

November 19, 2024

Submitted via Portal

Mr. Christopher J. Kirkpatrick
Office of the Secretariat
U.S. Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, N.W.
Washington, D.C. 20581

Re:
CFTC Regulation 40.6(d) Required Certification AEGIS SEF, LLC
Amendment to Rulebook

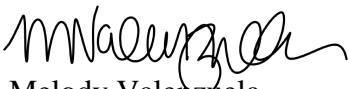
Dear Sir:

Pursuant to Section 40.6(d) of the regulations of the U.S. Commodity Futures Trading Commission (the “CFTC”, or the “Commission”), AEGIS SEF, LLC (“AEGIS”) hereby notifies the Commission that it has amended its Rulebook. The Rule Amendments shall become effective 10 days after this submission has been filed or immediately upon approval by the CFTC, whichever occurs first.

A concise explanation and analysis of the rules and their compliance with applicable provisions of the Act, including core principles and the Commission’s regulations, is attached hereto as Exhibit A. A copy of the Rulebook is attached under separate cover as Exhibit B. A redlined version of the Rulebook is attached under separate cover as Exhibit C.

AEGIS hereby certifies that: (i) the amended rule complies with the Act and the Commission’s regulations thereunder, and (ii) copy of this submission is being concurrently posted on AEGIS’s website. There were no substantive opposing views to the amendments to the Rulebook.

Please contact the undersigned at 832-431-4217 or mvalenzuela@aegis-markets.com with any questions regarding this matter.



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Exhibit A – Explanation

Amendment and Explanation	Supporting Rule / Core Principle
<p>Rulebook 4.4: Trading Procedures</p> <ul style="list-style-type: none"> Clean up of examples of ‘electronic messaging capability’ to be more concise with what is not offered by AEGIS SEF. 	<ul style="list-style-type: none"> Core Principle 2 – Compliance with rules Core Principle 4(A)- Establish rules or terms and conditions Core Principle 5(A)- Obtain Information Core Principle 10 – Recordkeeping Rule 4.4 §37.6
<p>Rulebook 4.15.2: Electronic Communications Off-Platform</p> <ul style="list-style-type: none"> Remove text referring to ‘electronic communication capability’. Already specified in Rule 4.4. 	<ul style="list-style-type: none"> Core Principle 2 – Compliance with rules Core Principle 4(A)- Establish rules or terms and conditions Core Principle 5(A)- Obtain Information Core Principle 10 – Recordkeeping Rule 4.4 §37.6
<p>Rulebook 9.8: Limitation of Liability; No Warranties</p> <ul style="list-style-type: none"> Corrected reference to rule within the text. Referenced rule in text should refer to itself. 	<ul style="list-style-type: none"> Core Principle 2 – Compliance with rules Core Principle 4(A)- Establish rules or terms and conditions §37.6

Exhibit B – AEGIS SEF Rulebook

(attached under separate cover)

Exhibit C – AEGIS SEF Rulebook (redlined)

(attached under separate cover)