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June 30, 2021

**BY ELECTRONIC SUBMISSION**

Christopher J. Kirkpatrick

Office of the Secretariat

U.S. Commodity Futures Trading Commission

Three Lafayette Centre

1155 21st Street, N.W.

Washington, D.C. 20581

**Re: SwapEx CFTC Submission 03-21: Notification Pursuant to Commission Rule 40.6(d) – Weekly Notification of Rule Amendments**

Dear Mr. Kirkpatrick:

Pursuant to Section 40.6(d) of the regulations of the Commodity Futures Trading Commission (the “CFTC” or “Commission”), SwapEx, LLC (“SwapEx”, or the “Company”) hereby notifies the Commission that it has amended its Rulebook effective during the week of June 28, 2021.

Effective Wednesday June 30, 2021, SwapEx made a non-substantive clarification change to Rule 513(c) of its Rulebook. The marketplace was alerted of the change via SwapEx Advisory Notice 01-2021, which is attached hereto as Exhibit A.

If you have questions, please contact the undersigned at (212) 259-3126 or [KAAluise@statestreet.com](mailto:KAAluise@statestreet.com).

Sincerely,

Karen A Aluise

Karen A. Aluise

Chief Compliance Officer

Attachment: Exhibit A – SwapEx Advisory Notice 01-21

EXHIBIT A



June 28, 2021

To: SwapEx Participants

From: SwapEx, LLC

Re: Advisory Notice 01-2021 – Amendment to Rule 513(c) relating to Post-Trade Anonymity

Effective Wednesday June 30, 2021, SwapEx, LLC will adopt a change to its Rulebook to clarify the scope of Rule 513(c) relating to post-trade anonymity as indicated below:

***Rule 513. Disclosing Orders and Requests for Quotes Prohibited; Post-Trade Anonymity***

*…*

*(c) No Person ~~subject to the Company’s jurisdiction~~ shall disclose, directly or indirectly, including through a third-party service provider, the identity of a counterparty for Swaps that are intended to be cleared and are* *executed, pre-arranged or pre-negotiated anonymously on or pursuant Rules.*

This update will more closely align with the requirements of Commodity Futures Trading Regulation 37.9(f) by clarifying that Rule 513(c) applies (i) to the SwapEx SEF as well as person’s subject to its jurisdiction and (2) applies only with respect to swaps that are intended to be cleared.