

## SUBMISSION COVER SHEET

**IMPORTANT:** Check box if Confidential Treatment is requested ☒

Registered Entity Identifier Code (optional): 23-137S

Organization: NEX SEF Limited ("NEX SEF")

Filing as a: ☐ DCM ☒ SEF ☐ DCO ☐ SDR

Please note - only ONE choice allowed.

Filing Date (mm/dd/yy): 03/13/23 Filing Description: Additional Supplemental Information Relating to NEX SEF Limited Compliance Manual and Related Trade Practice Review Program. Subject to a Freedom of Information Act Protection. Confidential Treatment Requested by NEX SEF.

### SPECIFY FILING TYPE

Please note only ONE choice allowed per Submission.

#### Organization Rules and Rule Amendments

- |                                     |                                     |            |
|-------------------------------------|-------------------------------------|------------|
| <input checked="" type="checkbox"/> | Certification                       | § 40.6(a)  |
| <input type="checkbox"/>            | Approval                            | § 40.5(a)  |
| <input type="checkbox"/>            | Notification                        | § 40.6(d)  |
| <input type="checkbox"/>            | Advance Notice of SIDCO Rule Change | § 40.10(a) |
| <input type="checkbox"/>            | SIDCO Emergency Rule Change         | § 40.10(h) |

Rule Numbers: See filing.

#### New Product

Please note only ONE product per Submission.

- |                          |                                       |            |
|--------------------------|---------------------------------------|------------|
| <input type="checkbox"/> | Certification                         | § 40.2(a)  |
| <input type="checkbox"/> | Certification Security Futures        | § 41.23(a) |
| <input type="checkbox"/> | Certification Swap Class              | § 40.2(d)  |
| <input type="checkbox"/> | Approval                              | § 40.3(a)  |
| <input type="checkbox"/> | Approval Security Futures             | § 41.23(b) |
| <input type="checkbox"/> | Novel Derivative Product Notification | § 40.12(a) |
| <input type="checkbox"/> | Swap Submission                       | § 39.5     |

#### Official Product Name:

#### Product Terms and Conditions (product related Rules and Rule Amendments)

- |                          |   |                      |
|--------------------------|---|----------------------|
| <input type="checkbox"/> | Certification   | § 40.6(a)            |
| <input type="checkbox"/> | Certification Made Available to Trade Determination     | § 40.6(a)            |
| <input type="checkbox"/> | Certification Security Futures                          | § 41.24(a)           |
| <input type="checkbox"/> | Delisting (No Open Interest)                            | § 40.6(a)            |
| <input type="checkbox"/> | Approval  | § 40.5(a)            |
| <input type="checkbox"/> | Approval Made Available to Trade Determination          | § 40.5(a)            |
| <input type="checkbox"/> | Approval Security Futures                               | § 41.24(c)           |
| <input type="checkbox"/> | Approval Amendments to enumerated agricultural products | § 40.4(a), § 40.5(a) |
| <input type="checkbox"/> | "Non-Material Agricultural Rule Change"                 | § 40.4(b)(5)         |
| <input type="checkbox"/> | Notification  | § 40.6(d)            |

Official Name(s) of Product(s) Affected:

Rule Numbers:



Christopher Bowen  
Managing Director and Chief Regulatory Counsel  
Legal Department

March 13, 2023

**VIA ELECTRONIC PORTAL**

Division of Market Oversight  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st Street, N.W.  
Washington, D.C. 20581

**Re: SUPPLEMENTAL SUBMISSION: NEX SEF Submission No. 23-137S:  
Additional Supplemental Information Relating to NEX SEF Limited  
Compliance Manual and Related Trade Practice Review Program.  
Subject to a Freedom of Information Act Protection.  
Confidential Treatment Requested by NEX SEF.**

To Whom It May Concern:

Previously, pursuant to Submission No. 23-137 dated March 13, 2023, NEX SEF Limited ("NEX SEF") notified the Commodity Futures Trading Commission ("CFTC" or "Commission") of amendments to NEX SEF Compliance Manual and related Trade Practice Review Program (collectively, the "Rule Amendments").

In this letter, NEX SEF is providing the Commission with certain additional information related to the Rule Amendments. The additional supplemental information is provided in Exhibit 1 and Exhibit 2, for which a request for confidential treatment is being simultaneously submitted to the Commission. A copy of that request for confidential treatment is included with this supplemental filing.

NEX SEF certifies that the proposal complies with the Commodity Exchange Act ("CEA") and the regulations thereunder. A concise explanation and analysis of the Amendments was provided in Submission No. 23-137. There were no substantive opposing views to this proposal.

NEX SEF certifies that a description of this submission has been concurrently posted on its website at <http://www.cmegroup.com/market-regulation/rule-filings.html>.

If you require any additional information regarding this submission, please contact the undersigned at 212-299-2200 or via email at [CMEGSubmissionInquiry@cmegroup.com](mailto:CMEGSubmissionInquiry@cmegroup.com).

Sincerely,

/s/ Christopher Bowen  
Managing Director and Chief Regulatory Counsel

Attachments: Exhibit 1 - NEX SEF Compliance Manual (Form SEF Exhibit O) (blackline) (Confidential Treatment Requested)  
Exhibit 2 - NEX SEF Trade Practice Program (Form SEF Exhibit O3 (blackline) (Confidential Treatment Requested)

**EXHIBIT 1 AND EXHIBIT 2**

**(CONFIDENTIAL TREATMENT REQUESTED)**

**[REDACTED]**