

SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional) 1010000286 Date: October 1, 2013

IMPORTANT: CHECK BOX IF CONFIDENTIAL TREATMENT IS REQUESTED.

ORGANIZATION Tradition SEF, Inc.

FILING AS A: DCM SEF DCO SDR ECM/SPDC

TYPE OF FILING

• Rules and Rule Amendments

- Certification under § 40.6 (a) or § 41.24 (a)
- "Non-Material Agricultural Rule Change" under § 40.4 (b)(5)
- Notification under § 40.6 (d)
- Request for Approval under § 40.4 (a) or § 40.5 (a)
- Advance Notice of SIDCO Rule Change under § 40.10 (a)

• Products

- Certification under § 39.5(b), § 40.2 (a), or § 41.23 (a)
- Swap Class Certification under § 40.2 (d)
- Request for Approval under § 40.3 (a)
- Novel Derivative Product Notification under § 40.12 (a)

RULE NUMBERS

SEF Manual Sections 1.3.1 and 1.3.3

DESCRIPTION

Commodity Products: (1) Natural Gas swaps, (2) Natural Gas Options, (3) Coal Swaps, (4) Coal Options, (5) Crude Oil Swaps, (6) Crude Oil Options, (7) Electricity Swaps, (8) Electricity Options, (9) (10) Natural Gas Basis Swaps, (11) Natural Gas Basis Options, (12) Emissions Swaps, (13) Middle Distillate Swaps, (14) Middle Distillate Options, (15) Gasoline Swaps, (16) Fuel Oil Swaps, (17) Fuel Oil Options, (18) Diesel Swaps, (19) Crack Spread Swaps, (20) Product Differential Swaps, (30) Options on Precious Metals, (31) IRS Precious Metals,, (32) Precious Metals Forwards (33) Wood Pulp Swaps, (34) Recycled Paper Swaps, (35) Kraftliner Swaps.

NOTICE OF LISTING OF PRODUCTS BY TRADITION SEF, INC. FOR TRADING BY CERTIFICATION

1. Tradition SEF, Inc., (“the SEF”) is making this submission pursuant to CFTC Reg. 40.2
2. The products certified by this submission are the following products: 1) Commodity swaps and all manner of commodity basis and options strategies. Commodity Swap Products: (1) Natural Gas swaps, (2) Natural Gas Options, (3) Coal Swaps, (4) Coal Options, (5) Crude Oil Swaps, (6) Crude Oil Options, (7) Electricity Swaps, (8) Electricity Options, (9) (10) Natural Gas Basis Swaps, (11) Natural Gas Basis Options, (12) Emissions Swaps, (13) Middle Distillate Swaps, (14) Middle Distillate Options, (15) Gasoline Swaps, (16) Fuel Oil Swaps, (17) Fuel Oil Options, (18) Diesel Swaps, (19) Crack Spread Swaps, (20) Product Differential Swaps, (30) Options on Precious Metals, (31) IRS Precious Metals,, (32) Precious Metals Forwards (33) Wood Pulp Swaps, (34) Recycled Paper Swaps, (35) Kraftliner Swaps.
3. The intended listing date is October 2, 2013.
4. Certain terms and conditions will be negotiated and set by the counterparties.
5. The products listed herein comply with SEF Core Principle 3, “Swaps Not Readily Susceptible to Manipulation” in that: (1) Commodity swaps and options will be based on widely accepted benchmark futures contracts, such as NYMEX WTI Crude Oil, ICE Brent crude oil, NYMEX natural gas, COMEX Gold and Silver contracts or liquid markets with physical delivery of energy products, gold, silver or other metals, or independent and verifiable benchmarks such as those offered by Platts, Dow Jones or other independent index providers. (2) The markets for these underlying commodities is sufficiently liquid to prevent them from being susceptible to manipulation. (4) The SEF’s predecessor brokers have experience in operating platforms and executing trades in these swaps. (5) The SEF will monitor trading in these swaps in conjunction with the SEF’s regulatory service provider. (6) The SEF has rules to prevent SEF participants from engaging in manipulative activity and possesses discretion to impose fines and disciplinary sanctions on its participants.

PRODUCT DESCRIPTIONS:

Please see attached Tradition SEF Product List Energy and Commodities.

CERTIFICATION PURSUANT TO CFTC REGULATION 40.2

The undersigned hereby certifies that each product described in this submission complies with the Commodity Exchange Act and the CFTC Regulations thereunder, and that concurrent with the filing of this submission with the Commission, Tradition SEF, Inc. will be posting on its website prior to 8:00 a.m. October 2, 2013 a copy of this submission and a notice of pending product certification of these products with the Commission.



By: Eric Earnhardt
Title: Chief Compliance Officer
Date: October 1, 2013