



NYSE LIFFE US NOTICE No. 3/2013

ISSUE DATE: January 31, 2013

EFFECTIVE DATE: January 31, 2013

REMINDER – Minimum Financial and Related Reporting Requirements

Summary

This Notice serves as a reminder of Members' Minimum Financial and Related Reporting Requirements pursuant to NYSE Liffe US Rules 504 and 505.

1. Introduction

1.1 Rule 504 ("Minimum Financial and Related Reporting Requirements for Registrants") and Rule 505 ("Minimum Financial and Related Reporting for Non-Registrants") require Members to maintain a specified adjusted net capital (for Registrants) and net worth (for non-Registrants) and to immediately notify NYSE Liffe US (the "Exchange") if its net capital or net worth falls below a specified amount.

2. Minimum Financial Requirements

2.1 Exchange Rule 504 provides that, except as otherwise provided in CFTC Regulations [§1.12](#) or [§1.17](#):

2.1.1 Each member registered as a futures commission merchant must maintain adjusted net capital equal to or in excess of the amount required in §1.17(a)(1)(i)(A)-(D).

2.1.2 Each Member registered as an introducing broker must maintain adjusted net capital equal to or in excess of the amount required in §1.17(a)(1)(ii)(A)-(C).

2.2 A Member that is not registered with the Commission ("Non-Registrant") must maintain a net worth of not less than \$250,000. For these purposes, "net worth" means the Member's total assets (excluding personal assets) less total liabilities as computed by generally accepted accounting principles applied on a consistent basis.

3. Financial Reporting Requirements

3.1 Members' compliance with the Exchange's financial reporting requirements is critical to the operation of the Exchange. Those reporting requirements are summarized below.

Early Warning Notices

3.1.1 A copy of any notice or written report that a Member is required to file with the CFTC pursuant to CFTC Regulation §1.12 must also be filed with the Exchange within the same time frame as such filing is to be made with the CFTC. Immediately after a Registrant Member knows or should know that its adjusted net capital is less than that required by any law, regulation or rule to which the Member is subject, it must notify the Exchange.

3.1.2 Immediately after a Non-Registrant Member knows or should know that his, her, or its net worth falls below \$300,000, the Non-Registrant Member must provide the Exchange with monthly financial statements by the tenth calendar day of each month thereafter until the Non-Registrant Member's net worth exceeds \$300,000 for two consecutive months.

Annual Financial Statement

3.1.3 Each Non-Registrant Member that is an organization must submit an annual audited financial statement certified by a certified independent accountant (or by a Person having similar qualifications if the Members' books of account are kept outside the United States) within ninety calendar days of such persons' fiscal year-end.

4. Address for Notices of Audited Financial Statements

4.1 Members should send any notices required by Rules 504 and 505 and audited financial statements via mail, addressed to NYSE Liffe US, Market Regulation Department, 20 Broad Street, 10th Floor, New York, NY 10005; or via email to NLMktReg@nyx.com.

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Members who have questions or seek additional information in respect of this Notice should contact:

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