



Via Portal Submission

July 2, 2015

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

Re: OneChicago, LLC Rule Submission
Amending OCX Rule 712 (Respondent Review of Evidence)
(OCX Submission Number 15-008)

Dear Mr. Kirkpatrick:

Pursuant to section 5c(c)(1) of the Commodity Exchange Act, as amended (the “Act”), and § 40.6(a) of the regulations promulgated by the Commodity Futures Trading Commission (“CFTC” or the “Commission”) under the Act, OneChicago, LLC (“OneChicago,” “OCX,” or the “Exchange”) hereby submits the following rule amendment, which will become effective on July 21, 2015.

OneChicago is proposing to amend OCX Rule 712 (Respondent Review of Evidence). OCX Rule 712 generally describes a respondent’s right to review evidence used by the Exchange to support the allegations in a notice of charges against the respondent in advance of a disciplinary hearing. OneChicago is proposing to insert new subparagraph (d) into Rule 712. Proposed subparagraph (d) will provide that parties to a disciplinary hearing shall furnish to each of the other parties exhibit and witness lists not less than ten days in advance of a hearing date. The text of amended OCX Rule 712 is enclosed as Attachment A.

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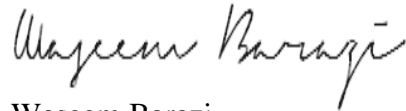
The purpose and effect of the rule amendment is to ensure that parties to an OCX disciplinary hearing are provided with adequate notice of the exhibits and witnesses each of the other parties to the hearing plans to introduce. Comments on this rule amendment have not been solicited and none have been received. OneChicago is not aware of any substantive opposing views to this rule amendment. OneChicago certifies that the rule amendment complies with the Act, including the core principles, and the Commission’s regulations promulgated thereunder. OneChicago further certifies that a copy of this submission has been posted on the [OneChicago website](#).

OneChicago staff has reviewed the core principles applicable to designated contract markets (“DCMs”), and has concluded that the proposed rule amendment may have some bearing upon the following core principles:

Core Principle 13: Core Principle 13 requires that a DCM establish and enforce disciplinary procedures that authorize the DCM to discipline, suspend or expel market participants that violate the rules of the DCM. The proposed rule change supports Core Principle 13 in that it establishes procedures for exchanging exhibit and witness lists in advance of a disciplinary hearing.

If you have any questions or comments related to this filing, please feel free to contact me by telephone at (312) 883-3441 or through e-mail at wbarazi@onechicago.com.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Waseem Barazi". The signature is fluid and cursive, written in a professional style.

Waseem Barazi
Chief Regulatory Officer and Associate General Counsel

Encl: Attachment A

Attachment A

712. Respondent Review of Evidence.

(a) Prior to the commencement of a hearing, each respondent will be given the opportunity to review all books, records, documents, papers, transcripts of testimony and other tangible evidence in the possession or under the control of the Exchange that the Department will use to support the allegations and proposed sanctions in the notice of charges or which the chairman of the Disciplinary Panel deems relevant to the disciplinary proceedings. Notwithstanding the foregoing, no respondent will have the right to review, and the Exchange will have no obligation to disclose, any information protected by attorney-client privilege, any documents that were prepared by an Exchange employee but will not be entered into evidence in the disciplinary proceedings, any documents that may disclose techniques or guidelines used in examinations, investigations or enforcement proceedings or any documents that reveal a confidential source.

(b) If any books, records, documents, papers, transcripts of testimony, or other tangible evidence contain information that could adversely affect the competitive position of the Person providing the information or if such information might compromise other investigations being conducted by the Department, the Department may redact, edit or code such information before furnishing it to the respondent.

(c) Notwithstanding anything in paragraph (b) above to the contrary, the Department:

(i) Will not redact, edit or code competitive or investigative information contained in documents in a manner that would impair the respondent's ability to defend against the allegations or proposed sanctions in the notices of charges, and

(ii) Will provide the respondent with access to the information and portions of the documents that the Department intends to rely on to support the allegations or proposed sanctions in the notice of charges.

(d) Not less than ten days in advance of a scheduled hearing date, each party to the hearing shall furnish to each of the other parties copies of all exhibits and a list of the names of all witnesses such party intends to present at the hearing.

~~(d)~~(e) For purposes of this Rule 712, information that could adversely affect competitive positions include positions in Contracts currently held, trading strategies employed in establishing or liquidating positions, the identity of any Member or Access Person and the personal finances of the Person providing the information.