



---

## Participant Notice 26-01

### Tradition SEF – Notice of SEC Submission 2026-01, Modifications to Tradition SEF Rulebook,

January 29, 2026

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

---

Authorized Representatives,

Tradition SEF, LLC is issuing this notice to inform market Participants that CFTC Submission 2025-04 is effective and Tradition SEF has filed identical Rulebook changes with the Securities and Exchange Commission (SEC) via SEC Submission 2025-03. However, due to a formatting issue with the original SEC filing, Tradition SEF, LLC is re-filing Submission 2025-03 as SEC Submission 2026-01. No substantive changes have been made.

Tradition SEF has posted a copy of SEC Submission 2026-01, along with clean and redline versions of the Rulebook, Appendix B, and Platform Supplement 2 to its website at <http://www.traditionsef.com/regulatory/>, concurrent with the filing of the submissions with the Commission.

Tradition SEF, through its submission to the SEC, certifies that the rule amendments comply with the Securities Exchange Act and the Commission's regulations promulgated thereunder.

For Tradition SEF compliance questions, please contact:

**Eric Earnhardt, CCO:** (212) 791-3497 or [eric.earnhardt@tradition.com](mailto:eric.earnhardt@tradition.com)

For Tradition SEF administrative questions, please contact:

**Diana Kapanadze, Head of Onboarding and Client Relations:** (212) 238-5908 or [diana.kapanadze@tradition.com](mailto:diana.kapanadze@tradition.com)

For Tradition SEF legal matters, please contact:

**Bennett Kirschner, General Counsel:** (212) 377-2337 or [bennett.kirschner@tradition.com](mailto:bennett.kirschner@tradition.com)