

Exhibit A-1 - Regulatory Compliance Chart

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Attach as Exhibit A-1, a regulatory compliance chart setting forth each Core Principle and providing citations to the Applicant’s relevant rules, policies, and procedures that address each Core Principle, and a brief summary of the manner in which Applicant will comply with each Core Principle.

The below chart details how ForecastEx LLC (“ForecastEx” or the “Clearinghouse”) meets each core principle. All rule references are to the ForecastEx Clearinghouse Rulebook unless otherwise noted.

Core Principle	Relevant Rules	Description
39.10 Compliance with core principles	This Application, including all exhibits and attachments.	ForecastEx LLC (“ForecastEx”) is applying for registration as a derivatives clearing organization (“DCO”) by submitting Form DCO (the “Application”). Once registered, ForecastEx will comply with the DCO Core Principles. As demonstrated in this Application, ForecastEx has drafted its Rules, Compliance Manual, Business Continuity Plan, and has designed ForecastEx’s clearing operations to be compliant with the DCO Core Principles and the Commodity Exchange Act, as amended (“CEA”), and other applicable CFTC regulations promulgated thereunder.
39.11 Adequate Financial, Operational, and Managerial Resources	Rules 209, 608, Exhibits B-1, B-2, B-3, B-4	<p>ForecastEx requires all positions to be over-collateralized. As a result, the collateral that ForecastEx holds is sufficient to cover any exposure from the default of a Member. ForecastEx’s CFO possesses knowledge of the CFTC’s financial resources requirement to enable ForecastEx to satisfy financial resources requirements.</p> <p>As demonstrated in Exhibit B-1, ForecastEx has sufficient resources to operate.</p> <p>Rule 209 requires ForecastEx to provide all reports and information required by the Commission in the form and manner the Commission requests.</p>

39.12 Participant and Product Eligibility	Rules 301, 303, 413 Exhibits C-1, C-2, Compliance Manual	<p>Membership at ForecastEx is open to any FCM Applicant who meets the requirements in Rule 301, submits a completed Membership Application, and makes the required contribution to the Clearing Fund. Rule 301 requires that Membership is offered in a fair and impartial manner. Any violation of the Rules would result in a disciplinary action against the Member.</p> <p>As set forth in Rule 413 and Section 14.1 of the Compliance Manual, ForecastEx has established a product review process that sets forth the requirements for determining eligibility of contracts or transactions submitted to ForecastEx for clearing. ForecastEx only clears products that are listed on ForecastEx.</p>
39.13 Risk Management Capabilities	Rules 306, 608, Exhibits D-1, D-2, D-3, D-4.	ForecastEx's Risk Management Framework is attached as part of Exhibit D-1. ForecastEx does not have any margin as all positions are required by Rule 608 to be fully collateralized. Rule 306 requires all large trader reports to be filed with ForecastEx. There is no compression or stress testing necessary at ForecastEx due to all positions being fully collateralized.
39.14 Settlements	Rules 603, 604, Exhibits E-1, E-2, E-3, F-2	The only Settlements at ForecastEx in the meaning of CFTC Regulation 39.14(a)(1) are final settlements that occur at Resolution or offset. At Resolution Time, the accounts of the Members holding the positions are credited a payment which corresponds with the Settlement value of Event Positions. See also the description of ForecastEx's Settlement Banks and the criteria used to evaluate Settlement Banks on an ongoing basis in Exhibit F-2.
39.15 Treatment of Funds	Rules 305, 410, 610, Exhibits F-1, F-2, F-3	Rule 305 requires Members to segregate Customer and proprietary funds. Rule 610 provides that Member funds shall be segregated from ForecastEx's proprietary funds. In addition to segregating Member funds, ForecastEx has established internal procedures to ensure the safety of Member funds. Rule 410 allows for transfers in limited circumstances. ForecastEx does not allow commingling of funds.

<p>39.16 Default Rules and Procedures</p>	<p>Rules 613, 709, Exhibit G</p>	<p>ForecastEx meets paragraphs (a), (b), and (c) of 39.16 due to allowing only fully collateralized positions to be cleared. Rule 613 requires prompt notice from a Member who enters default, and Rule 709 allows ForecastEx to take action to correct any deficiency that might arise from a default.</p>
<p>39.17 Rule Enforcement</p>	<p>Rules 601, 509, Chapter 7</p>	<p>ForecastEx has the authority and ability to enforce ForecastEx Rules. Pursuant to Rule 601, Market Participants and their authorized personnel with access to ForecastEx consent to and agree to be subject to ForecastEx’s jurisdiction.</p> <p>ForecastEx’s Compliance Department monitors the ForecastEx market and performs trade practice and market manipulation surveillance to ensure that Market Participants comply with the Rules and, specifically with Rule 509. Rule 509 sets forth the types of activities that are prohibited on the ForecastEx Platform.</p> <p>Chapter 7 of the Rulebook sets forth in a transparent manner the disciplinary procedures to which ForecastEx adheres in the event that a Market Participant is suspected of violating a Rule. The Compliance Department and the Disciplinary Panel is responsible for investigating and prosecuting suspected rule violations. Rule 710 requires that ForecastEx will give notice to the Commission upon taking a rule enforcement action against a Member</p>
<p>39.18 System Safeguards</p>	<p>Exhibit I, Business Continuity Plan, Risk Management Framework</p>	<p>Refer to Exhibit I for a comprehensive discussion of ForecastEx’s system safeguards.</p>

39.19 Reporting	Rules 209, 311, 409, Compliance Manual	ForecastEx will make all reports required by the Commission in the form and manner required. ForecastEx’s Chief Regulatory Officer (“CRO”) will submit an annual compliance report as required by CFTC Regulation 39.10(c)(3). The CRO is intended to carry out the chief compliance officer’s responsibilities under CFTC Regulation 39.10. Section 21.3 of the Compliance Manual sets forth internal procedures for compliance with reporting obligations. There will be no margin information to report. ForecastEx will report to the Commission if unusual or emergency situations arise as provided in Rule 409.
39.20 Recordkeeping	Rule 209	Rule 209 specifies that ForecastEx records will be kept in the manner prescribed by Commission Regulations.
39.21 Public Information	Rule 311, Exhibits K, L, Compliance Manual	ForecastEx will publish to its website the Contract Specifications of each Event Market, a fee schedule, daily prices, volume, and open interest for each actively traded Event Position, the ForecastEx Rulebook, a list of all Members, and a list of all listed Event Markets. Default procedures and margin methodology are not applicable to the ForecastEx market.
39.22 Information Sharing	Exhibit M	Given the unique nature of the ForecastEx business model, there are not any applicable domestic or international information sharing agreements that ForecastEx intends to be a part of.
39.23 Anti-trust Considerations	Rules 301, 303, Exhibits C-1, N	ForecastEx provides for fair, impartial, and open access to its Platform and does not impose any anti-competitive burdens on its members. ForecastEx imposes a uniform fee, and the fee is designed to be nondiscriminatory. ForecastEx’s Member eligibility criteria are designed to be objective standards that all Members must satisfy.

39.24 Governance	Chapter 2, Exhibit O, LLC Agreement	The governance of the Clearinghouse is controlled by the Clearing Committee, which is responsible for the risk management and day-to-day operations of the Clearinghouse under the oversight of the Board. Exhibit O includes the charter of the Clearing Committee. Fitness standards for Board Members, Committee Members, and Officers are established in Rule 202(e).
39.25 Conflicts of Interest	Rules 202(c), 206, 207, 208	Rule 206 provides procedures for establishing and resolving conflicts of interest, including prohibiting decision-makers with a conflict of interest from participating in voting on the issue with a conflict of interest. ForecastEx imposes a uniform fee, and the fee is designed to be nondiscriminatory. ForecastEx's Member eligibility criteria are designed to be objective standards that all Members must satisfy. Rule 207 prohibits all Officers and employees from trading on ForecastEx. Further, Rule 208 is established to prevent conflicts of interest between ForecastEx and an Affiliated Customer that might be using the Platform.
39.26 Composition of Governing Boards	Rules 202, 203, Exhibit Q	ForecastEx Rules provide that the Board contains at least 35% Public Directors and that the Clearing Committee have at least one member who is a Public Director and one who is a Market Participant Director. The ROC, which oversees ForecastEx's regulatory program, is comprised solely of Public Directors.
39.27 Legal Risk Considerations	Rules 301(e), 309, 412, Chapter 6, Certificate of Good Standing, Exhibit R, Member Agreement	ForecastEx has established an effective and enforceable legal framework. ForecastEx has entered into agreements with outside service providers for the provision of services that are essential to ForecastEx's ability to perform clearing operations in compliance with the CEA and the CFTC's regulations promulgated thereunder. ForecastEx's legal framework is laid out in the Rulebook and contains provisions for Clearing, ForecastEx's interest in collateral, and Settlement, among other issues. Rule 412 provides for precedence of federal law and Commission regulations.