

# Contents

<b>Regulatory Disclaimers</b>	<b>1</b>
1. We Are NOT a Regulated Financial Services Provider . . . . .	1
2. What We Provide . . . . .	1
3. Customer Compliance Responsibility . . . . .	2
4. No Regulatory Endorsement . . . . .	2
5. International Compliance . . . . .	2
6. Trading and Investment Risks . . . . .	2
7. No Financial Advice . . . . .	3
8. Professional Advice Required . . . . .	3
9. Limitation of Liability . . . . .	3
10. Contact . . . . .	3
Related Documents . . . . .	4

## Regulatory Disclaimers

### Fox ML Infrastructure LLC – Regulatory Non-Affiliation Statement

---

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

Fox ML Infrastructure LLC explicitly states:

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

#### 2. What We Provide

Fox ML Infrastructure LLC provides:

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

---

### 3. Customer Compliance Responsibility

**Customers are solely responsible for:**

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

---

### 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.**

---

### 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.**

---

### 6. Trading and Investment Risks

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

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

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

---

## 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.**

---

## 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.**

---

## 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.**

---

## 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.

---

## Related Documents

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