



ICE Futures U.S.

July 22, 2025

ICE Futures U.S. Regulatory Oversight Committee

The Regulatory Oversight Committee (“ROC”) is a committee of the Public Directors of the ICE Futures U.S. Board of Directors. The ROC is tasked with ensuring the effectiveness, sufficiency, and independence of the Exchange’s self-regulatory program.

Key Responsibilities of the ROC:

- **Oversight of Regulatory Program:** the ROC monitors the Exchange’s Market Regulation program, including trade practice and market surveillance, ensuring it’s fair, impartial, and effective. The ROC also makes recommendations to the Board of Directors with respect to the responsibilities, budget and staffing of the Market Regulation Department so that it can fulfill its self-regulatory responsibilities. The ROC supervises the Exchange’s Chief Regulatory Officer, who has a dual reporting line to the ROC.
- **Independent Review:** the ROC provides independent oversight of the Market Regulation program to determine whether it can implement self-regulatory responsibilities independent of any improper influence, interference or other factors that could interfere with the ability to fulfill its responsibilities.
- **Reporting to the Board:** the ROC reports regularly to the Exchange’s Board of Directors on its activities, including assessments of the regulatory program’s effectiveness and any proposed remedies for deficiencies.
- **Annual Assessment:** the ROC conducts an annual assessment of the regulatory program’s effectiveness, sufficiency, and independence and reports its findings to the Exchange’s Board of Directors.

Currently, the members of the ROC are Maxine Champion (Chairperson), David Peniket, and Charles Crisp, all of whom are Public Directors of the Exchange’s Board of Directors.

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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, 2019.