



NFA ID: 0314205

ICAP ENERGY LLC

NFA Member Approved

CFTC Registered

Introducing Broker

Activity Status

Access activity information provided by the firm.

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Business Address

200 Vesey St
6th Fl
New York, NY 10281
United States

Phone Number

212-208-3806

Doing Business As

ICAP FINANCIAL MARKETS
ICAP FINANCIAL MARKETS DIVISION OF ICAP ENERGY LLC

Formerly Known As

APB FINANCIAL LLC

NODX Case #: CD121

Respondent: ICAP ENERGY LLC (NFA ID: 0314205)

Effective Date: 11/12/2021

Narrative Summary:

On several occasions between November 2019 and May 2020, ICAP Energy LLC reported block trades to the Exchange later than fifteen (15) minutes after execution, in violation of Exchange Rule 4.6.2(f). (These violations did not result in financial harm to customers)

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Rule Type:

- 4.6.2(f) - Block Trades
- 4.6.2 - Block Trades

Committee:

- Compliance Department

Action Type(s):

- OFFICE RECORDKEEPING

Penalty/Event:

- FINE PAID \$55000