

Rule Self-Certification

September 24, 2013

Office of the Secretary
Commodity Futures Trading Commission
Three Lafayette Center
1155 21st Street, NW
Washington, DC 20581

Re: Regulatory Services Agreement
Reference File SR-NFX-2013-19

Ladies and Gentlemen:

Pursuant to Section 5c(c)(1) of the Commodity Exchange Act, as amended (“Act”), and §40.6 of the regulations promulgated by the Commodity Futures Trading Commission under the Act, NASDAQ OMX Futures Exchange, Inc. (“Exchange”) is amending certain schedules which are part of its Amended Regulatory Services Agreement (“RSA”) between the Exchange and the National Futures Association (“NFA”). The effective date of amended Schedules A and B will be October 9, 2013.

On October 12, 2005, the Exchange entered into an RSA with NFA. At this time, the parties are amending Schedule A, entitled “Scope of Regulatory Services,” and Schedule B, entitled, “Fee Schedule for Regulatory Services,” of the RSA. The amendments to Schedules A and B of the RSA update the existing RSA with NFA under which NFA performs various surveillance, investigative and regulatory functions for the Exchange. Consistent with the requirements under Core Principle 2, the RSA includes surveillance and regulatory service provisions as well as provisions that enable the Exchange to supervise and conduct periodic reviews of the quality, adequacy and effectiveness of the regulatory services provided by NFA to the Exchange. The amendments to Schedule A reflect amendments intended to provide more clarity and specificity to the Scope of the Regulatory Services that are provided to the Exchange. Further, the amendments remove certain specific information from Schedule A and relocate those provisions into procedures prepared by NFA and provided to the Exchange. The amendments to Schedule B solely reflect cross-reference amendments to Schedule A. Revised Schedules A and B are attached at Exhibit A.

- *Compliance with Rules:* Trading is subject to the Rules at Chapter III of the Exchange’s Rulebook, which includes prohibitions against fraudulent, noncompetitive, unfair and abusive practices. Additionally, trading is subject to the trading procedures and standards in Chapter V of the Rulebook. Trading activity is subject to extensive monitoring and surveillance by the Exchange’s

regulatory group in conjunction with NFA pursuant to the provisions of a Regulatory Services Agreement. Additionally, the Exchange has the authority to exercise its investigatory and enforcement power where potential rule violations are identified. The Exchange's disciplinary rules are contained in Chapter VI of the Rulebook, which permits the Exchange to discipline, suspend or expel Futures Participants or market participants that violate the rules.

There were no opposing views among the Exchange's Board of Directors, members or market participants. The Exchange hereby certifies that the amendments to Schedules A and B of the RSA comply with the Commodity Exchange Act and regulations thereunder. The Exchange also certifies that notice of pending certification and a copy of this submission have been concurrently posted on the Exchange's website at <http://www.nasdaqtrader.com/Micro.aspx?id=NFX>.

Regards,



Daniel R. Carrigan
President

cc: Mr. J. Goodwin
National Futures Association
The Options Clearing Corporation