NOTICE

NODAL EXCHANGE

Respondent:	TP ICAP FINANCIALS AND COMMODITIES LLC
NFA ID Number:	0314205
Case Number:	CD324
Date Action Is Final:	October 28, 2026
Date Action Is Effective:	October 28, 2026
Disposition:	Summary
Barrable:	No
Committee:	COMPLIANCE DEPARTMENT
Penalty:	$1,000.00 fine
Rules:	4.6.2 - Block Trades 4.6.2(f) - Block Trades

Description of Conduct:

TP ICAP Financials and Commodities LLC reported a block trade to the Exchange later than fifteen (15) minutes after execution, in violation of Exchange Rule 4.6.2(f). The violation did not result in financial harm to customers.