

Name of Regulated Entity: *Swap Financial Group, LLC*

Report Period: *Fourth Quarter of 2018*

I. CONTRIBUTIONS made to officials of a municipal entity (list by state)

State	Complete name, title (including any city/county/state or other political subdivision) of municipal entity official	Contributions by each contributor category (i.e., for purposes of this form, dealer, dealer controlled PAC, municipal finance professional, municipal finance professional controlled PAC, non-MFP executive officer, municipal advisor, municipal advisor controlled PAC, municipal advisor professional, municipal advisor professional controlled PAC, and non-MAP executive officer). For each contribution, list contribution amount and contributor category (disclose all applicable categories for each contributor). (For example, \$500 contribution by non-MFP executive officer)
		If any contribution is the subject of an automatic exemption pursuant to Rule G-37(j), list amount of contribution and date of such automatic exemption.

None

II. PAYMENTS made to political parties of states or political subdivisions (list by state)

State	Complete name (including any city/county/state or other political subdivision) of political party	Payments by each contributor category

None

III. CONTRIBUTIONS made to bond ballot campaigns (list by state)

A. Contributions

State	Official name of bond ballot campaign and jurisdiction (including city/county/state or other political subdivision) for which municipal securities would be issued and the name of the entity issuing the municipal securities	Contributions, including the specific date the contributions were made, by each contributor category
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None

B. Reimbursement for Contributions

List below any payments or reimbursements, related to any disclosed bond ballot contribution, received by each dealer, municipal finance professional, non-MFP executive officer, municipal advisor, municipal advisor professional, or non-MAP executive officer from any third party, including the amount paid and the name of the third party making such payments or reimbursements.

None

IV. MUNICIPAL ENTITIES with which the regulated entity has engaged in municipal securities business or municipal advisory business (list by state)

A. Municipal Securities Business

State	Complete name of municipal entity and city/county	Type of municipal securities business (negotiated underwriting, private placement, financial advisor, or remarketing agent)
<i>None</i>		

B. Municipal Advisory Business

State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
<i>VT</i>	<i>Vermont Housing Finance Agency</i>	<i>Advice</i>
<i>CO</i>	<i>Colorado Housing and Finance Authority</i>	<i>Advice</i>
<i>UT</i>	<i>Miller Timbergate Apartments LLC, Salt Lake City, Salt Lake</i>	<i>Advice</i>
<i>KS</i>	<i>International Speedway Corp, City of Kansas, Wyandotte Leavenworth</i>	<i>Advice</i>
<i>CT</i>	<i>Fairfield Residential, City of Fairfield, Fairfield</i>	<i>Advice</i>
<i>CO</i>	<i>Colorado Housing and Finance Authority</i>	<i>Advice</i>
<i>FL</i>	<i>Miami-Dade County (FL), Miami-Dade</i>	<i>Advice</i>
<i>TN</i>	<i>Northcrest Medical Center, Springfield, Robertson</i>	<i>Advice</i>
<i>NY</i>	<i>State of New York Mortgage Agency</i>	<i>Advice</i>
<i>CA</i>	<i>Western University, City of Pomona, Los Angeles</i>	<i>Advice</i>
<i>CA</i>	<i>California Housing Finance Agency</i>	<i>Advice</i>
<i>NY</i>	<i>Maimonides Medical Center, City of New York, Kings County</i>	<i>Advice</i>

B. Municipal Advisory Business

State	Complete name of municipal entity and city/county	Type of municipal advisory business (advice or solicitation) (and in the case of municipal advisory business engaged in by a municipal advisor third-party solicitor, the name of the third party on behalf of which business was solicited and the nature of the business solicited (municipal securities business, municipal advisory business or investment advisory services))
CA	<i>Transbay Joint Powers Authority, City of San Francisco, San Francisco</i>	<i>Advice</i>
IL	<i>OSF Healthcare, City of Peoria, Peoria</i>	<i>Advice</i>
CA	<i>University of California</i>	<i>Advice</i>
IN	<i>Indiana Housing and Community Development Authority, City of Indianapolis, Marion</i>	<i>Advice</i>
PA	<i>Philadelphia, City of, Philadelphia</i>	<i>Advice</i>
IN	<i>Indiana University Health</i>	<i>Advice</i>
SC	<i>Grand Strand Water & Sewer Authority</i>	<i>Advice</i>
IN	<i>Indiana University Health</i>	<i>Advice</i>
NC	<i>Triad Local School District, City of North Lewisburg, Champaign</i>	<i>Advice</i>
NY	<i>Sentinel Real Estate, City of New York, New York</i>	<i>Advice</i>
CO	<i>Colorado Housing and Finance Authority</i>	<i>Advice</i>
MD	<i>Howard County Housing Commission, Howard</i>	<i>Advice</i>
IN	<i>Indiana Valley Metropolitan District</i>	<i>Advice</i>
CA	<i>J. Paul Getty Trust, City of Los Angeles, Los Angeles</i>	<i>Advice</i>
NY	<i>New York State Housing Finance Agency</i>	<i>Advice</i>
WI	<i>Wisconsin Housing and Economic Development Authority</i>	<i>Advice</i>
MN	<i>Essentia Health, City of Duluth, Saint Louis</i>	<i>Advice</i>
NY	<i>Dormitory Authority State of</i>	<i>Advice</i>

B. Municipal Advisory Business

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CA	<i>New York Peralta Community College District, City of Oakland, Alameda</i>	<i>Advice</i>
MA	<i>Partners Healthcare, City of Boston, Suffolk</i>	<i>Advice</i>
NY	<i>State of New York Mortgage Agency</i>	<i>Advice</i>
CA	<i>San Diego, City of, San Diego</i>	<i>Advice</i>
MA	<i>Boston University, City of Boston, Suffolk</i>	<i>Advice</i>
DC	<i>Georgetown University, Washington D.C.</i>	<i>Advice</i>
NC	<i>Triad Local School District, City of North Lewisburg, Champaign</i>	<i>Advice</i>
IN	<i>Indianapolis Museum of Art, City of Indianapolis, Marion</i>	<i>Advice</i>
UT	<i>Utah Housing Corporation</i>	<i>Advice</i>
NY	<i>Northwell Health (aka North Shore-LIJ), City of Great Neck, Nassau</i>	<i>Advice</i>
CA	<i>Metropolitan Water District of Southern California</i>	<i>Advice</i>
MA	<i>Partners Healthcare, City of Boston, Suffolk</i>	<i>Advice</i>
ME	<i>Jackson Laboratory, The, City of Bar Harbor, Hancock</i>	<i>Advice</i>
CA	<i>San Francisco International Airport, San Francisco</i>	<i>Advice</i>
IN	<i>Children's Museum of Indianapolis, City of Indianapolis, Marion</i>	<i>Advice</i>
IN	<i>Indiana Housing and Community Development Authority, City of Indianapolis, Marion</i>	<i>Advice</i>

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<i>OH</i>	<i>Ohio Treasurer of State</i>	<i>Advice</i>
<i>FL</i>	<i>Miami-Dade County (FL), Miami-Dade</i>	<i>Advice</i>
<i>OH</i>	<i>Ohio Public Facilities Commission</i>	<i>Advice</i>
<i>NY</i>	<i>New York-Presbyterian Hospital, City of New York, New York</i>	<i>Advice</i>
<i>FL</i>	<i>Florida Municipal Power Agency</i>	<i>Advice</i>
<i>CA</i>	<i>Westmont College, Montecito, Santa Barbara</i>	<i>Advice</i>
<i>MA</i>	<i>Northeastern University, City of Boston, Suffolk</i>	<i>Advice</i>
<i>MA</i>	<i>Massachusetts Housing Finance Agency</i>	<i>Advice</i>
<i>PA</i>	<i>University of Pittsburgh, City of Pittsburgh, Allegheny</i>	<i>Advice</i>
<i>OH</i>	<i>Ohio Treasurer of State</i>	<i>Advice</i>
<i>MA</i>	<i>Massachusetts, Commonwealth of</i>	<i>Advice</i>
<i>IN</i>	<i>Indiana Housing and Community Development Authority, City of Indianapolis, Marion</i>	<i>Advice</i>
<i>IN</i>	<i>Children's Museum of Indianapolis, City of Indianapolis, Marion</i>	<i>Advice</i>
<i>CA</i>	<i>J. Paul Getty Trust, City of Los Angeles, Los Angeles</i>	<i>Advice</i>
<i>NY</i>	<i>Tobacco Settlement Financing Corp (NY)</i>	<i>Advice</i>
<i>MD</i>	<i>Howard County Housing Commission, Howard</i>	<i>Advice</i>
<i>MA</i>	<i>Massachusetts Housing Finance Agency</i>	<i>Advice</i>
<i>CA</i>	<i>Eastern Municipal Water</i>	<i>Advice</i>

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	<i>District, Riverside</i>	
NY	<i>Union College, City of Schenectady, Schenectady</i>	<i>Advice</i>
CA	<i>University of California</i>	<i>Advice</i>
ME	<i>Bowdoin College, City of Brunswick, Cumberland</i>	<i>Advice</i>
MN	<i>Essentia Health, City of Duluth, Saint Louis</i>	<i>Advice</i>
CA	<i>California, State of</i>	<i>Advice</i>
CA	<i>California Housing Finance Agency</i>	<i>Advice</i>
OH	<i>Ohio Public Facilities Commission</i>	<i>Advice</i>
TN	<i>Northcrest Medical Center, Springfield, Robertson</i>	<i>Advice</i>
ME	<i>Jackson Laboratory, The, City of Bar Harbor, Hancock</i>	<i>Advice</i>
IN	<i>Indiana Housing and Community Development Authority, City of Indianapolis, Marion</i>	<i>Advice</i>
PA	<i>Holy Redeemer Health System, Hungtingdon Valley, Montgomery</i>	<i>Advice</i>
NY	<i>Center for Discovery, Village of Thompson, Sullivan</i>	<i>Advice</i>
UT	<i>Metropolitan Water District of Salt Lake & Sandy, Cottonwood Heights, Salt Lake</i>	<i>Advice</i>
CA	<i>Santa Clara County (CA), Santa Clara</i>	<i>Advice</i>
IN	<i>Indiana Valley Metropolitan District</i>	<i>Advice</i>
NY	<i>Fetner, New York</i>	<i>Advice</i>
PA	<i>University of Pittsburgh, City of Pittsburgh, Allegheny</i>	<i>Advice</i>

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MI	Michigan State Housing Development Authority	Advice
NY	New York State Housing Finance Agency	Advice
UT	Utah Housing Corporation	Advice
CO	Colorado Housing and Finance Authority	Advice
NY	Center for Discovery, Village of Thompson, Sullivan	Advice
NE	Nebraska Investment Finance Authority	Advice
WI	Wisconsin Housing and Economic Development Authority	Advice
MA	Massachusetts Institute of Technology, City of Cambridge, Middlesex	Advice
IL	Illinois, State of	Advice
NY	Sentinel Real Estate, City of New York, New York	Advice
DC	Georgetown University, Washington D.C.	Advice
CA	Westmont College, Montecito, Santa Barbara	Advice
NY	Tobacco Settlement Financing Corp (NY)	Advice
MI	Detroit, City of (VEBA), City of Detroit, Wayne	Advice
CA	Penny Lane Centers, City of Los Angeles, Los Angeles	Advice
MI	Michigan State Housing Development Authority	Advice
NY	Dormitory Authority State of New York	Advice
FL	Florida Municipal Power Agency	Advice
IL	Chicago, City of, Chicago,	Advice

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PA	<i>Cook Holy Redeemer Health System, Hungtingdon Valley, Montgomery</i>	<i>Advice</i>
PA	<i>Lehigh University, City of Bethlehem, Lehigh County</i>	<i>Advice</i>
NY	<i>1010 Sixth Associates LLC (Gotham Organization), New York, New York</i>	<i>Advice</i>
CA	<i>Western University, City of Pomona, Los Angeles</i>	<i>Advice</i>
WA	<i>Washington State Housing Finance Commission</i>	<i>Advice</i>
MI	<i>Detroit, City of (VEBA), City of Detroit, Wayne</i>	<i>Advice</i>
IL	<i>OSF Healthcare, City of Peoria, Peoria</i>	<i>Advice</i>
MA	<i>Boston University, City of Boston, Suffolk</i>	<i>Advice</i>
NY	<i>Cold Spring Harbor Laboratory, City of Cold Spring Harbor, Suffolk</i>	<i>Advice</i>
CA	<i>San Francisco International Airport, San Francisco</i>	<i>Advice</i>
VT	<i>Vermont Housing Finance Agency</i>	<i>Advice</i>
IL	<i>Chicago, City of, Chicago, Cook</i>	<i>Advice</i>
MA	<i>Massachusetts Institute of Technology, City of Cambridge, Middlesex</i>	<i>Advice</i>
CA	<i>Eastern Municipal Water District, Riverside</i>	<i>Advice</i>
CA	<i>California, State of</i>	<i>Advice</i>
FL	<i>Boys and Girls Club of Miami, City of Miami, Miami-Dade</i>	<i>Advice</i>

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PA	<i>Philadelphia, City of, Philadelphia</i>	<i>Advice</i>
UT	<i>Metropolitan Water District of Salt Lake & Sandy, Cottonwood Heights, Salt Lake</i>	<i>Advice</i>
CA	<i>Santa Clara County (CA), Santa Clara</i>	<i>Advice</i>
TX	<i>Rose Altamonte, LP (Irwin R. Rose & Company), Dallas, Dallas</i>	<i>Advice</i>
NY	<i>42/9 Residential, LLC (Brodsky Organization), New York, New York</i>	<i>Advice</i>
NY	<i>Maimonides Medical Center, City of New York, Kings County</i>	<i>Advice</i>
KS	<i>International Speedway Corp, City of Kansas, Wyandotte Leavenworth</i>	<i>Advice</i>
CA	<i>Metropolitan Water District of Southern California</i>	<i>Advice</i>
NY	<i>Fetner, New York</i>	<i>Advice</i>
MA	<i>Baystate Medical Center, Springfield</i>	<i>Advice</i>
TX	<i>Texas Municipal Gas Acquisition and Supply Corp I</i>	<i>Advice</i>
CA	<i>Penny Lane Centers, City of Los Angeles, Los Angeles</i>	<i>Advice</i>
CA	<i>Eastern Municipal Water District, Riverside</i>	<i>Advice</i>
ME	<i>Bowdoin College, City of Brunswick, Cumberland</i>	<i>Advice</i>
WA	<i>Washington State Housing Finance Commission</i>	<i>Advice</i>
PA	<i>Lehigh University, City of Bethlehem, Lehigh County</i>	<i>Advice</i>

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SC	<i>Grand Strand Water & Sewer Authority</i>	<i>Advice</i>
IL	<i>Illinois, State of</i>	<i>Advice</i>
NY	<i>Cold Spring Harbor Laboratory, City of Cold Spring Harbor, Suffolk</i>	<i>Advice</i>
PA	<i>Pittsburgh Water & Sewer Authority, Allegheny</i>	<i>Advice</i>
CA	<i>Transbay Joint Powers Authority, City of San Francisco, San Francisco</i>	<i>Advice</i>
CA	<i>Peralta Community College District, City of Oakland, Alameda</i>	<i>Advice</i>
NY	<i>Northwell Health (aka North Shore-LIJ), City of Great Neck, Nassau</i>	<i>Advice</i>
MA	<i>Northeastern University, City of Boston, Suffolk</i>	<i>Advice</i>
MA	<i>Commonwealth of Massachusetts, Boston, Suffolk</i>	<i>Advice</i>
NY	<i>Union College, City of Schenectady, Schenectady</i>	<i>Advice</i>
IN	<i>Indianapolis Museum of Art, City of Indianapolis, Marion</i>	<i>Advice</i>
MA	<i>Baystate Medical Center, Springfield</i>	<i>Advice</i>
CT	<i>Fairfield Residential, City of Fairfield, Fairfield</i>	<i>Advice</i>
NE	<i>Nebraska Investment Finance Authority</i>	<i>Advice</i>
NY	<i>New York-Presbyterian Hospital, City of New York, New York</i>	<i>Advice</i>
PA	<i>Pittsburgh Water & Sewer Authority, Allegheny</i>	<i>Advice</i>

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CA	<i>San Diego, City of, San Diego</i>	<i>Advice</i>
TX	<i>Texas Municipal Gas Acquisition and Supply Corp I</i>	<i>Advice</i>
FL	<i>Boys and Girls Club of Miami, City of Miami, Miami-Dade</i>	<i>Advice</i>
CA	<i>Eastern Municipal Water District, Riverside</i>	<i>Advice</i>
MA	<i>Massachusetts, Commonwealth of</i>	<i>Advice</i>

C. Ballot-Approved Offerings

Full name of the municipal entity and full issue description of any primary offering resulting from the bond ballot campaign to which each contributor category has made a contribution and the reportable date of selection on which the regulated entity was selected to engage in the municipal securities business or municipal advisory business.

Full Name of Municipal Entity	Full Issue Description	Reportable Date of Selection
<i>None</i>		

FORM G-37



Signature: electronic

Date: *Feb 4, 2019*

Name (must be officer of regulated entity): *Kimberly Mcmanus*

Address: *555 Madison Avenue, New York, NY 10022*

Phone: *973-618-9508*

Submit to the Municipal Securities Rulemaking Board a completed form quarterly by due date (specified by the MSRB)