

November 5, 2020

**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: DW SEF LLC – Adoption of Rule 419 (Post-Trade Name Give-Ups)

Dear Mr. Kirkpatrick:

Pursuant to Section 5c(c) of the Commodity Exchange Act (the “Act”) and Section 40.6(a) of the regulations of the Commodity Futures Trading Commission (the “Commission”), DW SEF LLC (“DW SEF”) hereby submits amendments to its Rulebook related to the above-captioned Rules. The Rulebook has been amended to reflect newly adopted Rule 419 in order to implement certain requirements prohibiting post-trade name give-up for swaps executed, pre-arranged, or pre-negotiated anonymously on or pursuant to the rules of a swap execution facility (SEF) and intended to be cleared respect to *Post-Trade Name Give-Up on Swap Execution Facilities (17 CFR Part 37 (July 24, 2020))* (“Post Name Give-Up Rule”). In accordance with the Post Name Give-Up Rule, the amendment only pertains to swaps with a November 1, 2020 compliance date and DW SEF will file a subsequent rule amendment with respect to swaps subject to the July 5, 2021 compliance date. The amendment will become effective on November 19, 2020, no fewer than ten business days from the date hereof. In connection with this submission, DW SEF hereby notifies the Commission that:

1. DW SEF certifies that it has posted a notice of this pending certification with the Commission and a copy of this submission on DW SEF’s website, including a redline of the updates to the Rulebook, which is attached here to as Attachment A, and a copy of Rule 419, which is attached here to as Attachment B;
2. DW SEF certifies that the Rules comply with the Act and the Commission’s regulations thereunder; and
3. No substantive opposing views with respect to the Rules were expressed to DW SEF by its governing board or committee members, members of DW SEF or market participants.

Should you have questions regarding this submission, please contact the undersigned at (646) 560-7223 or at [Gregory.compa@tradeweb.com](mailto:Gregory.compa@tradeweb.com).

Very truly yours,

A handwritten signature in blue ink, appearing to read "Gregory Compa". The signature is stylized and cursive.

Gregory Compa  
Chief Compliance Officer

cc: Dorothy D. DeWitt, Division of Market Oversight

**ATTACHMENT A**

Redline Version of Rule 419

**ATTACHMENT B**

Newly Adopted Rule 419