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REGULATORY NOTICE 26-03

Date: September 30, 2026
Attention: Compliance and Trading Departments
Subject: LatAm SEF Rulebook, Version 1.19 Certification
Summary: LatAm SEF, LLC is notifying Trading Privilege Holders of a CFTC Regulation 40.6 Filing

On Wednesday, September 30, 2026, LatAm SEF filed amendments to the LatAm SEF Rulebook with the Commodity Futures Trading Commission ("CFTC") to adopt several rule changes, including an amendment to § 50.4 related to mandatory swap clearing. Version 1.19 of the LatAm SEF Rulebook is scheduled to take effect October 15, 2026.

Executive Summary

LatAm SEF is submitting a Regulation 40.6 filing to the CFTC to certify rule amendments related to: a § 50.4 clearing mandate; public director qualifications; eligibility requirements for intermediaries; confirmation timing; and grammatical errors. The filing is available at <http://latamsef.com/notices.htm> under "Regulatory Filings & Notices."

Rule Revision Process

Rulebook revisions must be filed with the CFTC pursuant to CFTC regulation 40.6, including regulation 40.6(a)(3), which requires a 10 business day certification. Pursuant to Section 5c(c)(1)(B) of the Commodity Exchange Act (published under U.S. Code Title 7 § 7a-2(c)(2)), 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 on the date that is a minimum of 10 business days from the date on which the CFTC receives the certification, unless the CFTC extends the submission review period. Should the CFTC extend the submission review period, the CFTC will notify the SEF prior to the expiration of 10 business days that it is staying the certification. Extensions may be implemented because there exist novel or complex issues that require additional time to analyze, the certification includes 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 CFTC's regulations thereunder.

As per CFTC regulation 40.6(a)(2), concurrent with the filing of this CFTC Regulation 40.6 filing with the CFTC, the SEF has posted a notice of the pending certification and a copy of the submission on the SEF's web site. Both this notice and the related submission can be found on the SEF's web site at <http://latamsef.com/notices.htm> under "Notices to Trading Privilege Holders" and "Regulatory Filings & Notices," respectively.

Contacts

Comments and questions regarding this Notice should be directed to:

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