

IGDL 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
Diane Schueneman	4
Ivan Ritossa	4
Peter Best	5
Stephen Caplen	5
Gregory Compa	6
Deborah Abrehart	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 and Chief Executive Officer
- Peter Best – Chief Operating Officer
- Stephen Caplen – Chief Financial Officer
- Gregory Compa – Chief Compliance Officer
- Deborah Abrehart – Company 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 of the Board of Directors and Chief Executive Officer
- Peter Best – Chief Operating Officer
- Stephen Caplen – Chief Financial Officer

1.3 Officer, Director and Committee Member Biographical Information:

John Nixon

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

Position held since: January 7, 2014

Narrative: John Nixon has been the Group Executive Director of 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 the Chairman of the Board of Directors and Chief Executive Officer of ICAP SEF (US) LLC, 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.

Diane Schueneman

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

To be appointed to the Board as a Director and Chairperson of the Regulatory Oversight Committee prior to ICAP Global Derivatives Limited becoming operational, once board appointment is approved by the Financial Conduct Authority.

Narrative: In 2010, Diane Schueneman was appointed as an independent, non-executive director of ICAP plc. On August 7, 2013, Ms. Schueneman was appointed a public director, member and chairperson of the regulatory oversight committee of ICAP SEF (US) LLC. 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, Member of Regulatory Oversight Committee

To be appointed to the Board as a Director and member of the Regulatory Oversight Committee prior to ICAP Global Derivatives Limited becoming operational, once board appointment is approved by the Financial Conduct Authority.

Narrative: In 2013, Ivan Ritossa was appointed as an independent, non-executive director of ICAP plc. On August 7, 2013, Mr. Ritossa was appointed a public director and member of the regulatory oversight committee of ICAP SEF (US) LLC. 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.

Peter Best

Title: Director, Chief Operating Officer

Chief Operating Officer position held since: January 13, 2014

To be appointed to the Board as a Director prior to ICAP Global Derivatives Limited becoming operational, once appointment approved by the Financial Conduct Authority.

Narrative:

Peter Best was appointed Chief Operating Officer (“SEF COO”) of the ICAP SEF (US) LLC on December 11, 2013 and for ICAP Global Derivatives Limited on January 10, 2014. Prior to his appointment as SEF COO, Mr. Best was ICAP Group Head of Market Development where he focused on managing the impact of change in market structure on the ICAP businesses (with particular emphasis on regulatory and technological change). Mr. Best initially joined ICAP in 1994 as an interest rate swaps broker and between 2000 and 2008 Mr. Best was a business analyst, product manager and head of client solutions and delivery for EMEA, within the ICAP electronic broking division. From 2008 to 2011, Mr. Best was Head of Product Development, fixed income derivatives at NYSE Liffe. Between 2011 and 2012, Mr. Best was the Business Manager to the CEO of ICAP Global Broking. Mr. Best holds a Bachelor of Arts in German from King’s College London, from which he graduated in 1994 and he spent a year at the Freie Universitat, Berlin where he took courses in Finance and Banking.

Stephen Caplen

Title: Director, Chief Financial Officer

Position held since: January 24, 2008

Narrative:

Stephen Caplen was appointed Deputy Group CFO of the ICAP group in October 2012. In 1991, Mr. Caplen qualified as a chartered accountant with BDO Stoy Hayward. In 1997, he joined the London Stock Exchange as a regulatory advisor within its Equity Markets Group before progressing to the role of Deputy Head of Finance. In 2004 Mr. Caplen was appointed Group CFO of Electronic Broking Services (EBS), which was acquired by ICAP in 2006. Between 2006 and 2012 Mr. Caplen was CFO of ICAP’s electronic and post trade businesses. Mr. Caplen holds a Bachelor of Arts (Hons) degree in Economics & Politics from the University of Kent at Canterbury from which he graduated in 1988.

Gregory Compa

Title: Chief Compliance Officer

Position held since: January 10, 2014

Narrative: Gregory Compa joined ICAP North America Inc. in December 2012 as a compliance officer, and was appointed the Chief Compliance Officer for ICAP SEF (US) LLC 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.

Deborah Abrehart

Title: Company Secretary

Position held since: June 2, 2006

Narrative: Deborah Abrehart was appointed Group Company Secretary of ICAP plc in January 2006. From 2000 to 2005, Mrs. Abrehart was Group Company Secretary for easyJet plc. From 1979 to 2000, Mrs. Abrehart worked in a number of listed public companies as either assistant secretary, deputy group secretary or as group company secretary. Mrs. Abrehart is a Fellow of the Institute of Chartered Secretaries and Administrators. Mrs. Abrehart holds an HND in Business Studies from Guildford College from which she graduated in 1977.

1.4 Violations, Disciplinary Actions, Disqualifications:

ICAP Global Derivatives Limited 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.