

March 23, 2023

**Submitted via CFTC Portal**

Mr. Christopher J. Kirkpatrick  
Office of the Secretariat  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st 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 #23-04R)*

Dear Mr. Kirkpatrick:

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 April 6, 2023.

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 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.

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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 D. Donnelly

Title: Chief Compliance Officer

Date: March 23, 2023

Enclosures

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

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**EXHIBIT A**

Explanation of Amendments to tpSEF Fee Schedule

*[FOIA Confidential Treatment Requested]*

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**EXHIBIT B**

Amended tpSEF Fee Schedule

*[FOIA Confidential Treatment Requested]*

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**EXHIBIT C**

Marked Version of Amended tpSEF Fee Schedule

*[FOIA Confidential Treatment Requested]*