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## Regulatory Notice 21-02

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**Issue Date:** September 1, 2021  
**Attention:** Compliance and Trading Departments  
**Subject:** LatAm SEF Rulebook, Version 1.10 Certification  
**Summary:** LatAm SEF, LLC is notifying Trading Privilege Holders of a CFTC Regulation 40.6 Filing

On Wednesday, September 1, 2021, LatAm SEF filed amendments to the LatAm SEF Rulebook with the Commodity Futures Trading Commission (CFTC). These amendments are scheduled to take effect September 17, 2021.

### Executive Summary

LatAm SEF is submitting a Regulation 40.6 filing to the CFTC to certify changes to and the addition of the rules listed below. The new Rulebook can be found at <http://latamsef.com/notices.htm> under "Regulatory Filings & Notices."

- Rule 202. Board
- Rule 203. Committees
- Rule 204. [Reserved]
- Rule 205. Regulatory Oversight Committee
- Rule 206. Nominating Committee
- Rule 821. Arbitration
- Rule 822. Arbitration Forum
- Rule 823. Initiating an Arbitration Claim
- Rule 1223. Mexican TIIE/U.S. Dollar SOFR Cross-Currency Basis Swap

### Rule Revision Process

Before becoming effective, rules changes, amendments and or revisions must be filed with the CFTC pursuant to Section 5c of the Act. As per CFTC regulation 40.6(1)(2), concurrent with the filing of this CFTC Regulation 40.6 filing with the CFTC, this filing is being posted on LatAm SEF's web site. Therefore, these amendments are scheduled to take effect in accordance with CFTC regulation on September 1, 2021.

### Initial Rule Submission Review Period

New rules and rule amendments, including amendments to the terms and conditions of an existing product, become effective pursuant to the certification of the SEF and notice of such certification to the SEF's members and market participants on the date that is after 10 complete business days from the date on which the Commission receives the certification unless the Commission extends the submission review period.

In implementing an extension, the Commission will notify the SEF, prior to the expiration of 10 business days, that it is staying the certification because there exist novel or complex issues that require additional time to analyze, the certification is an inadequate explanation of the rule or rule amendment by the submitting SEF, or the certification presents a potential inconsistency with any provision of the Act or any of the Commission's regulations thereunder.

### Contacts

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