



DISCIPLINARY NOTICE

June 20, 2017

CASE NUMBER 2016-069

SETTLEMENT OF CHARGES AGAINST ARLINGTON COMMODITIES L.L.C.

Exchange Rules:

Rule 4.07(a)(i) - Block Trading

Each party to a Block Trade must be an eligible contract participant as that term is defined in Section 1a(18) of the Act; provided that, if the Block Trade is entered into on behalf of Customers by (A) a commodity trading advisor registered under the Act ("CTA"), including without limitation any investment advisor registered as such with the Securities and Exchange Commission that is exempt from regulation under the Act or CFTC regulations ("Exempt Investment Adviser"), with total assets under management exceeding US \$25 million, or by (B) a foreign entity performing a similar role or function to a CTA or investment advisor that is subject to foreign regulation ("Foreign Adviser"), with total assets under management exceeding US \$50 million, the individual Customers need not so qualify.

Summary:

A subcommittee of the Exchange's Business Conduct Committee determined that, between November 1, 2015 and August 31, 2016, Arlington Commodities L.L.C. ("Arlington") may have violated Exchange Rule 4.07(a)(i) by executing several Block Trades without being an eligible contract participant (as defined in Section 1a(18) of the Commodity Exchange Act).

Penalty:

In accordance with the terms of settlement, in which Arlington neither admitted nor denied the rule violation, Arlington paid a monetary penalty of \$20,000.00 and agreed to cease and desist from future violation of Exchange Rule 4.07(a)(i).

Effective Date: June 19, 2017

FOR MORE INFORMATION

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