

SUBMISSION COVER SHEET

IMPORTANT: Check box if Confidential Treatment is requested

Registered Entity Identifier Code (optional): _____

Organization: _____

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

Filing Date (mm/dd/yy): _____ Filing Description:

SPECIFY FILING TYPE Please note only ONE choice allowed per Submission.

Organization Rules and Rule Amendments

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|-------------------------------------|------------|
| Certification | § 40.6(a) |
| Approval | § 40.5(a) |
| Notification | § 40.6(d) |
| Advance Notice of SIDCO Rule Change | § 40.10(a) |
| SIDCO Emergency Rule Change | § 40.10(h) |

Rule Numbers: _____

New Product Please note only ONE product per Submission.

| | |
|---------------------------------------|------------|
| Certification | § 40.2(a) |
| Certification Security Futures | § 41.23(a) |
| Certification Swap Class | § 40.2(d) |
| Approval | § 40.3(a) |
| Approval Security Futures | § 41.23(b) |
| Novel Derivative Product Notification | § 40.12(a) |
| Swap Submission | § 39.5 |

Official Product Name: _____

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

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

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

Rule Numbers: _____