

# SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional) 13-0004

Date: 11/26/2013

**IMPORTANT: CHECK BOX IF CONFIDENTIAL TREATMENT IS REQUESTED.**

## ORGANIZATION

FILING AS A:  DCM  SEF  DCO  SDR  ECM/SPDC

## TYPE OF FILING

### • Rules and Rule Amendments

- Certification under § 40.6 (a) or § 41.24 (a)
- "Non-Material Agricultural Rule Change" under § 40.4 (b)(5)
- Notification under § 40.6 (d)
- Request for Approval under § 40.4 (a) or § 40.5 (a)
- Made Available To Trade Determination under § 40.5 or § 40.6
- Advance Notice of SIDCO Rule Change under § 40.10 (a)

### • Products

- Certification under § 40.2 (a) or § 41.23 (a)
- Submission under § 39.5
- Swap Class Certification under § 40.2 (d)
- Request for Approval under § 40.3 (a)
- Novel Derivative Product Notification under § 40.12 (a)

## RULE NUMBERS

## DESCRIPTION

Amendment to GFI Swaps Exchange LLC fee schedule - Block Trades, Brokered Trades and Cross Trades.



November 26, 2013

**VIA E-MAIL (submissions@cftc.gov)**

Ms. Melissa Jurgens  
Office of the Secretariat  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21<sup>st</sup> Street, N.W.  
Washington, DC 20581

**RE: Regulation 40.6 Rule Certification  
Modifications to Fee Schedule  
GFI Swaps Exchange LLC Submission No. 13-0004**

Dear Ms. Jurgens:

Pursuant to Section 5c(c)(1) of the Commodity Exchange Act, as amended (the "Act"), and Section 40.6 of the regulations promulgated by the Commodity Futures Trading Commission (the "Commission") thereunder, GFI Swaps Exchange LLC (the "Exchange") hereby notifies the Commission that it is modifying the Exchange's fee schedule (the "Fee Schedule") with respect to the following transactions:

Trades executed pursuant to Rule 533 (a.k.a. "cross trades")  
Block Trades  
Brokered Trades

Appendix A attached hereto sets forth the Fee Schedule, for which a request for confidential treatment is being simultaneously submitted to the Commission on separate cover. A copy of that request for confidential treatment is included with this submission. The modifications to the Fee Schedule are effective on December 11, 2013.

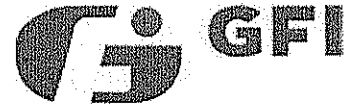
The Exchange's legal department reviewed the applicable core principles as set forth in the Act. During the review, the Exchange identified Core Principle 2 as potentially being impacted by the modifications to the Fee Schedule. The Exchange determined that it is in compliance with Core Principle 2 in that all fees are applied to Participants on an impartial basis.

There were no opposing views among the Exchange's Board of Directors, members or market participants to the modifications. The Exchange certifies that the modifications to the Fee Schedule comply with the Act and the Commission's regulations thereunder. The Exchange also certifies that this submission has been concurrently posted on the Exchange's website at: [www.gfigroup.com](http://www.gfigroup.com)

If you require any additional information regarding this submission, please contact me at (212) 968-2982.

Sincerely,

/s/ Daniel Glatter  
Vice President and Assistant Secretary



November 26, 2013

FOIA CONFIDENTIAL TREATMENT REQUEST  
Pursuant to 17 C.F.R. § 145.9

**VIA ELECTRONIC MAIL (FOIAsubmissions@CFTC.gov)**

Assistant Secretary of the Commission for FOI,  
Privacy and Sunshine Acts Compliance  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21<sup>st</sup> Street, N.W.  
Washington, D.C. 20581

**Re: Petition for Confidential Treatment**

Dear Sir or Madam:

GFI Swaps Exchange LLC (“GFI”) has on this date provided the material described in Appendix A to this letter (the “Confidential Submission”) to the Commission and staff of the Division of Market Oversight.

In accordance with the provisions of Commission Regulations 145.5 and 145.9, we hereby request confidential treatment of the Confidential Submission. Confidential treatment is requested, *inter alia*, on the grounds that the Confidential Submission contains data and information which would separately disclose business transactions and trade secrets that may not be disclosed to third parties, as provided in Section 8(a) of the Commodity Exchange Act and Commission Regulation 145.5(c)(1). Confidential treatment additionally is requested on the grounds that the Confidential Submission is exempt from disclosure under paragraph (b)(4) of the Freedom of Information Act (“FOIA”) and Commission Regulations 145.5(d) and 145.9(d)(1)(ii) because it contains commercial and financial information that is confidential and would be of material assistance to competitors of GFI.

In accordance with the provisions of paragraph (d)(5) of Regulation 145.9, we request that the Confidential Submission be afforded confidential treatment in perpetuity.

We understand that if the Commission receives a FOIA request for the Confidential Submission, we will be notified of such request in accordance with the Commission's regulations and be asked to submit, within ten business days, a detailed written justification for confidential treatment of the Confidential Submission. *See* Commission Regulation § 149.5(e)(1); see also Executive Order 12600, 52 Fed. Reg. 23781 (June 23, 1987) (detailing pre-disclosure notification procedures under FOIA). In such event, we request that Commission staff telephone or email the undersigned rather rely upon United States mail for such notice.

If the Commission or its staff transmits any of the Confidential Submission to another federal agency, we request that you forward a copy of this letter to any such agency with the Confidential Submission and further request that you advise any such agency that GFI has requested that this material be accorded confidential treatment.

The request set forth in the preceding paragraphs also apply to any memoranda, notes, transcripts or other writings of any sort whatsoever that are made by, or at the request of, any employee of the Commission (or any other federal agency) and which (1) incorporate, include or relate to any aspect of the Confidential Submission; or (2) refer to any conference, meeting, or telephone conversation between GFI, its current or former employees, representatives, agents, auditors or counsel on the one hand and employees of the Commission (or any other government agency) on the other, relating to the Confidential Submission.

Please acknowledge your receipt of this confidential treatment request by date stamping the enclosed extra copy of this letter and returning it to the undersigned in the enclosed self-addressed postage-prepaid envelope. Any questions regarding this request for the Confidential Treatment, as well as any notices pursuant to Commission Regulation § 145.9(e), should be directed to the attention of the undersigned at the addresses and telephone number provided herein.

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Should you have any questions, or receive any requests for copies of the enclosed, please contact the undersigned at (212) 968-2982 or [daniel.glatter@gfigroup.com](mailto:daniel.glatter@gfigroup.com).

Very truly yours,

/s/ Daniel Glatter  
Vice President and Assistant Secretary  
GFI Swaps Exchange LLC

Enclosure

**APPENDIX A**  
**to November 26, 2013 Confidential Treatment Request**  
**Submitted on Behalf of**  
**GFI Swaps Exchange LLC**

The Confidential Submission referenced in the letter to which this Appendix A is attached consists of this Appendix A in addition to the following document, submitted to the Division of Market Oversight via [submissionas@cftc.gov](mailto:submissionas@cftc.gov)

- A six page PDF document captioned “GFI Swaps Exchange LLC Fee Schedule” dated as of December 11, 2013.