

# SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional)

Date:

**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**

**ADDRESS**  
55 Water Street  
New York, NY 10041

**CONTACT**  
phone 212.968.4100  
fax 212.968.2386

**INTERNET**  
www.GFigroup.com



May 6, 2014

**Via E-mail: [submissions@cftc.gov](mailto: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  
Fee Schedule Revisions  
GFI Swaps Exchange LLC Submission No. 14-0010**

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 publishing certain revisions to its fee schedule (the “Fee Schedule”).

Appendix A attached hereto sets forth the Fee Schedule, for which a request for confidential treatment is being simultaneously submitted to the Commission. A copy of that request for confidential treatment is included with this submission. The revised Fee Schedule will become effective on June 1, 2014.

The Exchange reviewed the applicable core principles as set forth in the Act and determined that it is in compliance, particularly with respect to Core Principle 2 – Impartial Access, as all fees are applied on an impartial basis.

The Exchange hereby certifies that: (i) the revisions to the Fee Schedule comply with the Commodity Exchange Act and the Commission’s regulations thereunder and (ii) a copy of this submission is being concurrently posted on the Exchange’s website at

<http://www.gfigroup.com/markets/swaps-exchange/rules-notices.aspx>. There were no substantive opposing views.

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

Sincerely,

/s/ Daniel Glatter  
General Counsel  
GFI Swaps Exchange LLC

Enclosure

**APPENDIX A**  
**to May 6, 2014 Regulation 40.6 Rule Certification**  
**Submitted on Behalf of**  
**GFI Swaps Exchange LLC**

[Attachment is Subject to a Request for Confidential  
Treatment Submitted Under Separate Cover]



May 6, 2014

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

**Via E-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.

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.glatte@gfigroup.com](mailto:daniel.glatte@gfigroup.com).

Very truly yours,

/s/ Daniel Glatte  
General Counsel  
GFI Swaps Exchange LLC

Enclosure

**APPENDIX A**  
**to May 6, 2014 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 Secretary via [submissions@cftc.gov](mailto:submissions@cftc.gov)

- A six page PDF document captioned “GFI Swaps Exchange LLC Fee Schedule” dated as of June 1, 2014.