



Tradition SEF, Inc.

October 10, 2013

via email to: submissions@cftc.gov

Ms. Melissa Jurgens
Secretary
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

RE: Regulation 40.6(a) Emergency Rule Certification
Tradition SEF, Inc. Submission #13-0002: Rulebook Amendments

Dear Ms. Jurgens:

Pursuant to Section 5c(c) of the Commodity Exchange Act ("the "Act") and Section 40.6(a) of the regulations of the Commodity Futures Trading Commission (the "Commission") Tradition SEF, Inc., hereby files the attached amendment to its Rules. The Rules are being amended to comply with the conditions for the time-limited no-action relief provided in CFTC Letter No. 13-58.

A copy of Rule 411- Confirmations - marked to show changes against the current Rule 411 is attached as Exhibit A.

The amendment to Rule 411 is being filed as an emergency rule certification because the terms of CFTC Letter No. 13-58 require that the Tradition SEF take action as a condition of Relief and pursuant to the ORDER OF THE COMMODITY FUTURES TRADING COMMISSION RELATING TO THE CONTINUATION, SHUTDOWN, AND RESUMPTION OF CERTAIN COMMISSION OPERATIONS IN THE EVENT OF A LAPSE IN APPROPRIATIONS, issued on September 27, 2013, the review period for all rule amendments, except for emergency rule filings made by a registered entity pursuant to Commission Regulation 40.6(a), will be tolled during the shutdown.

The amendment to Rule 411 is intended to enable Tradition SEF, Inc. to satisfy one of the conditions for time limited relief under CFTC Letter No. 13-58 for Temporarily Registered Swap Execution Facilities from Requirement to Comply with Commission Regulation 37.6(b) for Non-Cleared Swaps in all Asset Classes. Tradition SEF, Inc. hereby certifies that: (i) the amended Rule 411 complies with the Act and the Commission's regulations there under; and (ii) a notice and copy of this submission is being concurrently posted on Tradition SEF, Inc.'s web site. There have been no substantive opposing views to this rule amendment expressed by the board, committee members, Participants or other market participants.

This amendment will become effective on October 10, 2013.

If you have any questions please contact me on the details below or contact Jeff Mehan on 212 943 4567 or via email at jeff.mehan@tradition.com.



Tradition SEF, Inc.

Sincerely,

A handwritten signature in black ink, appearing to read "Eric Earnhardt", written over a horizontal line.

Eric Earnhardt
Chief Compliance Officer
212 791 3497
eric.earnhardt@tradition-na.com



Tradition SEF, Inc.

Exhibit A

RULE 411 Confirmations

Tradition SEF shall provide each counterparty to a Swap with a written record of all the terms of the Swap which shall legally supersede any previous agreement between the parties thereto (to the extent that it is inconsistent with such agreement) and which shall serve as a confirmation of the Swap. A Swap that is executed as a block trade in accordance with Rule 509 shall be confirmed by Tradition SEF after it is reported to Tradition SEF.

In respect of a Swap that is not intended to be submitted for clearing, to the extent that Tradition SEF is unable to provide a confirmation to each counterparty as required by Rule §37.6(b) of the CFTC Regulations, Tradition SEF will provide notice to each counterparty to the Swap that the Swap has not been confirmed by Tradition SEF. By executing Swaps on or subject to these Rules, counterparties to Swaps agree to provide Tradition SEF, prior to or promptly after the execution of each Swap, with transaction confirmations containing such information as is necessary to allow Tradition SEF to comply with its reporting and recordkeeping obligations under parts 43 and 45 of the CFTC Regulations. Specifically, such confirmations will contain all required confirmation data and primary economic terms data that together make up Required Swap Creation Data, in accordance with Part 43 of the CFTC Regulations, as well as all required real-time reporting data in accordance with part 43 of the CFTC Regulations