



Disciplinary Action

- Respondent: ICAP ENERGY LLC
- NFA ID: 0314205
- Reason: On four (4) occasions from December 2016 through February 2017, 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)
- Conclusion: On four (4) occasions, ICAP Energy LLC violated Exchange Rule 4.6.2(f).
- Terms of Disciplinary Action: Summary Fine of \$5,500
- Effective Date: January 2, 2018.