

**SUBMISSION COVER SHEET**

**IMPORTANT:** Check box if Confidential Treatment is requested

**Registered Entity Identifier Code (optional):** 19-255

**Organization:** Chicago Mercantile Exchange Inc. ("CME")

**Filing as a:**  DCM  SEF  DCO  SDR

**Please note - only ONE choice allowed.**

**Filing Date (mm/dd/yy):** June 14, 2019 **Filing Description:** Acceptance of Swap Data Submissions for the Equity Asset Class

**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:**

June 14, 2019

**VIA ELECTRONIC PORTAL**

Christopher J. Kirkpatrick  
Office of the Secretariat  
Commodity Futures Trading Commission  
Three Lafayette Centre  
1155 21st Street, N.W.  
Washington, DC 20581

**RE: CFTC Regulation 40.6(a) Certification. Notification Regarding Acceptance of Swap Data Submissions for the Equity Asset Class.  
CME SDR Submission No. 19-255**

Dear Mr. Kirkpatrick:

The Swap Data Repository Division of Chicago Mercantile Exchange Inc. (“CME SDR” or “SDR”) hereby notifies the Commodity Futures Trading Commission (“CFTC” or “Commission”) that it is self-certifying the expansion of its offering to include the acceptance of data submissions for the Equity asset class to complement the existing assets currently accepted by CME SDR, including Interest Rates, Credit, Foreign Exchange, and Commodities. CME SDR will begin accepting Equity swap data submissions on July 1, 2019.

The CME SDR Rulebook can be found on the CME Group website at <https://www.cmegroup.com/market-data/files/cme-sdr-rulebook-c.pdf>. No CME SDR Rulebook changes are required in relation to this proposal.

CME SDR reviewed the requirements of the Commodity Exchange Act (“CEA” or “Act”) relating to the business of SDRs including applicable SDR core principles (“Core Principles”) in relation to the proposed acceptance of swap data submissions for the Equity asset class that is the subject of this submission. As a result of this review, CME SDR identified that the addition described in this submission may have some bearing on SDR Core Principle 2 (“Governance Arrangements”) and SDR Core Principle 4 (“Additional Duties”) as discussed below:

- Core Principle 2: Registered SDRs are required to make information regarding significant decisions implicating the public interest available to the public and relevant authorities, including the CFTC. The acceptance of data submissions for the Equity asset class will be disclosed and transparent to all market participants. CME SDR will make publicly available the details of this proposal by publishing a CME Global Repository Services Advisory (“Advisory”) to the marketplace. The Advisory will be available on the CME Group website.
- Core Principle 4: Registered SDRs are required to maintain sufficient financial resources as set forth in CFTC Regulation 49.25. The addition of fees for the Equity asset class service is clearly aligned with the requirement to maintain sufficient financial resources. Further, as set forth in CFTC Regulation 49.26, CME SDR will disclose a schedule of fees and a description of the SDR’s services to market participants. Registered SDRs also must adhere to CFTC requirements regarding fair and open access and the charging of any fees, dues, or other similar type charges as detailed in CFTC Regulation 49.27. The fees for the Equity asset class service are equitable and will be established in a non-discriminatory manner.

Pursuant to Section 5c(c) of the Act and CFTC Regulation 40.6(a), CME SDR hereby certifies that the acceptance of swap data submissions for the Equity asset class complies with the Act, including regulations thereunder. There were no substantive opposing views related to this proposal.

CME SDR certifies that this submission has been concurrently posted on the CME Group website at <http://www.cmegroup.com/market-regulation/rule-filings.html>.

If you require any additional information regarding this submission, please e-mail [CMEGSubmissionInquiry@cmegroup.com](mailto:CMEGSubmissionInquiry@cmegroup.com) or contact Rachel Johnson at 312-466-4393 or via e-mail at [Rachel.Johnson@cmegroup.com](mailto:Rachel.Johnson@cmegroup.com). Please reference our CME SDR Submission No. 19-255 in any related correspondence.

Sincerely,

/s/ Tim Elliott  
Executive Director and Associate General Counsel