

DEUTSCHE BÖRSE GROUP

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December 28, 2018

Submitted via CFTC Portal

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

Ladies and Gentlemen:

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 Rulebook has been amended in response to 360T business development. The amended Rulebook will become effective on January 14, 2019.

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 <u>Exhibit A</u>. A clean copy of the amended Rulebook is attached hereto as <u>Exhibit B</u>, and a copy of the Rulebook marked to show changes against the version submitted to the Commission on December 15, 2017 is attached hereto as <u>Exhibit C</u>.

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 7862 7509 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

<u>Exhibit A</u>

Summary: The 360T Rulebook has been amended in response to 360T business development. A clean copy of the amended Rulebook is attached hereto as <u>Exhibit B</u>; a copy of the Rulebook marked to show changes against the version submitted to the Commission on December 15, 2017 is attached hereto as <u>Exhibit C</u>. Minor changes have been made to the User Guide for Market Takers and User Guide for Market Maker, they are attached hereto as <u>Exhibit D</u> and <u>Exhibit E</u> and a copy of the User Guides marked to show changes are attached hereto as <u>Exhibit F</u> and <u>Exhibit G</u> respectively.

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

Amendment	Explanation
Cover Page	Update
Revised effective date	
Table of Contents	Update
Added Rule 410 Market Participant Books and Records	
Added Rule 430 Prime Broker Trades	
Adjusted page numbering accordingly	
<u>Rule 101</u>	Update
Amended the definition of Customer and Participant to clarify the term shall not include Prime Brokers.	
Added Non-Cleared Swap, Non-Cleared Swap Agreement, SEF, SEF Activity and SEF Prime Broker Agreement definitions.	
Amended definition of Prime Broker and Prime Broker Transaction.	
Rule 305(h)	Clarification
Added language to clarify Prime Brokers responsibility with accessing or entering orders on Company's Trading Platform.	
<u>Rule 310(c)</u>	Correction
Amended the word effect to effected.	
<u>Rule 410</u>	Addition
Added new Rule to specify the books and records requirements applicable to each Market Participant.	
<u>Rule 505</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 505.	

<u>Rule 506</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 506.	
<u>Rule 507</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 507.	
<u>Rule 508</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 508.	
<u>Rule 512(d)</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 512.	
<u>Rule 513(d)</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 513.	
<u>Rule 514(c)</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 514.	
<u>Rule 515(e)</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 515.	
<u>Rule 516</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 516.	
<u>Rule 517(d)</u>	Clarification
Added language to clarify Prime Broker responsibility with Rule 517.	
<u>Rule 520(d)</u>	Update
Changed the word Person to Participant	
<u>Rule 524(d)</u>	Addition
Added part (1), (2) and (3) which clarifies Prime Brokers responsibility with Rule 524.	
<u>Rule 525(d)</u>	Update
Updated the CFTC No-Action Letter that addresses the Company maintaining all relevant Terms Incorporated by Reference.	
<u>Rule 528(b)(1), (2), (3) and (4)</u>	Clarification
Added language to clarify who is responsible for being the Reporting Counterparty.	

<u>Rule 530</u>	Addition
Added Rule 530 to expound a Prime Brokers responsibility in transactions.	
User Guide Market Taker Cover Page	Update
Updated date and removed word Exhibit from header	
User Guide Market Taker Section 3.1	Update
Amended RFQ to RFS to be consistent with the Marker Maker User Guide	
User Guide Market Taker Section 3.2	Update
Amended RFQ to RFS to be consistent with the Marker Maker User Guide	
User Guide Market Taker Section 3.3	Update
Amended RFQ to RFS to be consistent with the Marker Maker User Guide	
User Guide Market Maker Cover Page	Update
Updated date and removed word Exhibit from header	
User Guide Market Maker Section 1	Correction
Removed sentence "as shown in the following screen captures" as there aren't applicable screen captures.	
	Update
aren't applicable screen captures.	Update
aren't applicable screen captures. User Guide Market Maker Section 3.2	Update Update
aren't applicable screen captures. User Guide Market Maker Section 3.2 Amended RFQ to RFS to be consistent with the Marker Taker User Guide	-
aren't applicable screen captures. User Guide Market Maker Section 3.2 Amended RFQ to RFS to be consistent with the Marker Taker User Guide User Guide Market Maker Section 3.3	-