



Tradition SEF, Inc.

Participant Notice 20-06

Modifications to Tradition SEF Rulebook

October 16, 2020

To : Tradition SEF Authorized Representatives

From : Tradition SEF Legal, Compliance, and Operations

Authorized Representatives,

Pursuant to Tradition SEF Rule 536, Tradition SEF hereby provides notice of modifications to Rules 412, 539, 541 and 544. The effective date for the modifications is November 1, 2020.

These changes are to give effect to amendments to CFTC regulation 37.9 which imposes limitations on post-trade name give up practices for certain swap transactions.

Tradition SEF has posted copies of CFTC Submission No. 2020-05 and clean and redline versions of the Rulebook to its website at <http://www.traditionsef.com/regulatory/>, concurrent with the filing of the submission with the Commission. Tradition SEF, through its submission to the CFTC, certifies that the rule amendments comply with the Act and the Commission's regulations promulgated thereunder.

Please contact us at the contact information below with any questions.

For Tradition SEF legal matters, please contact:

Dan Glatter, General Counsel: (212) 377 2337 or daniel.glatter@tradition.com

For SEF compliance or administrative questions please contact:

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

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