



Tradition SEF, Inc.

Participant Notice 21-04 – Tradition SEF, Inc. conversion from a corporation to a limited liability company.

March 31, 2021

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

As part of an internal corporate reorganization, Tradition SEF Inc. is converting from a Delaware corporation to a Delaware limited liability company effective April 1, 2021, and from that date forward will be conducting business as Tradition SEF, LLC. A copy of the CFTC's Order of Transfer of Registration granting this change is attached for your reference.

Please note that this event is only a change of organizational structure. This is not a change of ownership or management. Tradition SEF, LLC's LEI will remain 549300MBO45EHETL4438.

There will be no change in Tax ID in connection with this conversion. Further documentation will be furnished to affected parties directly at a later date.

Should you require information or documentation from Tradition SEF from a KYC or other perspective regarding this conversion, please direct any information requests to americasreorg@tradition.com. We wish to make this transition as seamless as possible.

For USD IRS and CDX INDEX questions please contact Trading Operations: (212) 238-5930 or trading.operations.us@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

For Legal matters, please contact:

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