



Tradition SEF, LLC

Participant Notice 21-09

Re: Tradition SEF CFTC – Submission Number 21-03 - CFTC Regulation 40.2 and 40.6(a) Certification, Request for New Product Certification of Tradition SEF’s Interest Rate Swap Asset Class Product Listing and non-substantive changes to IRS Product Listing

December 2, 2021

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

Authorized Representatives,

Pursuant to Section 5c(c) of the Commodity Exchange Act, as amended (the “Act”), and Commodity Futures Trading Commission (“CFTC” or the “Commission”) Regulation 40.2(a) and 40.6(a), Tradition SEF, Inc. (“Tradition SEF”) has filed CFTC Submission 21-03 certifying the listing of swaps on the following two interest rate indexes underlying the interest rate swaps offered for trading: the Sterling Overnight Index Average (“SONIA”) and the Euro short-term rate (“€STR”) benchmark rates. Additionally, pursuant to Commission Regulation 40.6, Tradition SEF is making several non-substantive changes to reflect changes to market, clearing venues and updates to reflect ISDA’s revised 2021 IRS swap definitions. The effective date for these additions and revisions is December 6, 2021.

Tradition SEF has posted a copy of CFTC Submission 21-04 and clean and redline versions of its Rulebook and Rates Product Listing to its website at <http://www.traditionsef.com/regulatory/>, concurrent with the filing of the submissions with the Commission.

Tradition SEF, through its submissions to the CFTC, certifies that the products 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