

**SUBMISSION COVER SHEET**

**IMPORTANT:** Check box if Confidential Treatment is requested

**Registered Entity Identifier Code (optional):** 19-374

**Organization:** New York Mercantile Exchange, Inc. ("NYMEX")

**Filing as a:**  **DCM**  **SEF**  **DCO**  **SDR**

**Please note - only ONE choice allowed.**

**Filing Date (mm/dd/yy):** 10/15/19 **Filing Description:** Third Extension of the Temporary Suspension of Trading and Clearing of Three (3) EUA Futures and Option Contracts

**SPECIFY FILING TYPE**

**Please note only ONE choice allowed per Submission.**

**Organization Rules and Rule Amendments**

- Certification § 40.6(a)
- Approval § 40.5(a)
- Notification § 40.6(d)
- Advance Notice of SIDCO Rule Change § 40.10(a)
- SIDCO Emergency Rule Change § 40.10(h)

**Rule Numbers:**

**New Product**

**Please note only ONE product per Submission.**

- Certification § 40.2(a)
- Certification Security Futures § 41.23(a)
- Certification Swap Class § 40.2(d)
- Approval § 40.3(a)
- Approval Security Futures § 41.23(b)
- Novel Derivative Product Notification § 40.12(a)
- Swap Submission § 39.5

**Product Terms and Conditions (product related Rules and Rule Amendments)**

- Certification § 40.6(a)
- Certification Made Available to Trade Determination § 40.6(a)
- Certification Security Futures § 41.24(a)
- Delisting (No Open Interest) § 40.6(a)
- Approval § 40.5(a)
- Approval Made Available to Trade Determination § 40.5(a)
- Approval Security Futures § 41.24(c)
- Approval Amendments to enumerated agricultural products § 40.4(a), § 40.5(a)
- "Non-Material Agricultural Rule Change" § 40.4(b)(5)
- Notification § 40.6(d)

**Official Name(s) of Product(s) Affected:** See filing.

**Rule Numbers:** See filing.

October 15, 2019

**VIA ELECTRONIC PORTAL**

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

**Re: CFTC Regulation 40.6(a) Certification. Notification Regarding the Third Extension of the Temporary Suspension of Trading and Clearing of Three (3) EUA Futures and Option Contracts.  
NYMEX Submission No. 19-374**

Dear Mr. Kirkpatrick:

New York Mercantile Exchange, Inc. (“NYMEX” or “Exchange”) is notifying the Commodity Futures Trading Commission (“CFTC” or “Commission”) that it is self-certifying the third extension of the suspension from listing of previously-listed contract months of three (3) European Union Allowances futures and option contracts (the “Contracts”) as noted in the table below effective until January 31, 2020.

<b>Contract Title</b>	<b>CME Globex/ CME ClearPort Commodity Code</b>	<b>NYMEX Rulebook Chapter</b>
In Delivery Month European Union Allowance (EUA) Futures	EAF/6T	1250
In Delivery Month European Union Allowance (EUA) Option	EAX/6U	1251
In Delivery Month European Union Allowance (EUA) Serial Option	9G/9G	1252

On February 8, 2019, the Exchange self-certified the temporary suspension of trading and listing of new contract months of the Contracts until April 30, 2019 (see NYMEX Submission No. 19-089). On April 11, 2019, the Exchange self-certified an extension to the temporary suspension of trading and listing of new contract months of the Contracts until June 28, 2019, which became effective on Friday, April 26, 2019 (see NYMEX Submission No. 19-153). On June 13, 2019, the Exchange self-certified a further extension to the temporary suspension of trading and listing of new contract months of the Contracts until October 31, 2019, which became effective on Friday, June 28, 2019 (see NYMEX Submission No. 19-227).

As previously advised, the Contracts make use of a UK registered entity for physical delivery of the underlying commodity. In light of the continuing Brexit negotiations and related uncertainty in connection with memberships of the UK in the European Union Emissions Trading System (“EU ETS”), the Exchange is taking this additional action in an effort to maintain an orderly market.

This submission shall become effective on Wednesday, October 30, 2019.

The Exchange reviewed the designated contracts market core principles (“Core Principles”) as set forth in the Commodity Exchange Act (“CEA” or “Act”) and identified that the suspension may have some bearing on the following Core Principles:

- **Emergency Authority:** There is no open interest in the Contracts, and therefore there will be no market disruption related to the temporary suspension.
- **Availability of General Information:** The Exchange will make publicly available the details of the temporary suspension of the Contracts by publishing a Special Executive Report (“SER”) to the marketplace. The SER will be available on CME Group’s website. Following the period of suspension, the Exchange will continue to publish on its website information regarding the Contract’s specifications, terms, and conditions, as well as daily trading volume, open interest, and price information.
- **Prevention of Market Disruption:** Following the period of suspension, trading in the Contracts will continue to be subject to the rules of the Exchange, which include prohibitions on manipulation, price distortion, and disruption to the cash settlement process.

Pursuant to Section 5c(c) of the Act and CFTC Regulations 40.6(a), the Exchange hereby certifies that extension of the temporary suspension of trading and clearing of the Contracts complies with the Act, including regulations under the Act. There were no substantive opposing views to the proposal.

The Exchange certifies that this submission has been concurrently posted on the CME Group website at <http://www.cmegroup.com/market-regulation/rule-filings.html>.

Should you have any questions concerning the above, please contact the undersigned at (212) 299-2200 or via e-mail at [CMEGSubmissionInquiry@cmegroup.com](mailto:CMEGSubmissionInquiry@cmegroup.com).

Sincerely,

/s/ Christopher Bowen  
Managing Director and Chief Regulatory Counsel