

Effective Date: ~~3.29.19~~11.9.20

DW SEF LLC

SWAP EXECUTION FACILITY

RULES

- (e) Each Participant shall notify the Market Regulation Team promptly upon becoming aware of:
 - (i) any unauthorized disclosure or use of any User ID assigned to such Participant or any of its Authorized Users or Trading Customers and of any other reason for deactivating a User ID assigned to such Participant or any of its Authorized Users or Trading Customers;
 - (ii) any unauthorized disclosure or use of any User ID assigned to an Authorized User of such Participant and of any other reason for deactivating a User ID assigned to an Authorized User of such Participant;
 - (iii) any unauthorized access to the SEF by any Person using a User ID assigned to such Participant or any of its Authorized Users; or
 - (iv) any unauthorized access to the SEF by any Person using a User ID assigned to an Authorized User of such Participant.

416. Designated Contact

Each Participant shall (a) identify in writing to the Company one or more Designated Contacts as the Company may determine, and (b) ensure that at least one of its Designated Contacts is available by telephone at any time one of its Authorized Users is accessing the SEF.

417. Message Traffic

The Company may at any time restrict or establish utilization fees in respect of Message Traffic, either with respect to all or any Participants, Authorized Users and/or Trading Customers in order to safeguard the security or operations of the SEF, or to preserve market integrity, fair and orderly trading, or if otherwise in the public interest.

418. [Reserved]

419. Post-Trade Name Give-Ups

For all Required Transactions, no Person shall directly or indirectly, including through a third-party service provider, disclose the identity of a counterparty to a Swap that is executed anonymously and intended to be cleared; provided that, if the Swap (or Swap component(s) of a Package Transaction) is not intended to be cleared, disclosing the identity of a counterparty shall not violate this Rule 419. For purposes of this Rule 419 "executed anonymously" shall include any swap that is pre-arranged or pre-negotiated anonymously, including by any Participant.