

SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional)

Date: December 5, 2017

IMPORTANT: CHECK BOX IF CONFIDENTIAL TREATMENT IS REQUESTED. ☐

ORGANIZATION

ICE Trade Vault, LLC

FILING AS A: ☐ DCM ☐ SEF ☐ DCO ☒ SDR ☐ ECM/SPDC

TYPE OF FILING

• Rules and Rule Amendments

☒ Certification under § 40.6 (a) or § 41.24 (a)

☐ “Non-Material Agricultural Rule Change” under § 40.4 (b)(5)

☐ Notification under § 40.6 (d)

☐ Request for Approval under § 40.4 (a) or § 40.5 (a)

☐ Advance Notice of SIDCO Rule Change under § 40.10 (a)

• Products

☐ Certification under § 39.5(b), § 40.2 (a), or § 41.23 (a)

☐ Swap Class Certification under § 40.2 (d)

☐ Request for Approval under § 40.3 (a)

☐ Novel Derivative Product Notification under § 40.12 (a)

RULE NUMBERS

ICE Trade Vault, LLC Rulebook, Trusted Sources Agreement and Participant Agreement

DESCRIPTION

ICE Trade Vault, LLC has amended the ICE Trade Vault Participant Agreement, Trusted Sources Agreement and Rulebook to revise certain provisions related to creating and managing user IDs for use of the ICE Trade Vault API connectivity. In addition, the ICE Trade Vault Trusted Sources Agreement and Participant Agreement have been updated to make conforming changes due to updates related to the Office of Foreign Asset Control regulations. This amended Rulebook, Trusted Sources and Participant Agreement are scheduled to be effective on December 19, 2017.

