

tpSEF Inc.

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December 7, 2021

FOIA CONFIDENTIAL TREATMENT REQUEST

Sent via email to FOIAsubmissions@cftc.gov

Assistant Secretary of the CFTC for FOI,
Privacy and Sunshine Acts Compliance
U.S. Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, N.W.
Washington, D.C. 20581

Re: Freedom of Information Act (“FOIA”) Confidential Treatment Request for Information Submitted to the CFTC by tpSEF Inc.

Dear Assistant Secretary:

tpSEF Inc. (“tpSEF”), a swap execution facility registered with the Commodity Futures Trading Commission (“CFTC”), today submitted to the CFTC’s Division of Market Oversight a rule certification pursuant to CFTC Regulation 40.6 (the “tpSEF Submission” or “tpSEF Submission 21-16R”). The tpSEF Submission was submitted via the CFTC Portal.

tpSEF hereby requests, pursuant to CFTC Regulation 145.9, that Confidential Exhibit D, Confidential Exhibit E, and Confidential Exhibit F of the tpSEF Submission (the “Confidential Documents”) be accorded confidential treatment on the grounds that disclosure would reveal confidential commercial and financial information and would be of material assistance to competitors of tpSEF. Our specification of these grounds for confidential treatment shall not preclude us from identifying additional grounds for confidential treatment at a later time. Each page of the Confidential Documents has been labeled “Confidential Treatment Requested by tpSEF Inc.” and numbered as provided on Schedule A attached hereto.

Additionally, tpSEF requests FOIA confidential treatment of any notes, memoranda or other records created by or at the direction of the CFTC, its officers or staff members, that reflect, refer or relate to the Confidential Documents (the “Confidential Records”, and together with the Confidential Documents, the “Confidential Information”).

This request for FOIA confidential treatment is sought for as long as the CFTC remains in control and/or possession of any Confidential Information.

We request that if the CFTC receives a FOIA request for any Confidential Information, tpSEF will be notified of such request in accordance with the CFTC's regulations and have the opportunity to submit a written justification for confidential treatment of the Confidential Information.

In the event the CFTC or its staff provides any of the Confidential Information to another federal agency, we request that the CFTC provide a copy of this letter to such agency with the Confidential Information and further request that the CFTC or its staff inform such agency that tpSEF has requested that this material be accorded confidential treatment.

Please promptly inform Mr. Brian Donnelly, Chief Compliance Officer, tpSEF Inc. at (201) 984-6956, or by email at bddonnelly@tullettprebon.com, of any request under FOIA seeking access to the Confidential Information to enable tpSEF to further substantiate the grounds for confidential treatment. Thank you for your attention to this matter.

Very truly yours,

tpSEF Inc.


By: _____

Name: Brian D. Donnelly

Title: Chief Compliance Officer

Date: December 7, 2021

Enclosure

cc: CFTC Division of Market Oversight (dmosubmissions@cftc.gov)
Nancy Markowitz, CFTC (nmarkowitz@cftc.gov)

**SCHEDULE A
CONFIDENTIAL INFORMATION**

Document Subject to Request for Confidential Treatment Pursuant to §145.9
TpSEF Submission 21-16R – Exhibit D
TpSEF Submission 21-16R – Exhibit E
TpSEF Submission 21-16R – Exhibit F