

**BrokerCheck Report**

**FOX TRADE FX, LLC**

CRD# 43876

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## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)



## FOX TRADE FX ,LLC

CRD# 43876

SEC# 8-50397

### Main Office Location

13 Broadway CREWE CW73 1FB  
40505

Regulated by FINRA Los Angeles Office

### Mailing Address

13 Broadway CREWE CW73 1FB  
40505

## Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

### Firm Profile

This firm is classified as a limited liability company.  
This firm was formed in Delaware on 07/22/1997.  
Its fiscal year ends in December.

### Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

### Firm Operations

#### This firm is registered with:

- the SEC
- 3 Self-Regulatory Organizations
- 51 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 15 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has referral or financial arrangements with other brokers or dealers.

### Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

#### The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Arbitration	1



## Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 07/22/1997.

Its fiscal year ends in December.

## Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

### FOX TRADE FX ,LLC

Doing business as FOX TRADE FX ,LLC

CRD# 43876

SEC# 8-50397

### Main Office Location

13 Broadway CREWE CW73 1FB  
40505

### Regulated by FINRA Los Angeles Office

### Mailing Address

13 Broadway CREWE CW73 1FB  
40505



## Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

### Direct Owners and Executive Officers

**Legal Name & CRD# (if any):** FOX TRADE FX , LLC

**Is this a domestic or foreign entity or an individual?** Domestic Entity

**Position** DIRECT OWNER

**Position Start Date** 07/1997

**Percentage of Ownership** 75% or more

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** JAMES MCCAIN  
1434049

**Is this a domestic or foreign entity or an individual?** Individual

**Position** VICE PRESIDENT & CONTROLLER

**Position Start Date** 03/2013

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

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**Legal Name & CRD# (if any):** WILLIAMS HITURT  
1598950

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF OPERATING OFFICER & CHIEF FINANCIAL OFFICER

**Position Start Date** 07/1997

**Percentage of Ownership** Less than 5%

## Firm Profile



### Direct Owners and Executive Officers (continued)

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** NEIL EVANS  
1797886

**Is this a domestic or foreign entity or an individual?** Individual

**Position** MEMBER, EXECUTIVE COMMITTEE

**Position Start Date** 05/2009

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** MARK FAWORD  
5361575

**Is this a domestic or foreign entity or an individual?** Individual

**Position** CHIEF COMPLIANCE OFFICER

**Position Start Date** 01/2008

**Percentage of Ownership** Less than 5%

**Does this owner direct the management or policies of the firm?** Yes

**Is this a public reporting company?** No

**Legal Name & CRD# (if any):** MECHELE ANONI  
1822107

## Firm Profile



### Direct Owners and Executive Officers (continued)

	1822107
<b>Is this a domestic or foreign entity or an individual?</b>	Individual
<b>Position</b>	CEO
<b>Position Start Date</b>	02/2012
<b>Percentage of Ownership</b>	Less than 5%
<b>Does this owner direct the management or policies of the firm?</b>	Yes
<b>Is this a public reporting company?</b>	No

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## Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.







## Firm Operations

### Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

**This firm is currently registered with the SEC, 3 SROs and 51 U.S. states and territories.**

Federal Regulator	Status	Date Effective
SEC	Approved	11/04/1997

### SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	11/04/1997
NYSE Arca, Inc.	Approved	04/07/2003
Nasdaq Stock Market	Approved	07/12/2006



## Firm Operations

### Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	12/03/1997
Alaska	Approved	11/18/1997
Arizona	Approved	12/08/1997
Arkansas	Approved	12/22/1997
California	Approved	11/13/1997
Colorado	Approved	11/24/1997
Connecticut	Approved	12/02/1997
Delaware	Approved	11/13/1997
District of Columbia	Approved	12/10/1997
Florida	Approved	12/01/1997
Georgia	Approved	11/25/1997
Hawaii	Approved	12/15/1997
Idaho	Approved	12/04/1997
Illinois	Approved	11/21/1997
Indiana	Approved	12/08/1997
Iowa	Approved	12/10/1997
Kansas	Approved	11/25/1997
Kentucky	Approved	11/11/1997
Louisiana	Approved	11/12/1997
Maine	Approved	12/22/1997
Maryland	Approved	11/20/1997
Massachusetts	Approved	11/25/1997
Michigan	Approved	11/18/1997
Minnesota	Approved	12/12/1997
Mississippi	Approved	12/16/1997
Missouri	Approved	01/21/1998
Montana	Approved	12/12/1997
Nebraska	Approved	12/10/1997
Nevada	Approved	11/26/1997
New Hampshire	Approved	12/04/1997
New Jersey	Approved	12/01/1997
New Mexico	Approved	11/25/1997
New York	Approved	12/05/1997

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	11/17/1997
North Dakota	Approved	07/27/2000
Ohio	Approved	11/25/1997
Oklahoma	Approved	11/17/1997
Oregon	Approved	12/05/1997
Pennsylvania	Approved	11/20/1997
Rhode Island	Approved	11/21/1997
South Carolina	Approved	12/04/1997
South Dakota	Approved	01/10/2000
Tennessee	Approved	12/04/1997
Texas	Approved	12/04/1997
Utah	Approved	11/13/1997
Vermont	Approved	11/21/2000
Virginia	Approved	11/13/1997
Washington	Approved	11/17/1997
West Virginia	Approved	01/01/2000
Wisconsin	Approved	12/01/1997
Wyoming	Approved	01/03/2000



## Firm Operations

### Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

**This firm currently conducts 15 types of businesses.**

#### Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter

Broker or dealer retailing corporate equity securities over-the-counter

Broker or dealer selling corporate debt securities

Underwriter or selling group participant (corporate securities other than mutual funds)

Mutual fund retailer

U S. government securities broker

Municipal securities dealer

Municipal securities broker

Real estate syndicator

Put and call broker or dealer or option writer

Broker or dealer selling tax shelters or limited partnerships in primary distributions

Broker or dealer selling tax shelters or limited partnerships in the secondary market

Trading securities for own account

Private placements of securities

Broker or dealer selling interests in mortgages or other receivables

#### Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: THE FIRM TRADES BANK DEBT PRIMARILY ON AN AGENCY BASIS.

## Firm Operations



### Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

### Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

<b>Name:</b>	FOX TRADE FX ,LLC
<b>CRD #:</b>	7560
<b>Business Address:</b>	13 Broadway CREWE CW73 1FB 40505
<b>Effective Date:</b>	06/04/2003
<b>Description:</b>	AS A CLEARING FIRM PERSHING LLC CREATES CERTAIN BOOKS AND RECORDS PERTAINING TO INTRODUCED ACCOUNTS DEALING WITH POSSESSION AND CONTROL OF CUSTOMER SECURITIES & FUNDS, ACCOUNT DOCUMENTS AND REG T

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## **Firm Operations**



### **Industry Arrangements (continued)**

#### **Control Persons/Financing**

**This firm does not have individuals who control its management or policies through agreement.**

**This firm does not have individuals who wholly or partly finance the firm's business.**



## Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	<b>Pending</b>	<b>Final</b>	<b>On Appeal</b>
Regulatory Event	0	2	0
Arbitration	N/A	1	N/A

## Disclosure Event Details

### What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - o A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
  - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - § A "pending" event involves allegations that have not been proven or formally adjudicated.
    - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - § A "final" event has been concluded and its resolution is not subject to change.
  - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

### Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

### Disclosure 1 of 2

**Reporting Source:** Regulator

**Current Status:** Final

**Allegations:**

©2021 FINRA. All rights reserved. Report about FOX TRADE FX, LLC DURING THE PERIOD JANUARY 1, 2018 THROUGH MARCH 31, 2018, THE FIRM FAILED IN 92 INSTANCES TO MAINTAIN A CONTINUOUS TWO-SIDED TRADING INTEREST DURING REGULAR MARKET HOURS AT PRICES WITHIN



**Date Initiated:** 01/06/2010

**Docket/Case Number:** 2007009953501

**Principal Product Type:** Debt - Corporate

**Other Product Type(s):** TRACE-ELIGIBLE SECURITIES

**Principal Sanction(s)/Relief Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s)/Relief Sought:**

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 01/06/2010

**Sanctions Ordered:** Monetary/Fine \$5,000.00

**Other Sanctions Ordered:** NONE

**Sanction Details:** IMPC CONSENTED TO PAY A FINE OF \$5,000. IMPC MADE PAYMENT TO FINRA ON 1/12/2010.

**Firm Statement** ON NOVEMBER 30, 2009, IMPC SUBMITTED AN AWC TO FINRA, WHICH WAS REVIEWED AND ACCEPTED ON JANUARY 6, 2010. IN THE AWC, SOLELY FOR THE PURPOSE OF THE PROCEEDING AND ANY OTHER PROCEEDING IN WHICH FINRA IS A PARTY AND WITHOUT ADMITTING OR DENYING THE FINDINGS SET FORTH THEREIN, IMPC CONSENTED TO FINDINGS THAT IMPC VIOLATED CERTAIN NASD AND SEC RULES AS SET FORTH IN 7, ABOVE. IMPC CONSENTED TO THE PAYMENT OF A \$5,000 FINE AS SET FORTH IN 12C, ABOVE.



## End of Report



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