

tpSEF Inc.

101 Hudson Street  
Jersey City  
NJ 07302  
USA

tel +1 201 557 5000

fax +1 201 557 5995

web [www.tullettprebon.com](http://www.tullettprebon.com)

February 4, 2020

**Submitted via the CFTC Portal**

Mr. Christopher J. Kirkpatrick  
Secretary of the Commission  
Office of the Secretariat  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21<sup>st</sup> Street, N.W.  
Washington, D.C. 20581

Re: *tpSEF Inc. – Regulation 40.6(a) Rule Certification – Notification of Amendments to tpSEF Fee Schedule (tpSEF Submission #20-01F)*

To Whom It May Concern:

Pursuant to Section 5c(c) of the Commodity Exchange Act, as amended (the “Act”), and Section 40.6(a) of the regulations of the Commodity Futures Trading Commission (the “Commission”), tpSEF Inc. (“tpSEF”), a registered swap execution facility, hereby notifies the Commission that it wishes to amend its fee schedule (“Fee Schedule”) as described in Exhibit A. The amended Fee Schedule will become effective on February 20, 2020.

Pursuant to Commission Regulation 40.6, this submission includes:

- (i) A concise explanation and analysis of the amended Fee Schedule and its compliance with applicable provisions of the Act, attached as Exhibit A;
- (ii) A clean copy of the amended Fee Schedule, attached as Exhibit B; and
- (iii) A copy of the amended Fee Schedule marked to show changes to the version currently in effect (the “Marked Fee Schedule”), attached as Exhibit C.

tpSEF hereby certifies that (i) the amendment complies with the requirements of the Act and Commission regulations thereunder, and (ii) a notice and copy of this submission is being concurrently posted on tpSEF’s website. tpSEF is not aware of any substantive opposing views expressed with respect to this filing.

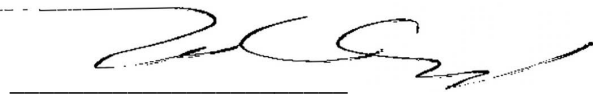
Mr. Christopher J. Kirkpatrick  
February 4, 2020  
Page 2

tpSEF is separately filing with the Assistant Secretary of the Commission for FOI, Privacy and Sunshine Acts Compliance, pursuant to Commission Regulation 145.9, a petition for confidential treatment of (i) the amended Fee Schedule attached as Exhibit B, (ii) the Marked Fee Schedule attached as Exhibit C and (iii) the explanation and analysis of the amendments to the Fee Schedule attached as Exhibit A. A copy of the FOIA Confidential Treatment Request is included with this submission.

Please contact Brian D. Donnelly, Chief Compliance Officer, at (201) 984-6956 or by email at [bddonnelly@tullettprebon.com](mailto:bddonnelly@tullettprebon.com) with any questions regarding this matter.

Very truly yours,

tpSEF Inc.

By: 

Name: Brian Donnelly

Title: Chief Compliance Officer

Date: February 4, 2020

Enclosures

cc: CFTC Division of Market Oversight ([dmosubmissions@cftc.gov](mailto:dmosubmissions@cftc.gov))  
Nancy Markowitz, CFTC ([nmarkowitz@cftc.gov](mailto:nmarkowitz@cftc.gov))

Mr. Christopher J. Kirkpatrick  
February 4, 2020  
Page 3

**EXHIBIT A**

Explanation of Amendments to tpSEF Fee Schedule

*[FOIA Confidential Treatment Requested]*

Mr. Christopher J. Kirkpatrick  
February 4, 2020  
Page 4

**EXHIBIT B**

Amended tpSEF Fee Schedule

*[FOIA Confidential Treatment Requested]*

Mr. Christopher J. Kirkpatrick  
February 4, 2020  
Page 5

**EXHIBIT C**

Marked Copy of Amended tpSEF Fee Schedule

*[FOIA Confidential Treatment Requested]*