



Tradition SEF, Inc.

Participant Notice 17-04 Amendments to the Tradition SEF Rulebook and StreamGlobal Platform Supplement CFTC Submission Nos. 2017-01 and 2017-02

September 1, 2017

To: Tradition SEF Authorized Representatives
From: Tradition SEF Operations and Compliance

Pursuant to Section 5c(c) of the Commodity Exchange Act, as amended (the “Act”), and Commodity Futures Trading Commission (“CFTC” or the “Commission”) Regulation 40.6, Tradition SEF, Inc. (“Tradition SEF”) has filed CFTC Submission Nos. 2017-01 and 2017-02 amending the Tradition SEF Rulebook (the “Rulebook”) and Tradition SEF StreamGlobal Platform Supplement (the “Platform Supplement”), respectively, with the Commission effective as of September 15, 2017.

Tradition SEF has posted copies of CFTC Submission Nos. 2017-01 and 2017-02, a notice of pending certification with the Commission and clean and redline versions of the Rulebook and Platform Supplement to its website at <http://www.traditionsef.com/regulatory/>, concurrent with the filing of the submissions with the Commission.

The Rulebook was amended to ensure compliance with current CFTC No-Action relief. The Platform Supplement was amended to extend the availability of the Platform from 7:00 a.m. to 6:30 a.m. (EST/DST).

Tradition SEF, through its submission to the CFTC, certifies that the rule amendments comply with the Act and the Commission’s regulations promulgated thereunder.

For legal matters, please contact:

Scot Halvorsen, Sr. Regulatory Counsel: (212) 377 2337 or scot.halvorsen@tradition.com

For SEF administrative or compliance questions please contact:

Eric Earnhardt, CCO: (212) 791 3497 or eric.earnhardt@tradition-na.com

Jeff Mehan, CAO: (212) 943 4567 or jeff.mehan@tradition.com