

SUBMISSION COVER SHEET

IMPORTANT: Check box if Confidential Treatment is requested

Registered Entity Identifier Code (optional): _____

Organization: RTX Fintech & Research LLC

Filing as a: DCM SEF DCO SDR Please note - only ONE choice allowed.

Filing Date (mm/dd/yy): 11/07/23 Filing Description:

Liquidity-provider program

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: _____

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(b) |
| <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: USD interest-rate swaps

Rule Numbers: Rule 310 (Liquidity Provider Programs)

RTX FINTECH & RESEARCH LLC

Swap Execution Facility

RTX Fintech & Research LLC, 90 Broad St, Ste 402, New York, NY 10004

By Upload to CFTC Portal

Christopher J. Kirkpatrick
Secretary of the Commission
Commodity Futures Trading Commission

November 7, 2023

Self-Certification of Rule Under § 40.6(a): Liquidity-Provider Program (“23_LP01”)

Dear Secretary Kirkpatrick:

RTX Fintech & Research LLC (RTX SEF) intends to implement a liquidity-provider program under 17 CFR § 40.6(a) on November 22, 2023. Under RTX SEF’s rulebook, RTX SEF intends to implement this program under Rule 310 (entitled “Liquidity Provider Programs”). The program’s name is “23_LP01.”

Attachment A contains the program text; *Attachment B*, a copy of RTX SEF’s request for confidential treatment.

Below is the concise explanation and analysis that the Commission requires under § 40.6(a)(7)(v). The program applies to RTX SEF’s electronic and voice markets for USD interest-rate swaps. Its purpose is to provide liquidity and promote trading in those markets. This program is open to all RTX SEF’s Participants.

In operation, RTX SEF will administer a process for enrollment. To enroll, Participants will indicate their interest in the program and execute any program-related paperwork.

Once enrolled in the program, Participants will have certain obligations. If they satisfy those obligations, they will get certain benefits. Both the program’s obligations and benefits are in the program text (Attachment A). This incentive

structure will produce more orderly markets because it will increase liquidity and trading within them.

The program complies with both the Commodity Exchange Act (Act) and the Commission's regulations. Specifically, it complies with Core Principle 2 (Compliance with Rules) and § 37.202 because it adheres to open-access principles and promotes a fair, transparent platform. It also aligns with Core Principle 13 (Financial Resources) because increased trading on RTX SEF will generate more revenue and thus enhance our ability to maintain adequate financial resources.

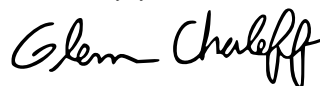
No one has expressed any substantive opposing views to the rule amendment that RTX SEF has not incorporated into the rule.

Finally, on behalf of RTX SEF, I certify the following:

1. RTX SEF has posted on its website a notice of pending certification with the Commission and a copy of this submission (redacted).
2. The rule complies with the Act and the Commission's regulations.

If you have any questions about this submission, please contact me.

Sincerely yours,



Glenn Chaleff

Chief Compliance Officer

glenn@rtxfintech.com | (917) 694-4856

Attachment A

Program Text for Liquidity-Provider Program 23_LP01

CONTENTS INTENTIONALLY LEFT BLANK:

This attachment is subject to a request for confidential treatment.

Attachment B

Request for Confidential Treatment

RTX FINTECH & RESEARCH LLC

Swap Execution Facility

RTX Fintech & Research LLC, 90 Broad St, Ste 402, New York, NY 10004

By Email

Assistant Secretary of the Commission
for FOI, Privacy and Sunshine Acts Compliance
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581
foiasubmissions@cftc.gov

November 7, 2023

FOIA Confidential Treatment Request for 17 CFR 40.6(a) Submission re Liquidity-Provider Program (“23_LP01”)

Dear Assistant Secretary:

Under 17 CFR 40.6(a), RTX Fintech & Research LLC (RTX SEF) filed a submission with the Commission today self-certifying a liquidity-provided program entitled “23_LP01.”

We (i.e., RTX SEF) request that the Commission afford confidential treatment under the Freedom of Information Act (FOIA) to the liquidity-provided program. The grounds for this request are that disclosure would reveal our trade secrets or confidential commercial or financial information. And we request the confidential treatment for an indefinite period.

In accordance with 17 CFR 145.9(d)(4), we have marked the appropriate records for which we seek confidential treatment with “Confidential Treatment Requested by RTX Fintech & Research LLC.” We have also used an identifying number and code to individually mark each portion of these records.

RTX FINTECH & RESEARCH LLC

If a FOIA request seeks the material for which we are seeking confidential treatment, please let us know so that we can file a detailed written justification of our request. Please send any such notice or justification request to:

Chief Compliance Officer
RTX Fintech & Research LLC
90 Broad St, Ste 402
New York, NY 10004

and

glenn@rtxfintech.com

If you have any questions about this request, please let me know at either (917) 694-4856 or glenn@rtxfintech.com.

Thank you.

Sincerely yours,



Glenn Chaleff
Chief Compliance Officer
RTX Fintech & Research LLC

Cc by email:

Commission: secretary@cftc.gov

Commission, Division of Market Oversight: dmosubmissions@cftc.gov