
Regulatory Notice 22-04

Issue Date: December 5, 2022
Attention: Compliance and Trading Departments
Subject: LatAm SEF Rulebook, Version 1.12 Adoption
Summary: LatAm SEF, LLC is notifying Trading Privilege Holders of a Rulebook Adoption

Effective Monday, December 5, 2022, LatAm SEF adopted version 1.12 of the LatAm SEF Rulebook following a CFTC review period as required for CFTC Regulation 40.6 filings. LatAm SEF Rulebook, Version 1.12 has been published to the LatAm SEF web site. For a summary explanation of the amendments and a Rulebook markup against version 1.12, see LatAm SEF Regulatory Notice 22-03.

Executive Summary

LatAm SEF has certified changes, additions, and deletions in association with the following rules:

- Rule 101. Defined Terms
- Rule 303. Eligibility Criteria
- Rule 306. Authorized Persons
- Rule 307. Authorized Representative
- Rule 405. Financial and Related Reporting Requirements
- Rule 503. Swaps Traded on the SEF
- Rule 505. Order Entry
- Rule 707. Prohibited Trading Conduct

Contacts

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