

NOTICE**NODAL
EXCHANGE**

Respondent: ICAP ENERGY LLC

NFA ID
Number: 0314205

Case
Number: CD240

Date Action
Is Final: January 23, 2024

Date Action
Is Effective: January 23, 2024

Disposition: Summary

Barrable: No

Committee: COMPLIANCE DEPARTMENT

Penalty: \$2,250.00 fine

Rules: 4.6.2 - Block Trades
4.6.2(f) - Block Trades

Description of Conduct:

In July 2023 and October 2023, ICAP Energy LLC reported two block trades to the Exchange later than fifteen (15) minutes after execution, in violation of Exchange Rule 4.6.2(f). The violations did not result in financial harm to customers.