# Regulatory Disclaimers

**Fox ML Infrastructure LLC [UNICODE] Regulatory Non-Affiliation Statement**

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## 1. We Are NOT a Regulated Financial Services Provider

**Fox ML Infrastructure LLC explicitly states:**

- **We are NOT a broker** [UNICODE] We do not execute trades, hold customer funds, or provide brokerage services
- **We are NOT an investment advisor** [UNICODE] We do not provide investment advice, portfolio management, or financial planning services
- **We are NOT a registered investment advisor (RIA)** [UNICODE] We are not registered with the SEC or any state securities regulator
- **We are NOT providing regulated financial services** [UNICODE] We provide software infrastructure, not financial services

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## 2. What We Provide

**Fox ML Infrastructure LLC provides:**

- **Software infrastructure** [UNICODE] Machine learning and cross-sectional ML infrastructure for any machine learning applications
- **Technical tools** [UNICODE] Tools for data processing, model training, and analysis
- **Architecture and frameworks** [UNICODE] Reference architectures and engineering frameworks
- **Documentation and support** [UNICODE] Technical documentation and support services

**We do NOT provide:** - Investment advice or recommendations - Trading signals or strategies - Portfolio management services - Financial planning or advisory services - Brokerage or execution services

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## 3. Customer Compliance Responsibility

**Customers are solely responsible for:**

- **SEC compliance** [UNICODE] Compliance with Securities and Exchange Commission (SEC) regulations
- **CFTC compliance** [UNICODE] Compliance with Commodity Futures Trading Commission (CFTC) regulations
- **State regulations** [UNICODE] Compliance with state securities and financial regulations
- **Exchange rules** [UNICODE] Compliance with exchange rules and trading regulations
- **Professional licensing** [UNICODE] Obtaining and maintaining any required professional licenses
- **Regulatory filings** [UNICODE] Making any required regulatory filings or disclosures

**Customers must:** - Consult their own legal counsel regarding regulatory compliance - Consult their own quantitative and risk management teams - Verify the suitability of our software for their regulatory environment - Ensure their use of our software complies with all applicable laws and regulations

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## 4. No Regulatory Endorsement

**Nothing in our software, documentation, or services:**

- Constitutes regulatory approval or endorsement
- Implies compliance with any regulatory requirements
- Guarantees regulatory compliance
- Provides regulatory advice or guidance

**Customers must independently verify regulatory compliance.**

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## 5. International Compliance

**For international customers:**

- Customers are responsible for compliance with their local financial regulations
- Customers must comply with export control laws and sanctions
- Customers must comply with data protection and privacy regulations (GDPR, etc.)
- We do not provide regulatory advice for any jurisdiction

**See `LEGAL/EXPORT_COMPLIANCE.md` for export control information.**

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## 6. Trading and Investment Risks

**Trading and investment activities involve substantial risk:**

- **Loss of capital** [UNICODE] You may lose all or part of your investment
- **Market risk** [UNICODE] Market conditions can cause losses
- **Model risk** [UNICODE] Machine learning models can fail or produce incorrect predictions
- **Operational risk** [UNICODE] Technical failures, bugs, or errors can cause losses
- **Regulatory risk** [UNICODE] Regulatory changes or violations can result in penalties

**We are not responsible for any trading losses, investment losses, or regulatory penalties.**

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## 7. No Financial Advice

**We do not provide financial advice:**

- We do not recommend securities, investments, or trading strategies
- We do not evaluate the suitability of investments for any individual or entity
- We do not provide financial planning or advisory services

- Outputs from our software are technical tools, not financial recommendations

**All trading and investment decisions are made solely by the customer.**

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## 8. Professional Advice Required

**Before using our software for trading or investment purposes:**

- Consult with a qualified investment advisor
- Consult with legal counsel regarding regulatory compliance
- Consult with risk management professionals
- Verify the suitability of our software for your use case

**We strongly recommend professional advice before using our software in production trading environments.**

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## 9. Limitation of Liability

**Fox ML Infrastructure LLC is not liable for:**

- Trading losses or investment losses
- Regulatory violations or penalties
- Compliance failures
- Financial outcomes or results

**See `COMMERCIAL_LICENSE.md` Section 6 and `LEGAL/WARRANTY_LIABILITY_ADDENDUM.md` for complete liability limitations.**

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## 10. Contact

**For questions about regulatory compliance:**

**Jennifer Lewis**
Fox ML Infrastructure LLC
Email: **jenn.lewis5789@gmail.com**
Subject: *Regulatory Compliance Inquiry*

**Note:** We cannot provide regulatory advice. Please consult your own legal counsel.

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## Related Documents

- `COMMERCIAL_LICENSE.md` [UNICODE] Commercial license terms (Section 11: Compliance)
- `LEGAL/TOS.md` [UNICODE] Terms of Service (Section 8: No Financial Advice)
- `LEGAL/WARRANTY_LIABILITY_ADDENDUM.md` [UNICODE] Warranty and liability terms
- `LEGAL/INDEMNIFICATION.md` [UNICODE] Indemnification obligations
- `LEGAL/EXPORT_COMPLIANCE.md` [UNICODE] Export control compliance