

# Regulatory Disclaimers

## Fox ML Infrastructure LLC – 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** – 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
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### 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

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### 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

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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** – 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.**

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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](mailto: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 – 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