



INVESTORS

# NYSE REGULATION: ING FINANCIAL MARKETS TO PAY \$5 MILLION TO SETTLE CHARGES

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NEW YORK--(BUSINESS WIRE)-- New York Stock Exchange Regulation (“NYSE Regulation”) announced today that ING Financial Markets LLC (“ING”) has agreed to pay \$5 million to settle charges for improperly handling “pre-released” American Depository Receipts (“ADRs”).

This settlement stems from NYSE Regulation’s investigation into improper conduct by ING’s securities lending desk from 2007 into 2015. A former employee on ING’s securities lending desk also settled with NYSE Regulation in connection with the investigation. The full settlement agreements posted on the website of NYSE Regulation are available [here](#) and [here](#).

NYSE Regulation’s investigation was led by Senior Enforcement Counsels Tony M. Frouge and Catherine E. Lifeso, Head of Enforcement, Adam J. Wasserman, and was overseen by New York Stock Exchange Chief Regulatory Officer Anthony J. Albanese. NYSE Regulation thanks the U.S. Securities & Exchange Commission for its assistance.

## About NYSE Regulation

NYSE Regulation monitors activities on NYSE’s markets, and addresses members’ violations of exchange rules and federal securities laws. NYSE Regulation also monitors listed companies’ compliance with applicable listing standards. By performing these duties, NYSE Regulation supports the NYSE exchanges’ efforts to promote just and equitable principles, encourage free and open markets, and protect investors and the public interest.

## About Intercontinental Exchange

**Intercontinental Exchange** (NYSE: ICE) is a Fortune 500 and Fortune Future 50 company formed in the year 2000 to modernize markets. ICE serves customers by operating the **exchanges, clearing houses** and information services they rely upon to invest, trade and manage risk across global financial and commodity markets. A leader in market data, **ICE Data Services** serves the information and connectivity needs across virtually all asset classes. As the parent company of the **New York Stock Exchange**, the company raises more capital than any other exchange in the world, driving economic growth and transforming markets.

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Safe Harbor Statement under the Private Securities Litigation Reform Act of 1995 -- Statements in this press release regarding ICE's business that are not historical facts are "forward-looking statements" that involve risks and uncertainties. For a discussion of additional risks and uncertainties, which could cause actual results to differ from those contained in the forward-looking statements, see ICE's Securities and Exchange Commission (SEC) filings, including, but not limited to, the risk factors in ICE's Annual Report on Form 10-K for the year ended December 31, 2017, as filed with the SEC on February 7, 2018.

SOURCE: Intercontinental Exchange

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