGH NYSE GROUP, INC.

ICE BONDS SECURITIES CORPORATION is under common control with the firm.

CRD #: 123635

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

Firm Operations



Organization Affiliates (continued)

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: 07/01/2003
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: UNDER COMMON OWNERSHIP OF NYSE GROUP, INC.

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

CRD #: 102500
Business Address: 353 NORTH CLARK STREET
FLOOR 32
CHICAGO, IL 60654
Effective Date: 10/18/2002
Foreign Entity: No
Country:
Securities Activities: Yes
Investment Advisory Activities: No
Description: UNDER COMMON OWNERSHIP (NYSE GROUP, INC.)

Firm Operations



Organization Affiliates (continued)

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	5	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 5

Reporting Source: Firm

Current Status: Final



Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.
Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024
Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.



Reporting Source:	Firm
Current Status:	Final
Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.
Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024
Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE



FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Reporting Source:	Firm
Current Status:	Final
Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.
Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024
Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE



AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Firm Statement

IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Reporting Source:	Firm
Current Status:	Final
Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.
Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024
Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction

**Other Sanctions Ordered:****Sanction Details:**

IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Firm Statement

IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Reporting Source:

Firm

Current Status:

Final

Allegations:

ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.

Initiated By:

THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated:

05/22/2024

Docket/Case Number:

3-21947

Principal Product Type:

No Product

Other Product Type(s):**Principal Sanction(s)/Relief Sought:**

Cease and Desist

Other Sanction(s)/Relief Sought:

MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.



Resolution: Settled

Resolution Date: 05/22/2024

Sanctions Ordered: Monetary/Fine \$10,000,000.00
Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Firm Statement IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.

Reporting Source: Firm

Current Status: Final

Allegations: ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.

Initiated By: THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Date Initiated: 05/22/2024

Docket/Case Number: 3-21947

Principal Product Type: No Product

Other Product Type(s):



Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.
Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024



Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY



AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.

Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024
Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	ICE AND ITS SUBSIDIARIES CONSENTED TO THE ENTRY OF THE SEC'S ORDER FINDING THAT THE SUBSIDIARIES VIOLATED THE NOTIFICATION PROVISIONS OF REGULATION SCI AND THAT ICE CAUSED THOSE



VIOLATIONS. WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS, ICE AND ITS SUBSIDIARIES, CONSISTING OF ARCHIPELAGO TRADING SERVICES, INC.; NEW YORK STOCK EXCHANGE LLC; NYSE AMERICAN LLC; NYSE ARCA, INC.; ICE CLEAR CREDIT LLC; ICE CLEAR EUROPE LTD.; NYSE CHICAGO, INC.; NYSE NATIONAL, INC.; AND THE SECURITIES INDUSTRY AUTOMATION CORPORATION AGREED TO A CEASE-AND-DESIST ORDER IN ADDITION TO ICE'S MONETARY PENALTY.

Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	05/22/2024
Docket/Case Number:	3-21947
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	MONETARY PENALTY LEVIED AGAINST INTERCONTINENTAL EXCHANGE INC.
Resolution:	Settled
Resolution Date:	05/22/2024
Sanctions Ordered:	Monetary/Fine \$10,000,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ALL NAMED PARTIES NEITHER ADMITTED NOR DENIED THE FINDINGS CONTAINED IN THE ORDER, ICE PAID A MONETARY PENALTY IN THE AMOUNT OF \$10,000,000 AND ALL RESPONDENTS AGREED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS OR FUTURE VIOLATIONS OR RULES 1002(B)(1) AND 1002(B)(2) OF REGULATION SCI. ICE PAID THE MONETARY PENALTY IN FULL ON MAY 22, 2024.



Reporting Source:	Regulator
Current Status:	Final
Allegations:	<p>THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AGAINST ARCHIPELAGO TRADING SERVICES, INC. ("ATSI" OR "RESPONDENT"). THE COMMISSION FINDS THAT THIS PROCEEDING CONCERNS ATSI'S FAILURE TO FILE SUSPICIOUS ACTIVITY REPORTS ("SARS") RELATED TO SUSPICIOUS TRANSACTIONS THAT WERE EXECUTED ON ITS ALTERNATIVE TRADING SYSTEM ("ATS"), GLOBAL OTC, WHICH EXCLUSIVELY TRADES IN OVER-THE-COUNTER ("OTC") SECURITIES, MANY OF WHICH ARE CONSIDERED MICROCAP OR PENNY STOCK SECURITIES, ON BEHALF OF ITS SUBSCRIBERS, ALL OF WHOM WERE U.S. REGISTERED BROKER-DEALERS. AS A REGISTERED BROKER-DEALER, ATSI WAS REQUIRED TO COMPLY WITH THE BANK SECRECY ACT ("BSA") AND ITS IMPLEMENTING REGULATIONS, AND TO FILE SARS RELATING TO SUSPICIOUS TRANSACTIONS EXECUTED THROUGH GLOBAL OTC THAT ATSI KNEW, SUSPECTED, OR HAD REASON TO SUSPECT INVOLVED THE USE OF THE TRADING PLATFORM TO FACILITATE FRAUDULENT ACTIVITY OR THAT HAD NO BUSINESS OR APPARENT LAWFUL PURPOSE. HOWEVER, ATSI FAILED TO HAVE OR IMPLEMENT REASONABLY DESIGNED ANTI-MONEY LAUNDERING ("AML") POLICIES AND PROCEDURES TO SURVEIL TRANSACTIONS EXECUTED ON GLOBAL OTC FOR POSSIBLE RED FLAGS REGARDING SUSPICIOUS TRADING ACTIVITY. DUE TO THESE DEFICIENCIES, ATSI FAILED TO SURVEIL FOR, INVESTIGATE, OR FILE SARS ON NUMEROUS TRANSACTIONS THAT IT HAD REASON TO SUSPECT INVOLVED POSSIBLE FRAUDULENT ACTIVITY OR FOR WHICH THERE WAS NO BUSINESS OR APPARENT LAWFUL PURPOSE. IN PARTICULAR, ATSI FAILED TO SURVEIL FOR, RECOGNIZE, AND INVESTIGATE NUMEROUS RED FLAGS OF POTENTIALLY UNLAWFUL MANIPULATIVE TRADING, INCLUDING POSSIBLE SPOOFING, LAYERING, WASH TRADING, AND PRE-ARRANGED TRADING, RELATED TO APPROXIMATELY 15,000 TRANSACTIONS EXECUTED ON GLOBAL OTC, MOST OF WHICH INVOLVED MICROCAP OR PENNY STOCK SECURITIES. AS A RESULT, ATSI FAILED TO FILE AT LEAST 461 SARS AND, ACCORDINGLY, WILLFULLY VIOLATED SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 THEREUNDER.</p>
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	08/29/2023
Docket/Case Number:	3-21587



Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	08/29/2023
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine \$1,500,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	THE FIRM WAS CENSURED, FINED \$1,500,000.00 AND ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 PROMULGATED THEREUNDER.
Regulator Statement	RESPONDENT HAS SUBMITTED AN OFFER OF SETTLEMENT (THE "OFFER") WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. AS A RESULT OF ITS CONDUCT, THE FIRM WILLFULLY VIOLATED SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 THEREUNDER. ACCORDINGLY, IT IS HEREBY ORDERED THAT THE FIRM CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 PROMULGATED THEREUNDER; IS CENSURED; AND SHALL, WITHIN 30 DAYS OF THE ENTRY OF THIS ORDER, PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$1,500,000.00 TO THE SECURITIES AND EXCHANGE COMMISSION FOR TRANSFER TO THE GENERAL FUND OF THE U.S. TREASURY.
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Reporting Source:	Firm
Current Status:	Final
Allegations:	WITH ATSI NEITHER ADMITTING, NOR DENYING, THE FINDINGS, THE SEC



FOUND THAT ATSI FAILED TO HAVE OR IMPLEMENT REASONABLY DESIGNED ANTI-MONEY LAUNDERING POLICIES AND PROCEDURES TO SURVEIL TRANSACTIONS EXECUTED ON ITS GLOBAL OTC ALTERNATIVE TRADING SYSTEM FOR POSSIBLE RED FLAGS REGARDING SUSPICIOUS TRADING ACTIVITY AND, AS A RESULT, FAILED TO FILE SUSPICIOUS ACTIVITY REPORTS IN WILLFUL VIOLATION OF SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 THEREUNDER.

Initiated By:	THE UNITED STATES SECURITIES AND EXCHANGE COMMISSION.
Date Initiated:	08/29/2023
Docket/Case Number:	3-21587
Principal Product Type:	Equity - OTC
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CENSURE & MONETARY PENALTY.
Resolution:	Settled
Resolution Date:	08/29/2023
Sanctions Ordered:	Censure Monetary/Fine \$1,500,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	NONE.
Sanction Details:	ATSI WAS CENSURED AND ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 PROMULGATED THEREUNDER, AND PAY A CIVIL MONEY PENALTY IN THE AMOUNT OF \$1,500,000.00 TO THE SEC, WHICH PAYMENT WAS MADE ON AUGUST 30, 2023.
Firm Statement	IN ACCORDANCE WITH THE TERMS OF THE OFFER OF SETTLEMENT, IN WHICH ARCHIPELAGO TRADING SERVICES, INC. ("ATSI") NEITHER ADMITTED NOR DENIED THE FINDINGS AND CONCLUSIONS CONTAINED IN THE ORDER, ATSI PAID A MONETARY PENALTY IN THE AMOUNT OF \$1,500,000 AND AGREED TO CEASE AND DESIST FROM VIOLATING SECTION 17(A) OF THE EXCHANGE ACT AND RULE 17A-8 PROMULGATED THEREUNDER. THE MONETARY PENALTY WAS PAID IN FULL ON AUGUST 30, 2023.



Disclosure 3 of 5

Reporting Source: Regulator

Current Status: Final

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT EFFECTED SHORT SALE TRANSACTIONS AND FAILED TO REPORT EACH OF THESE TRANSACTIONS TO THE OVER-THE-COUNTER (OTC) REPORTING FACILITY WITH A SHORT SALE MODIFIER. THE FINDINGS STATED THAT THE FIRM OPERATED ARCAEDGE, AN ALTERNATIVE TRADING SYSTEM THAT FACILITATED TRANSACTIONS IN OTC EQUITY SECURITIES EITHER BY MATCHING ORDERS FROM ITS SUBSCRIBERS, FINRA MEMBER BROKER-DEALERS, OR BY ROUTING ORDERS TO OTC MARKETS VIA OTC LINK FOR EXECUTION. PURSUANT TO UNIFORM SERVICE/BUREAU/EXECUTING BROKER AGREEMENTS (USB AGREEMENTS) WITH ITS SUBSCRIBERS, THE FIRM HAD THE RESPONSIBILITY TO ACCURATELY REPORT TRADES EXECUTED BOTH ON ARCAEDGE AND VIA OTC LINK TO THE OTC REPORTING FACILITY ON BEHALF OF ITS SUBSCRIBERS. THE FIRM REPORTED ALL SUCH TRADES AS LONG SALES. THE FINDINGS ALSO STATED THAT THE FIRM WAS AWARE OF THE TRADE REPORTING VIOLATIONS FROM AT LEAST JULY 2010, YET CONTINUED TO REPORT TRADES THAT WERE NOT IN COMPLIANCE WITH THE TRADE REPORTING RULES. ADDITIONALLY, THE FIRM'S SUPERVISORY SYSTEM DID NOT PROVIDE FOR SUPERVISION REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH RESPECT TO THE APPLICABLE SECURITIES LAWS AND REGULATIONS, AND FINRA RULES, CONCERNING TRADE REPORTING OF SHORT SALES.

Initiated By: FINRA

Date Initiated: 11/19/2015

Docket/Case Number: [2013036257901](#)

Principal Product Type: Equity - OTC

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/19/2015



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00

Other Sanctions Ordered: UNDERTAKING: REVISE THE FIRM'S WRITTEN SUPERVISORY PROCEDURES

Sanction Details: THE FIRM WAS CENSURED, FINED \$100,000 AND UNDERTAKES TO REVISE ITS WRITTEN SUPERVISORY PROCEDURES.
FINE PAID IN FULL ON DECEMBER 9, 2015.

Reporting Source: Firm

Current Status: Final

Allegations: FINRA ALLEGES THAT, DURING THE TIME PERIOD 2010 THROUGH 2014, THE FIRM FAILED TO REPORT APPROXIMATELY 62,673 SELL TRANSACTIONS WITH THE APPROPRIATE 'SHORT' SALE MODIFIER WHEN REPORTING TO THE OTC REPORTING FACILITY, IN VIOLATION OF FINRA RULE 7330(D). FINRA ALSO ALLEGES THAT THE FIRM'S SUPERVISORY PROCEDURES WERE NOT REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH THE RULES CONCERNING TRADE REPORT INPUT.

Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

Date Initiated: 11/19/2015

Docket/Case Number: 20130362579-01

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought: CENSURE & UNDERTAKING

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 11/19/2015

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00



Other Sanctions Ordered:	UNDERTAKING TO REVISE THE FIRM'S WRITTEN SUPERVISORY PROCEDURES WITH RESPECT TO TRADE REPORT INPUT.
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS.
Firm Statement	THE AWC WAS FINALIZED ON NOVEMBER 19, 2015 ON THE TERMS IDENTIFIED IN THIS DISCLOSURE. ALL MATTERS RELATING TO THIS AWC HAVE BEEN RESOLVED.

Disclosure 4 of 5

Reporting Source:	Regulator
Current Status:	Final
Allegations:	FINRA RULE 7450(A), NASD RULE 6955(A) - ARCHIPELAGO TRADING SERVICES, INC. TRANSMITTED REPORTABLE ORDER EVENTS (ROES) TO THE ORDER AUDIT TRAIL SYSTEM (OATS) THAT WERE REJECTED BY OATS FOR CONTEXT OR SYNTAX ERRORS AND WERE REPAIRABLE BUT THE FIRM FAILED TO REPAIR ALL OF THE REJECTED REPAIRABLE ROES SO THAT THEY WERE NOT TRANSMITTED TO OATS DURING THE REVIEW PERIOD.
Initiated By:	FINRA
Date Initiated:	04/25/2013
Docket/Case Number:	2009017765101
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/25/2013
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure



Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500. FINE PAID ON JUNE 5, 2013.

Reporting Source:

Firm

Current Status:

Final

Allegations:

FINRA ALLEGES THAT ARCHIPELAGO TRADING SERVICES, INC. (THE "FIRM") TRANSMITTED REPORTABLE ORDER EVENTS ("ROES") TO OATS THAT WERE REJECTED FOR CONTEXT OR SYNTAX ERRORS. ACCORDING TO FINRA, THE FIRM FAILED TO REPAIR ALL OF THE REJECTED ROES SO THAT THEY WERE NOT TRANSMITTED TO OATS DURING THE REVIEW PERIOD.

Initiated By:

FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA).

Date Initiated:

04/25/2013

Docket/Case Number:

2009017765101

Principal Product Type:

No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s)/Relief Sought:

CENSURE.

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

04/25/2013

Sanctions Ordered:

Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

NONE.

Sanction Details:

WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO CENSURE AND A FINE. THE ENTIRETY OF THE \$7,500 FINE WAS LEVIED AGAINST THE FIRM.

Firm Statement

THE AWC WAS FINALIZED ON APRIL 25, 2013 ON THE TERMS IDENTIFIED IN THIS DISCLOSURE



Disclosure 5 of 5

Reporting Source:	Regulator
Current Status:	Final
Allegations:	FINRA RULE 7450(A) - ARCHIPELAGO TRADING SERVICES, INC. TRANSMITTED REPORTABLE ORDER EVENTS (ROES) TO THE ORDER AUDIT TRAIL SYSTEM (OATS) THAT WERE REJECTED BY OATS FOR CONTEXT OR SYNTAX ERRORS AND WERE REPAIRABLE BUT THE FIRM FAILED TO REPAIR MOST OF THE REJECTED REPAIRABLE ROES SO THAT THEY WERE NOT TRANSMITTED TO OATS DURING THE REVIEW PERIOD. THE FIRM ALSO FAILED TO REPAIR ROES WITHIN FIVE BUSINESS DAYS.
Initiated By:	FINRA
Date Initiated:	04/25/2013
Docket/Case Number:	2011028350701
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/25/2013
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, THE FIRM IS CENSURED AND FINED \$7,500. FINE PAID ON JUNE 5, 2013.



Reporting Source:	Firm
Current Status:	Final
Allegations:	FINRA ALLEGES ARCHIPELAGO TRADING SERVICES, INC. (THE "FIRM") TRANSMITTED REPORTABLE ORDER EVENTS ("ROES") TO OATS THAT WERE REJECTED BY OATS FOR CONTEXT OR SYNTAX ERRORS. ACCORDING THE FINRA, THE FIRM FAILED TO REPAIR MOST OF THE REJECTED REPAIRABLE ROES SO THAT THEY WERE NOT TRANSMITTED TO OATS DURING THE REVIEW PERIOD.
Initiated By:	FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA).
Date Initiated:	04/25/2013
Docket/Case Number:	2011028350701
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/25/2013
Sanctions Ordered:	Censure Monetary/Fine \$7,500.00
Other Sanctions Ordered:	NONE.
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO CENSURE AND A FINE. THE ENTIRETY OF THE \$7,500 FINE WAS LEVIED AGAINST THE FIRM
Firm Statement	THE AWC WAS FINALIZED ON APRIL 25, 2013 ON THE TERMS IDENTIFIED IN THIS DISCLOSURE

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 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).

Firm Statement

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 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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