

SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional)

Date: December 20, 2016

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, Participant Agreement and Fee Schedule

DESCRIPTION

ICE Trade Vault, LLC has amended its Rulebook to update Section 4.2.4.1, Exotic Trades, to clarify certain reporting procedures related to exotic transactions. In addition, Section 4.4 was updated to add the concept of errors and invalid trades and Section 4.5 was amended by adding the cleared novation definition as a Lifecycle Event status. In addition, ICE Trade Vault has amended the ICE Trade Vault Participant Agreement to add terms related to swap data reporting by investment managers and third party reporters. Lastly, ICE Trade Vault has amended the ICE Trade Vault Fee Schedule to incorporate fees for swap reporting by

investment managers and third party reporters. This amended Rulebook, Participant Agreement and Fee Schedule is scheduled to be effective on January 5th, 2017.