

MODERN SLAVERY ACT TRANSPARENCY STATEMENT FOR GFI BROKERS LIMITED AND GFI SECURITIES LIMITED (this "Statement")

This Statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes the modern slavery and human trafficking statement required under UK legislation for each of the entities listed above, the "Entities", "we" or each an "Entity", for the financial year ended 31 December 2018. This Statement has been approved by the relevant Board of Directors for each Entity.

Organisation

We are a leading global brokerage and financial technology group providing a wide range of services, including trade execution, broker-dealer services, clearing, trade compression, post trade, information, and other services to a broad range of financial and non-financial institutions. Our customers include many of the world's largest banks, broker-dealers, investment banks, trading firms, hedge funds, governments, corporations, and investment firms.

Our commitment

We are strongly opposed to modern slavery and human trafficking and will not knowingly support or conduct business with any organisation involved in such activities. We are committed to collaborating with stakeholders to improve transparency and address incidents of modern slavery or human trafficking identified.

Our supply chains

As a financial services group our supply chains are relatively simple and we consider the risk to modern slavery and human trafficking to be very low. Our suppliers provide services such as IT, communication technology and professional services. Nevertheless, we require the highest professional standards and ethics throughout our business we expect the same high standards from the parties we work with as well as their compliance with all local and national laws and regulations.

We aim to identify and assess key risk areas in our supply chains. Should we ascertain modern slavery or human trafficking activities in our supply chains we will work to remediate that through appropriate and proportionate action in accordance with our legal and moral obligations.

Our policies

Our working practices respect and uphold internationally recognized human rights for all our staff. We have a whistleblowing policy that encourages all staff to report any suspected concerns regarding unethical behaviour.

This statement was approved by the relevant Board of Directors for each of the Entities in July 2018 pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes our anti-modern slavery and human trafficking statement for the financial year ended 31 December 2018.



Julian Swain

Chief Executive Officer

For and on behalf of the above Entities

17 July 2019