

SUBMISSION COVER SHEET

IMPORTANT: Check box if Confidential Treatment is requested

Registered Entity Identifier Code (optional): 22-202

Organization: NEX SEF Limited ("NEX SEF")

Filing as a: DCM SEF DCO SDR

Please note - only ONE choice allowed.

Filing Date (mm/dd/yy): 05/04/22 Filing Description: Revisions to NEX SEF Limited Form SEF Exhibits to Reflect Changes to the Board of Directors and Officer Composition and, Administrative Amendments NEX/CME Group integration and minor edits to the Compliance Manual.

SPECIFY FILING TYPE

Please note only ONE choice allowed per Submission.

Organization Rules and Rule Amendments

- Certification § 40.6(a)
- Approval § 40.5(a)
- Notification § 40.6(d)
- Advance Notice of SIDCO Rule Change § 40.10(a)
- SIDCO Emergency Rule Change § 40.10(h)

Rule Numbers: See filing.

New Product

Please note only ONE product per Submission.

- Certification § 40.2(a)
- Certification Security Futures § 41.23(a)
- Certification Swap Class § 40.2(d)
- Approval § 40.3(a)
- Approval Security Futures § 41.23(b)
- Novel Derivative Product Notification § 40.12(a)
- Swap Submission § 39.5

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

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

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

Rule Numbers:

May 4, 2022

VIA ELECTRONIC 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: CFTC Regulation 40.6(a) Certification. Amendments to NEX SEF Limited Form SEF Exhibits to Reflect Changes to the NEX SEF Board of Directors and Officer Composition and Administrative Amendments to the Compliance Manual.
NEX SEF Submission No. 22-202**

Dear Mr. Kirkpatrick:

Pursuant to Commodity Futures Trading Commission (“CFTC” or “Commission”) Regulation 40.6(a), NEX SEF Limited (“NEX SEF”) hereby certifies to the Commodity Futures Trading Commission (“CFTC” or “Commission” amendments to NEX SEF For SEF Exhibits to reflect changes to the NEX SEF Board of Directors (“Board”) and Officers and administrative amendments to the Compliance Manual effective on May 19, 2022 (collectively, the “Rule Amendments”) as outlined below.

Specifically, NEX SEF is amending:

1. Exhibits B1, E and F a to reflect changes to Board and officers, consistent with the Chief Compliance Officer notification submitted to the CFTC on April 5, 2022.
2. Exhibit C to replace references to NEX Group with CME Group.
3. Exhibit O to remove certain Financial Conduct Authority (“FCA”) procedural requirements as those are outlined separately in EMEA and APAC Compliance Manuals.

NEX SEF reviewed the Swap Execution Facility core principles (“Core Principles”) as set forth in the Commodity Exchange Act (“CEA” or “Act”) and identified that the Rule Amendments may have some bearing on Core Principles:

- **Core Principle 2 – Compliance with Rules:** As a result of the changes to the composition to the Board and other similar changes, the Rule Amendments are being implemented to remain in satisfaction of this Core Principle.

Pursuant to Section 5c(c) of the Commodity Exchange Act (the “Act”) and Regulations **37.3(b)3** and 40.6(a), NEX SEF hereby certifies that the Rule Amendments comply with the Act, as amended, and the Commission’s regulations thereunder. There were no substantive opposing views to this proposal.

Pursuant to Commission Regulation 37.3(b)(3), once a SEF is registered as such with the Commission, any amendments to Form SEF must be filed as a submission under part 40 of the Commission’s regulations or as otherwise specified by the Commission.¹ The Rule Amendments serve to amend previous NEX SEF submissions.

¹ See 78 Fed. Reg. 33476, at 33485 (June 4, 2013).

NEX SEF certifies that 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 212-521-4609 or via email at CMEGSubmissionInquiry@cmegroup.com.

Sincerely,

/s/ Christopher Bowen
Managing Director and Chief Regulatory Counsel

Attachments:

1. Exhibit B1 – Listing of Officers and Directors
2. Exhibit C – Fitness standards
3. Exhibit E – Personnel Qualifications for Professional Employees
4. Exhibit F – Staffing Requirements
5. Exhibit O – Compliance Manual

Exhibits 1, 2, 3, 4 and 5

(CONFIDENTIAL TREATMENT REQUESTED)

(ATTACHED UNDER SEPARATE COVER)