



55 East 52nd Street
New York, New York 10055

BY ELECTRONIC TRANSMISSION

Submission No. 17-136
August 21, 2017

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

Re: Weekly Notification of Rule Changes
Submission Pursuant to Section 5c(c)(1) of the Act and Regulation 40.6 (d)

Dear Mr. Kirkpatrick:

Pursuant to Section 5c(c)(1) of the Commodity Exchange Act, as amended, and Commission Regulation 40.6(d), ICE Futures U.S., Inc. (“Exchange”) submits notification to the Commission that, during the preceding week, the Exchange amended Rules 21.04 and 21.16 by deleting obsolete references to the appeals process, as set forth in Exhibit A. The Exchange had previously eliminated the process to appeal disciplinary actions (see ICE Futures U.S. Submission No. 12-60).

If you have any questions or need further information, please contact me at 312-836-6746 or at conor.weber@theice.com.

Sincerely,

A handwritten signature in blue ink, appearing to read "Conor Weber", is positioned above the typed name.

Conor Weber
Compliance Counsel
Market Regulation

Enc.
cc: Division of Market Oversight
New York Regional Office

Exhibit A

Rule 21.04. Power to Compel Testimony and Production of Documents

The President, the Board, the Vice President, the Compliance staff, any committee or subcommittee and any panel of any committee or subcommittee, engaged in any investigation of, examination into, or hearing ~~[or appeal]~~ involving any matter pursuant to the Rules shall have the power to summon any Member, any employee of any Member and any non-member market participant to appear before him or it, to give testimony under oath or in any other manner required by him or it and to produce any documents, books or records. A Firm so summoned shall appear by a partner, officer or responsible employee fully acquainted with the relevant facts. If any Member, any employee of any Member, or non-member market participant fails to obey any such summons or to give any such testimony or to produce any such documents, books or records, such failure shall constitute a violation of this Rule and shall be reported to the Business Conduct Committee for appropriate action.

Rule 21.16. Effective Date of Penalties

(a) If a Member or non-member market participant enters into a settlement agreement with the Compliance staff, the terms of which have been approved by a subcommittee of the Business Conduct Committee or a Hearing Panel, the settlement agreement shall become final and effective on the date the settlement agreement is executed by the Exchange.

(b) Any decision (including any penalty) by a Hearing Panel shall be the final decision of the Exchange and shall become effective fifteen (15) days, or such longer time as the Hearing Panel may specify, after a copy of the written decision of the Hearing Panel has been served on the Respondent provided, however, that, in any case where the Respondent has consented to the action taken and to the timing of its effectiveness, the Hearing Panel may cause the decision involving any disciplinary action (including any penalty) to become effective prior to the fifteen (15) day period.

(c) Any fine imposed by a Hearing Panel shall be due and payable on the effective date of the decision imposing such fine, or on such later date as the Hearing Panel ~~[or, in the case of an appeal of an order of expulsion, the Appeals Committee]~~ may specify.

(d) If a Member or non-member market participant fails to pay any fine within 30 days of the date on which such fine becomes due and payable, such Member or non-member market participant shall be barred from directly or indirectly trading automatically without further action by the Exchange and shall remain barred until such fine is paid in full, however, that on written application received prior to such date, the Exchange, in its sole discretion, may postpone the date when payment is due.