

# Summary Fine Notice

## Case No. 2023-024a: Trevor Halliday

### Summary Fining Authority

In accordance with ICE Futures U.S., Inc. ("Exchange") Rule 21.02(e), the Chief Regulatory Officer or his designee may impose a summary fine of no more than twenty-five thousand dollars (\$25,000) upon a Member or other market participant for certain minor rule violations.

### Exchange Rule

#### 21.04 - Power to Compel Testimony and Production of Documents

The President, the Board, the Chief Regulatory Officer, the Market Regulation staff, any committee or subcommittee and any panel of any committee or subcommittee, engaged in any investigation of, examination into, or hearing involving any matter pursuant to the Rules shall have the power to summon any Person subject to Rule 4.00(a), to give testimony under oath or in any other manner required by them and to produce any documents, books or records. A Firm so summoned shall appear by a partner, officer or responsible employee fully acquainted with the relevant facts. If any Person subject to Rule 4.00(a) fails to obey any such summons or to give any such testimony, or fails to produce, in part or in full, any such documents, books or records in a timely fashion, or at all, such failure shall constitute a violation of this Rule and shall be reported to the BCC for appropriate action or shall be subject to a summary fine in accordance with Rule 21.02(e).

### Summary

On July 25, 2024, Trevor Halliday was issued a summary fine for \$25,000 for violating Rule 21.04 by failing to provide testimony in the matter despite the Market Regulation Department's summons.

### Effective Date

August 9, 2024

### For more information:

Frances M. Mendieta

[frances.mendieta@ice.com](mailto:frances.mendieta@ice.com)

(312) 836-6748

**[View All Notices](#) / [Contact Us](#) / [Media Inquiries](#)**

© 2022 Intercontinental Exchange, Inc. The following are trademarks of Intercontinental Exchange, Inc. and/or its affiliated companies: Intercontinental Exchange, ICE, New York Stock Exchange and NYSE. For more information regarding trademarks owned by Intercontinental Exchange, Inc. and/or its affiliated companies see: [intercontinentalexchange.com/terms-of-use](https://intercontinentalexchange.com/terms-of-use)

Key Information Documents for certain products covered by the EU Packaged Retail and Insurance-based Investment Products Regulation can be accessed on the relevant exchange website under the heading "Key information Documents (KIDS)," commencing January 1, 2022.