

ICAP SEF Application

Exhibit B-1: SEF Officers, Directors and Committee Members

Contents

Exhibit B-1: SEF Officers, Directors and Committee Members..... 3

1.1 Officers:..... 3

1.2 Directors and Committee Members:..... 3

1.3 Officer, Director and Committee Member Biographical Information: 3

 John Nixon..... 3

 Glenn Worman..... 3

 Stuart Wexler 4

 Gregory Compa 4

 Richard Kaltenbach..... 5

 Diane Schueneman 5

 Ivan Ritossa 5

 Kenneth Pigaga 6

 Mark Beeston..... 6

1.4 Violations, Disciplinary Actions, Disqualifications: 6

Exhibit B-1: SEF Officers, Directors and Committee Members

1.1 Officers:

- John Nixon – Chairman of the Board of Directors, Chief Executive Officer and President
- Glenn Worman – Chief Financial Officer and Treasurer
- Stuart Wexler – General Counsel and Secretary
- Gregory Compa – Chief Compliance Officer
- Richard Kaltenbach – Deputy General Counsel and Assistant Secretary

1.2 Directors and Committee Members:

- Diane Schueneman – Public Director, Member and Chairperson of Regulatory Oversight Committee
- Ivan Ritossa – Public Director, Member of Regulatory Oversight Committee
- John Nixon – Chairman
- Kenneth Pigaga
- Mark Beeston

1.3 Officer, Director and Committee Member Biographical Information:

John Nixon

Title: Director, Chairman of the Board of Directors, Chief Executive Officer and President

Position held since: August 7, 2013

Narrative: John Nixon has been the Group Executive Director Americas of ICAP plc since 2008. Prior to his appointment to the ICAP plc board in 2008, Mr. Nixon had also served from 1998 to 2002 as a non-executive director of ICAP plc. Mr. Nixon has been a member of ICAP's Global Executive Management Group since 2003 where he has held various management positions including oversight of the firm's Electronic Trading Division. Currently his roles include working alongside the ICAP Group CEO on ICAP corporate strategy and customer relations. In addition, Mr. Nixon is a Director and the President of iSwap US Inc., and a Director of iSwap Limited and iSwap Euro Limited. Mr. Nixon has had extensive experience in the interdealer broking industry since 1978. Before joining ICAP, he was the Chief Executive Officer of Tullett and Tokyo Forex, now part of Tullett Prebon, where he worked from 1978 to 1997 in Toronto, London and New York. Mr. Nixon holds a Bachelor of Commerce degree from Queen's University, Ontario, from which he graduated in 1977.

Glenn Worman

Title: Chief Financial Officer and Treasurer

Position held since: August 7, 2013

Narrative: Glenn Worman has served as the Chief Financial Officer for ICAP's Americas region since July 2011. Previous to joining ICAP, Mr. Worman held Chief Financial, Operating and Compliance officer roles at Merrill Lynch (from 1985 through April 2008), Morgan Stanley (from May 2008 through January 2009) and Deutsche Bank (from January 2010 through July 2011) covering over 25 years in the financial services industry. Mr. Worman graduated from Ramapo College of New Jersey in 1981 where he earned a Bachelor of Science degree in Accounting and Economics, and from Fairleigh Dickinson University with a Masters Degree in Finance in 1987.

Stuart Wexler

Title: General Counsel and Secretary

Position held since: August 7, 2013

Narrative: Stuart Wexler is General Counsel of the Americas for ICAP North America Inc., responsible for management of the legal and compliance function for ICAP's U.S. and Latin American businesses. Prior to joining ICAP in April 2009, Mr. Wexler was with Merrill, Lynch, Pierce, Fenner and Smith, initially as First Vice President and Head of Fixed Income Compliance for the Global Markets and Investment Banking division, and subsequently, Managing Director and Head of Sales and Trading Compliance for that division. From 1999 to 2005, Mr. Wexler served as Managing Director and Associate General Counsel with Greenwich Capital where he was responsible for providing regulatory and compliance advice to each of the firm's fixed income businesses. Mr. Wexler obtained a B.A. in History, magna cum laude, from Yale College in 1989, and his J.D., magna cum laude, from New York University School of Law in 1994. He was a member of and past Chairman of the FINRA Fixed Income Advisory Committee, and is currently a member of the Treasury Market Practices Group.

Gregory Compa

Title: Chief Compliance Officer

Position held since: August 7, 2013

Narrative: Gregory Compa joined ICAP North America Inc. in December 2012 as a compliance officer, and was appointed the Chief Compliance Officer of the SEF on the date of its formation, August 7, 2013. Prior to joining ICAP, Mr. Compa was Head of U.S. Futures Compliance at Barclays Capital Inc. from 2010 to 2012. Prior to his tenure at Barclays, Mr. Compa served as a compliance officer responsible for providing regulatory advisory support and oversight for the Futures and Commodities businesses of Morgan Stanley & Co. Inc. from October 2008 to May 2010, and Lehman Brothers Inc. from April 2007 to October 2008. From 2001 to 2007, Mr. Compa was a trial attorney in the Division of Enforcement in the New York Regional Office of the Commodity Futures Trading Commission ("CFTC"). Mr. Compa graduated from Pace University School of Law in 2001 and is admitted to the New York and New Jersey bar associations. Mr. Compa is also a member of the Futures Industry Association Law & Compliance Division.

Richard Kaltenbach

Title: Deputy General Counsel and Assistant Secretary

Position held since: August 7, 2013

Narrative: Richard Kaltenbach has been employed as an attorney in ICAP North America Inc.'s New Jersey offices since December 2004. Mr. Kaltenbach is currently Deputy General Counsel and Assistant Secretary for ICAP Americas. He served a judicial clerkship from September, 1993 through August, 1994, and then worked in private practice from September, 1994 through December, 2004 before joining ICAP. Mr. Kaltenbach received a J.D. from The Catholic University of America, Columbus School of Law in May 1993, and a B.A. in Economics from Cornell University in May 1990.

Diane Schueneman

Title: Public Director, Member and Chairperson of Regulatory Oversight Committee

Position held since: August 7, 2013

Narrative: In 2010, Diane Schueneman was appointed as an independent, non-executive director of ICAP plc. During 2008, Ms. Schueneman was an independent consultant to the Commissioner of the U.S. Internal Revenue Service on behalf of McKinsey & Company. Between 1971 and 2008, Ms. Schueneman built an extensive career at Bank of America Merrill Lynch (formerly Merrill Lynch & Co. Inc.). Between 2006 and 2008, she served as Senior Vice President and Head of Global Infrastructure Solutions at Bank of America Merrill Lynch, where she was responsible for all technology, infrastructure, client services and operations worldwide for Capital Markets, Private Wealth and Asset Management. Between 2004 and 2006, she was Head of Global Operations & Infrastructure Services at Bank of America Merrill Lynch. From 2008 to 2010, Ms. Schueneman served on two not-for profit boards, Year Up, Inc. and National Cooperative Cancer Network Foundation, and from 2008 to 2011 she was on the advisory board of United Bank for Africa Group.

Ivan Ritossa

Title: Public Director and Member of Regulatory Oversight Committee

Position held since: August 7, 2013

Narrative: In 2013, Ivan Ritossa was appointed as an independent, non-executive director of ICAP plc. Mr. Ritossa has worked in investment banking for 30 years, based in the UK, Asia and Australia. From 2011 to 2012, Mr. Ritossa was the Head of Latin America, Central and Eastern Europe, the Middle East and Africa across all products for Barclays Capital, and also represented Barclays Bank PLC as a non-executive director of the ABSA Group Board and ABSA Bank Limited. The ABSA Group Limited is listed on the Johannesburg Stock Exchange and is one of South Africa's largest banks. From 2007 to 2012, Mr. Ritossa also served on the Executive Committee for Barclays Capital. Whilst at Barclays, Mr. Ritossa also served as an executive director of Barclays Saudi Arabia, a closed joint stock company regulated by the Capital Markets Authority. Mr. Ritossa has been a member of numerous industry committees including the New York Federal Reserve Foreign Exchange Committee, The Bank of England

Foreign Exchange Joint Standing Committee and the Singapore Foreign Exchange Markets Committee. He has an honours degree in Finance from the University of New South Wales, Australia.

Kenneth Pigaga

Title: Director

Position held since: August 7, 2013

Narrative: Since June 2010, Kenneth Pigaga has been the Chief Operating Officer Americas for the ICAP Group and a member of the ICAP plc Global Operating Committee. From October 2006 through June 2010, Mr. Pigaga was the Chief Operating Officer - Americas Voice for the ICAP Group. Mr. Pigaga's responsibilities have included management of the Americas technology, operations, legal, compliance and human resources functions. Prior to joining ICAP in 2006, Mr. Pigaga was a Managing Director at JPMorgan in the investment bank's E-Commerce Group. From 1991 to 2001 he was at Goldman Sachs where he served several roles in emerging markets trading, portfolio structuring and e-commerce. Mr. Pigaga started his career in 1982 at Salomon Brothers where he was a Vice President in Tax-Exempt Finance. He has an MS/MBA degree from Columbia University.

Mark Beeston

Title: Director

Position held since: August 7, 2013

Narrative: Mark Beeston is currently responsible for the ICAP Group's Post-Trade Risk and Information Services and, since October 2012, he has had responsibility for coordinating the ICAP Group's response to regulatory reforms. Prior to joining ICAP in December 2009, he spent four years as President of T-Zero (now ICE Link). Before this, he spent 13 years at Deutsche Bank where, among other roles, he served as Chief Operating Officer for Global Credit Trading (from 2002 to 2005), Chief Operating Officer for OTC Derivatives (from 2001 to 2002) and Global Head of Money Market Derivatives trading (from 1999 to 2001). Mark represented Deutsche Bank at the board level across numerous industry companies and associations including ISDA, Markit, OTCDerivNet and DTCC DerivServ. Mr. Beeston received an honours degree in Economics from The London School of Economics in 1992.

1.4 Violations, Disciplinary Actions, Disqualifications:

ICAP SEF (US) LLC is not aware of any of its Officers, Directors or Committee Members being or having been the subject of any (i) order of the CFTC pursuant to Section 5e of the Commodity Exchange Act (the "Act"), (ii) conviction or injunction within the past ten years, (iii) disciplinary action within the last five years, (iv) disqualification under Sections 8b and 8d of the Act, (v) disciplinary action under Section 8c of the Act or (vi) violation pursuant to Section 9 of the Act.