

BrokerCheck Report

ALCRYPTOTRADE LIMITED

CRD# 169286

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About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)



BITCOIN DAILY LIMITED

CRD# 169286

SEC# 8-69362

Main Office Location

500 W MONROE ST. SUITE 2630
CHICAGO, IL 60661

Mailing Address

500 W MONROE ST. SUITE 2630
CHICAGO, IL 60661

Business Telephone Number

312 930-9050

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 09/05/2013.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 6 Self-Regulatory Organizations
- 0 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 2 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Delaware on 09/05/2013.

Its fiscal year ends in December.



Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

ALCRYPTOTRADE LIMITED

Doing business as ALCRYPTOTRADE LIMITED

CRD# 169286

SEC# 8-69362

Main Office Location

500 W MONROE ST. SUITE 2630
CHICAGO, IL 60661

Mailing Address

500 W MONROE ST. SUITE 2630
CHICAGO, IL 60661

Business Telephone Number

312 930-9050

Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.



Direct Owners and Executive Officers

Legal Name & CRD# (if any):	ALCRYPTOTRADE LIMITED LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	09/2013
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	FEIGEL, CHAD ALLAN 6148902
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, CFO, CCO
Position Start Date	08/2019
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	SLOAN, JACQUELINE LEE 2717305
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP
Position Start Date	01/2014

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	CASTO, SCOTT ALLAN 1545008
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ALCRYPTOTRADE LIMITED LLC
Relationship to Direct Owner	PARTNER
Relationship Established	09/2013
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Legal Name & CRD# (if any):	LUEDERS, JAN-DIRK 5155821
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	ALCRYPTOTRADE LIMITED LLC
Relationship to Direct Owner	PARTNER
Relationship Established	09/2013
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 6 SROs and 0 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	02/25/2014

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
Cboe BYX Exchange, Inc.	Approved	03/17/2014
Cboe BZX Exchange, Inc.	Approved	03/17/2014
Cboe EDGA Exchange, Inc.	Approved	03/05/2014
Cboe EDGX Exchange, Inc.	Approved	03/05/2014
NYSE Arca, Inc.	Approved	02/25/2014
Nasdaq Stock Market	Approved	03/21/2014

Firm Operations

Registrations (continued)





Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 2 types of businesses.

Types of Business

Broker or dealer making inter-dealer markets in corporation securities over-the-counter

Trading securities for own account

Other Types of Business

This firm does effect transactions in commodities, commodity futures, or commodity options.

This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations



Industry Arrangements

This firm does have books or records maintained by a third party.

Name: ACT US HOLDINGS LLC
Business Address: 500 W MONROE STREET, SUITE 2630
 CHICAGO, IL 60661
Effective Date: 09/05/2013
Description: ACT US HOLDINGS PROVIDES ADMINISTRATIVE SERVICES INCLUDING TAX, ACCOUNTING, AND RECORD-KEEPING SERVICES FOR THE APPLICANT.

~~**This firm does have accounts, funds, or securities maintained by a third party.**~~

~~**Name:** ABN AMRO CLEARING CHICAGO LLC
CRD #: 14020
Business Address: 175 WEST JACKSON BLVD, STE 400
 CHICAGO, IL 60604
Effective Date: 10/10/2013
Description: ABN AMRO CLEARING CHICAGO LLC PROVIDES CLEARING SERVICES TO THE APPLICANT.~~

~~**This firm does not have customer accounts, funds, or securities maintained by a third party.**~~

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does have individuals who wholly or partly finance the firm's business.

Name: STONER, TIMOTHY ALAN
CRD #: 3056453
Business Address: 1837 MILTON AVE
 NORTHBROOK, IL 60062
Effective Date: 09/05/2013
Description: NOMINAL EQUITY OWNERSHIP IN ALCRYPTOTRADE LIMITED

Name: THOMAS EDWARD JOYCE
Business Address: 500 W MONROE ST, SUITE 2630
 CHICAGO, IL 60661



Firm Operations

Industry Arrangements (continued)

Effective Date:	09/05/2013
Description:	NOMINAL EQUITY OWNERSHIP IN ALCRYPTOTRADE LIMITED LLC
Name:	ANDRZEJ MIECZYSLAW HANCZAK
Business Address:	BARCKHAUSSTRASSE 10 FRANKFURT AM MAIN, GERMANY 60325
Effective Date:	09/05/2013
Description:	NOMINAL EQUITY OWNERSHIP IN ALCRYPTOTRADE LIMITED LLC
Name:	EDWARD RONALD GIERLACH
Business Address:	500 W MONROE ST, SUITE 2630 CHICAGO, IL 60661
Effective Date:	09/05/2013
Description:	NOMINAL EQUITY OWNERSHIP IN ALCRYPTOTRADE LIMITED LLC
Name:	COLLEEN SULLIVAN KLEIN
Business Address:	500 W MONROE ST, SUITE 2630 CHICAGO, IL 60661
Effective Date:	09/05/2013
Description:	NOMINAL EQUITY OWNERSHIP IN ALCRYPTOTRADE LIMITED LLC

Firm Operations



Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

AXCESS LIMITED is under common control with the firm.

Business Address:	WALKER HOUSE, 87 MARY STREET GEORGE TOWN, GRAND CAYMAN, CAYMAN ISLANDS 60661
Effective Date:	11/25/2003
Foreign Entity:	Yes
Country:	CAYMAN ISLANDS
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	AXCESS LIMITED ENGAGES IN SOME SECURITIES TRADING, AND IS OWNED BY ALCRYPTOTRADE LIMITED, WHICH IS OWNED BY THE PARTNERS OF ALCRYPTOTRADE LIMITED. THESE PARTNERS OWN 100% OF ALCRYPTOTRADE LIMITED LLC WHICH OWNS THE ACT, ALCRYPTOTRADE LIMITED.

ACT ASSET MANAGEMENT LLC is under common control with the firm.

CRD #:	Description:
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Business Address:

Effective Date:

Foreign Entity:

Country:

Securities Activities:

Investment Advisory Activities:

Firm Operations

290487	L 60661 12/14/2017
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O	ALCRYPTOTRADE LIMITED IS A SEC REGISTERED INVESTMENT
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Firm Operations



Organization Affiliates (continued)

ADVISER AND IS 100% OWNED BY ACT DIGITAL LLC, WHICH IS 100% OWNED BY GTO LLC WHICH IS OWNED BY THE ACT PARTNERS. THESE PARTNERS OWN 100% OF ALCRYPTOTRADE LIMITED LLC, WHICH OWNS THE ACT, ALCRYPTOTRADE LIMITED.

ACT FUND XXII LIMITED is under common control with the firm.

Business Address: WALKER HOUSE, 87 MARY STREET
GEORGE TOWN, GRAND CAYMAN, CAYMAN ISLANDS KY1-9002

Effective Date: 02/08/2012

Foreign Entity: Yes

Country: CAYMAN ISLANDS

Securities Activities: Yes

Investment Advisory Activities: No

Description: ALCRYPTOTRADE LIMITED IS 100% OWNED BY BITCOIN DAILY MASTER FUND LIMITED, WHICH IS 100% OWNED BY ALCRYPTOTRADE LIMITED. ALCRYPTOTRADE LIMITED 'S OWNERS ARE NINE ALCRYPTOTRADE LIMITED PARTNERS, WHO ALSO OWN ALCRYPTOTRADE LIMITED LLC, THE 100% OWNER OF THE ACT, ALCRYPTOTRADE LIMITED.

ACT GMBH is under common control with the firm.

Business Address: BARCKHAUSSTRASSE 10
FRANKFURT, GERMANY 60325

Effective Date: 12/18/2013

Foreign Entity: Yes

Country: GERMANY

Securities Activities: Yes

Investment Advisory Activities: No

Description: ACT GMBH IS A GERMAN ENTITY, WITH COMMON ULTIMATE OWNERSHIP AS THE ACT. ACT GMBH IS 51% OWNED BY THE NINE PARTNERS THROUGH THEIR OWNERSHIP IN ACT GLOBAL HOLDINGS LLC, AND THE ACT IS ULTIMATELY OWNED BY THE NINE PARTNERS THROUGH THEIR OWNERSHIP IN ALCRYPTOTRADE LIMITED LLC, THE 100% OWNER OF ALCRYPTOTRADE LIMITED.

Firm Operations



Organization Affiliates (continued)

GTO LLC is under common control with the firm.

Business Address:	500 W MONROE ST, SUITE 2630 CHICAGO, IL 60661
Effective Date:	09/05/2013
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	Yes
Description:	THE APPLICANT IS INDIRECTLY UNDER COMMON CONTROL WITH GTO LLC. SPECIFICALLY THE SOLE OWNER OF THE APPLICANT, ALCRYPTOTRADE LIMITED LLC, HAS THE SAME DIRECT OWNERS AS GTO LLC. GTO LLC IS THE MAJORITY OWNER OF ACT ASSET MANAGEMENT LIMITED, A REGISTERED INVESTMENT ADVISER THAT PROVIDES INVESTMENT MANAGEMENT SERVICES FOR PROPRIETARY TRADING AND HEDGE FUND ENTITIES THAT TRADE SECURITIES.

ACT GLOBAL HOLDINGS LLC is under common control with the firm.

Business Address:	500 W MONROE ST, SUITE 2630 CHICAGO, IL 60661
Effective Date:	09/05/2013
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	THE APPLICANT IS INDIRECTLY UNDER COMMON CONTROL WITH ACT GLOBAL HOLDINGS LLC. SPECIFICALLY, THE SOLE OWNER OF THE APPLICANT, ALCRYPTOTRADE LIMITED LLC, HAS THE SAME DIRECT OWNERS AS ACT GLOBAL HOLDINGS LLC. ACT GLOBAL HOLDINGS LLC DIRECTLY AND INDIRECTLY INVESTS IN A NUMBER OF PROPRIETARY TRADING AND HEDGE FUND ENTITIES THAT TRADE SECURITIES.

This firm is not directly or indirectly, controlled by the following:

- bank holding company

Firm Operations



Organization Affiliates (continued)

- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator
Current Status: Final



Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND ENTRY OF FINDINGS THAT DURING THE REVIEW PERIOD, THE FIRM, IN 80 INSTANCES, FAILED TO MAINTAIN A CONTINUOUS TWO-SIDED TRADING INTEREST DURING REGULAR MARKET HOURS AT PRICES WITHIN CERTAIN PERCENTAGES AWAY FROM THE NATIONAL BEST BID OR OFFER (NBBO). THE MAJORITY OF THE VIOLATIONS OCCURRED FOR VARIOUS REASONS INCLUDING HUMAN ERROR, LINE OUTAGES AND TECHNICAL ISSUES. AS A RESULT, THE FIRM VIOLATED NASDAQ RULE 4613(A).

Initiated By: NASDAQ STOCK MARKET

Date Initiated: 05/24/2018

Docket/Case Number: 2016051137801

Principal Product Type: Other

Other Product Type(s): UNSPECIFIED SECURITIES

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/24/2018

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$7,500.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$7,500.

Reporting Source: Firm

Current Status: Final

Allegations: NASDAQ STOCK MARKET LLC FOUND FIRM TO HAVE VIOLATED NASDAQ RULE 4613(A) FOR FAILING TO MAINTAIN A CONTINUOUS TWO-SIDED TRADING INTEREST DURING REGULAR MARKET HOURS AT PRICES WITHIN



CERTAIN PERCENTAGES AWAY FROM THE NBBO.

Initiated By: NASDAQ STOCK MARKET LLC
Date Initiated: 05/24/2018
Docket/Case Number: 20160511378-01
Principal Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s):
Principal Sanction(s)/Relief Sought: Censure
Other Sanction(s)/Relief Sought: FINE OF \$7500.00
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 05/24/2018
Sanctions Ordered: Censure
Monetary/Fine \$7,500.00
Other Sanctions Ordered:
Sanction Details: \$7500.00 FINE WAS PAID 6/29/2018.
Firm Statement ACTION IS FINAL. FINE WAS PAID 6/29/2018.

End of Report



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