

tpSEF Inc. (“Applicant”)
U.S. COMMODITY FUTURES TRADING COMMISSION
FORM SEF
APPLICATION FOR REGISTRATION AS A SWAP EXECUTION FACILITY

**SWAP EXECUTION FACILITY
APPLICATION OR AMENDMENT TO APPLICATION FOR REGISTRATION**

EXACT NAME OF APPLICANT AS SPECIFIED IN CHARTER: [tpSEF Inc.](#)

ADDRESS OF PRINCIPAL EXECUTIVE OFFICES: [101 Hudson Street, Jersey City, NJ 07302](#)

- If this is an APPLICATION for registration, complete in full and check here
- If this is an AMENDMENT to an application, or to an existing order of registration, list all items that are amended and check here

GENERAL INFORMATION

1. **Name under which the business of the swap execution facility is or will be conducted, if different than name specified above (include acronyms, if any):**

[N/A](#)

2. **If name of swap execution facility is being amended, state previous swap execution facility name:**

[N/A](#)

3. **Contact information including, mailing address if different than address specified above:**

Fax: [201 557-5973](#)

Phone: [201 557-5000](#)

Website URL E-mail Address: [www.tullettprebon.com](#)

4. **List of principal office(s) and address(es) where swap execution facility activities are/will be conducted:**

Office Address: [101 Hudson Street, Jersey City, NJ 07302](#)

Office Address: [199 Water Street, New York, NY 10038](#)

Office Address: [Tower 42, Level 37, 25 Old Broad Street, London, United Kingdom EC2N 1HQ](#)

Office Address: [4th Floor Akasaka Tameike Tower, 2-17-7 Akasaka, Minato-ku Tower, Tokyo 107-0052, Japan](#)

5. **If the Applicant is a successor to a previously registered swap execution facility, please complete the following:**

a. Date of succession: [N/A](#)

b. Full name and address of predecessor registrant: [N/A](#)

BUSINESS ORGANIZATION

6. **Applicant is a:**

- Corporation
- Partnership
- Limited Liability Company
- Other form of organization (specify)

7. **The date of incorporation or formation:** [January 8, 2013](#)

8. **The State of incorporation or formation:** [DE](#)

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9. Applicant agrees and consents that the notice of any proceeding before the Commission in connection with its application for registration as a swap execution facility may be given by sending such notice by certified mail or confirmed telegram to the officer specified or person named below at the address given.

Print Name and Title: Brian Donnelly, Chief Compliance Officer

Name of Applicant: tpSEF Inc.

Number and Street: 101 Hudson Street

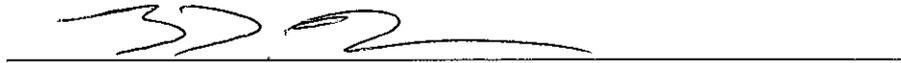
City State Zip Code: Jersey City, NJ 07302

SIGNATURES

10. The Applicant has duly caused this application or amendment to be signed on its behalf by the undersigned, hereunto duly authorized, this 23th day of August, 2013. The Applicant and the undersigned represent hereby that all information contained herein is true, current and complete. It is understood that all required items and Exhibits are considered integral parts of this Form SEF and that the submission of any amendment represents that all unamended items and Exhibits remain true, current, and complete as previously filed.

tpSEF Inc.

Name of Applicant



Manual signature of Duly Authorized Person

Brian D. Donnelly, Chief Compliance Officer

Print Name and Title of Signatory