

SUBMISSION COVER SHEET

IMPORTANT: Check box if Confidential Treatment is requested

Registered Entity Identifier Code (optional): 20-524

Organization: NEX SEF LIMITED ("NEX SEF")

Filing as a: DCM SEF DCO SDR

Please note - only ONE choice allowed.

Filing Date (mm/dd/yy): 12/14/20 **Filing Description:** Conforming Amendments to NEX SEF Limited Form SEF to Reflect Revisions to the NEX SEF Board of Directors

Composition

SPECIFY FILING TYPE

Please note only ONE choice allowed per Submission.

Organization Rules and Rule Amendments

- | | | |
|-------------------------------------|-------------------------------------|------------|
| <input checked="" type="checkbox"/> | Certification | § 40.6(a) |
| <input type="checkbox"/> | Approval | § 40.5(a) |
| <input type="checkbox"/> | Notification | § 40.6(d) |
| <input type="checkbox"/> | Advance Notice of SIDCO Rule Change | § 40.10(a) |
| <input type="checkbox"/> | SIDCO Emergency Rule Change | § 40.10(h) |

Rule Numbers: N/A

New Product

Please note only ONE product per Submission.

- | | | |
|--------------------------|---------------------------------------|------------|
| <input type="checkbox"/> | Certification | § 40.2(a) |
| <input type="checkbox"/> | Certification Security Futures | § 41.23(a) |
| <input type="checkbox"/> | Certification Swap Class | § 40.2(d) |
| <input type="checkbox"/> | Approval | § 40.3(a) |
| <input type="checkbox"/> | Approval Security Futures | § 41.23(b) |
| <input type="checkbox"/> | Novel Derivative Product Notification | § 40.12(a) |
| <input type="checkbox"/> | Swap Submission | § 39.5 |

Official Product Name:

Product Terms and Conditions (product related Rules and Rule Amendments)

- | | | |
|--------------------------|---------------------------------------------------------|----------------------|
| <input type="checkbox"/> | Certification | § 40.6(a) |
| <input type="checkbox"/> | Certification Made Available to Trade Determination | § 40.6(a) |
| <input type="checkbox"/> | Certification Security Futures | § 41.24(a) |
| <input type="checkbox"/> | Delisting (No Open Interest) | § 40.6(a) |
| <input type="checkbox"/> | Approval | § 40.5(a) |
| <input type="checkbox"/> | Approval Made Available to Trade Determination | § 40.5(a) |
| <input type="checkbox"/> | Approval Security Futures | § 41.24(c) |
| <input type="checkbox"/> | Approval Amendments to enumerated agricultural products | § 40.4(a), § 40.5(a) |
| <input type="checkbox"/> | “Non-Material Agricultural Rule Change” | § 40.4(b)(5) |
| <input type="checkbox"/> | Notification | § 40.6(d) |

Official Name(s) of Product(s) Affected:

Rule Numbers:



Christopher Bowen
Managing Director and Chief Regulatory Counsel
Legal Department

December 14, 2020

VIA ELECTRONIC 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: CFTC Regulation 40.6(a) Certification. Conforming Amendments to NEX SEF Limited Form SEF to Reflect Revisions to the NEX SEF Board of Directors Composition.
NEX SEF Submission No. 20-524**

Dear Mr. Kirkpatrick:

Pursuant to Commodity Futures Trading Commission (“CFTC” or “Commission”) Regulation 40.6(a), NEX SEF Limited (“NEX SEF”) certifies to the Commission amendments to certain exhibits of its Form SEF to reflect changes to composition of the NEX SEF’s Board of Directors as more specifically described below (collectively, the Rule Amendments”) effective on December 30, 2020.

The following exhibits to the NEX SEF Form SEF shall be amended:

1. Exhibit B1 – SEF Officers, Directors and Committee Members;
2. Exhibit C – Fitness Standards; and
3. Exhibit G3 – Governance Policy.

NEX SEF reviewed the swap execution facility core principles (“Core Principles”) as set forth in the Commodity Exchange Act (“CEA” or Act”) and identified that the following Core Principles may be impacted by the Rule Amendments:

- **SEF Core Principle 2 – Compliance with Rules:** As a result of the changes to the composition to the NEX SEF Board of Directors, the Rule Amendments are being implemented to remain in satisfaction of this Core Principle.

Pursuant to Section 5c(c) of the Act and CFTC Regulation 40.6(a), NEX SEF hereby certifies that the Rule Amendments comply with the Act and the Commission’s regulations thereunder. There were no substantive opposing views to this proposal.

NEX SEF certifies that this submission has been concurrently posted on its websites at <http://www.cmegroup.com/market-regulation/rule-filings.html> and nexsef.com. If you require any additional information regarding this submission, please contact the undersigned at 212-299-2000 or via email at CMEGSubmissionInquiry@cmegroup.com.

Sincerely,

/s/ Christopher Bowen
Managing Director and Chief Regulatory Counsel

Attachments: Appendix A: Exhibit B1 – SEF Officers, Directors and Committee Members
Appendix B: Exhibit C – Fitness Standards
Appendix C: Exhibit G3 – Governance Policy

APPENDICES A, B and C

(CONFIDENTIAL TREATMENT REQUESTED)

(under separate cover)