

Contents

Regulatory Disclaimers	1
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