

Regulatory Notice 15-4

Issue Date: July 8, 2015

Attention: Compliance and Legal

Introducing Broker and Participant Key Personnel Contact Information

Executive Summary

To ensure the optimal delivery of LatAm SEF communication(s) with key personnel of SEF Participants, we require all Participants to maintain accurate contact information for key personnel.

Questions regarding this Notice should be direct to:

- Sandra Armstrong, Chief Compliance Officer
Direct Line (646) 344-3267 or Via Email: sarmstrong@latamsef.com
- Joseph Skelly, Corporate Communication
Direct Line (646) 344-3274 or Via Email: jskelly@latamsef.com

Action Requested

Please complete all sections as indicated in Exhibit A. If your company does not acknowledge one or more of the categories, please provide a person we may contact for said category. We would appreciate compliance on or before August 14, 2015.

EXHIBIT A

Compliance Contact Details:
(Please type or print clearly)

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	

Operational Contact Details:
(Please type or print clearly)

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	

Billing Contact Details:
(Please type or print clearly)

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	

Legal Contact Details:**(Please type or print clearly)**

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	

Anti-Money Laundering (AML) Contact Details**(Please type or print clearly)**

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	

Risk Contact Details:**(Please type or print clearly)**

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	

Systems Responsible Person Contact Details:**(Please type or print clearly)**

First Name:	
Last Name:	
Address:	
City:	
State:	
Zip Code:	
Country:	
Telephone:	
Fax:	
Email:	