

SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional)

Date:

IMPORTANT: CHECK BOX IF CONFIDENTIAL TREATMENT IS REQUESTED. ☐

ORGANIZATION

FILING AS A: ☐ **DCM** ☐ **SEF** ☐ **DCO** ☐ **SDR** ☐ **ECM/SPDC**

TYPE OF FILING

- **Rules and Rule Amendments**

- ☐ Certification under § 40.6 (a) or § 41.24 (a)
- ☐ “Non-Material Agricultural Rule Change” under § 40.4 (b)(5)
- ☐ Notification under § 40.6 (d)
- ☐ Request for Approval under § 40.4 (a) or § 40.5 (a)
- ☐ Made Available To Trade Determination under § 40.5 or § 40.6
- ☐ Advance Notice of SIDCO Rule Change under § 40.10 (a)

- **Products**

- ☐ Certification under § 40.2 (a) or § 41.23 (a)
- ☐ Submission under § 39.5
- ☐ Swap Class Certification under § 40.2 (d)
- ☐ Request for Approval under § 40.3 (a)
- ☐ Novel Derivative Product Notification under § 40.12 (a)

RULE NUMBERS

DESCRIPTION



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April 3, 2014

BY ELECTRONIC MAIL (submissions@cftc.gov)

Ms. Melissa Jurgens, Secretary
Commodity Futures Trading Commission
Three Lafayette Centre
1155 21st Street, N.W.
Washington, D.C. 20581

**Re: Regulation 40.6(a) Rule Certification
360 Trading Networks Inc. Rulebook Amendments**

Dear Ms. Jurgens:

Pursuant to Section 5c(c) of the Commodity Exchange Act (the “Act”) and Section 40.6(a) of the Regulations of the Commodity Futures Trading Commission (the “Commission”), 360 Trading Networks Inc. (“360T”) hereby files the attached amendments to its Rulebook. The amended Rulebook will become effective on April 18, 2014.

A concise explanation and analysis of the amendments to the Rulebook and their compliance with applicable provisions of the Act, including Core Principles, and the Commission’s Regulations thereunder, is attached hereto as Exhibit A. A clean copy of the amended Rulebook is attached hereto as Exhibit B, and a copy of the Rulebook marked to show changes against the version submitted to the Commission on February 25, 2014 is attached hereto as Exhibit C.

360T hereby certifies that: (i) the amended Rulebook complies with the Act and the Commission’s regulations thereunder; and (ii) a notice and copy of this submission is being concurrently posted on 360T’s web site. There were no substantive opposing views to the amendments to the Rulebook.

Please contact the undersigned at 44 020 3508 6344 or martin.oakley@360t.com if you have any questions or you would otherwise like to discuss this further.

Sincerely,

/s/ Martin Oakley
Chief Compliance Officer

Attachments

Exhibit A

Capitalized terms used but not defined herein have the meanings assigned to them in the Rulebook.

Amendment	Explanation
<u>Cover Page</u> Revised effective date.	Update
<u>Rule 524(b)</u> Clarified that a market participant may execute against any firm resting bid <i>or offer</i> resting on the Trading System's central limit order book.	Commission Regulation 37.9(a)(3)(ii)
<u>Rule 525(a)</u> Clarified that 360T provides written confirmations for both cleared and uncleared Swaps.	Commission Regulation 37.6(b)
<u>Rule 705(a)(3)</u> Corrected internal cross-reference.	Typographical error
<u>Rule 709(d)</u> Clarified that the Disciplinary Panel may accept the offer of settlement, but may not alter the terms of a settlement offer unless the respondent or potential respondent agrees.	Commission Regulation 37.203(g) and Appendix B to Part 37
<u>Rule 710(b)</u> 1. Clarified that the composition requirements apply to both Review Panels and Disciplinary Panels. 2. Clarified that no 360T employee or individual involved in adjudicating any other stage of the same proceeding may serve on a Review Panel or Disciplinary Panel, as applicable.	Commission Regulation 37.206(b)
<u>Rule 711(a)</u> Corrected references to "Disciplinary Panel."	Typographical error
<u>Rule 715(f)</u> Clarified that no individual may serve on an Appeal Panel if such individual is a 360T employee or has been involved in adjudicating any other stage of the same proceeding.	Commission Regulation 37.206(g) and Appendix B to Part 37