



## **GFI SWAPS EXCHANGE**

### **Notice to Participants**

<b>Notice No.:</b>	<b>14-5</b>
<b>Issue Date:</b>	<b>February 27, 2014</b>
<b>Effective Date:</b>	<b>February 27, 2014</b>
<b>Subject:</b>	<b>Submission of Participants' Financials</b>

**Summary: GFI Swaps Exchange LLC ("GFI SEF") is notifying its Participants of the e-mail address for submission of Participants' financials.**

Pursuant to Rule 403(b) of GFI SEF's Rulebook "each FCM Participant and each IB Participant shall provide to GFI SEF and to the Regulatory Services Provider, if any, a copy of such FCM Participant's Form 1-FR or FOCUS Report, reasonably contemporaneously with, and substantially in the form such report is filed with a Regulatory Authority". Furthermore, if a Participant is not subject to such filing requirements, it shall provide GFI SEF with such financial information as GFI SEF may require from time to time.

Participants may submit their financial reports to the following email address: [financials@gfiexchange.com](mailto:financials@gfiexchange.com). If you have any questions regarding the submission of your company's financial reports, please contact a member of the Client Services team at [clientservices@gfigroup.com](mailto:clientservices@gfigroup.com).

**Questions regarding this Notice may be addressed to the following:**

<b>Department</b>	<b>Contact Person</b>	<b>Phone</b>
Compliance	Bill Shields, Chief Compliance Officer	(212) 968-4122
Legal	Dan Glatter, General Counsel	(212) 968-2982
Operations	Gene Viti, Head of Operations	(212) 968-6942
Production Support	Ankush Rai, Head of Production Support	(212) 968-4642