

# SUBMISSION COVER SHEET

Registered Entity Identifier Code (optional) 13-

Date: 10/31/2013

**IMPORTANT: CHECK BOX IF CONFIDENTIAL TREATMENT IS REQUESTED.**

## ORGANIZATION

DW SEF LLC

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

Rules 101,311, 408-409,413-414, 604, 614, 1003-1005,1101,1104

## DESCRIPTION

DW SEF LLC has amended its Rulebook in response to the terms of theno-action relief provided by CFTC Letter No. 13-66 dated October 25, 2013, which clarified the Staff Guidance on Swaps Straight-Through Processing, and to make other minor clarifications or conforming changes throughout its Rules.

**DW SEF LLC**  
**1177 Avenue of the Americas**  
**New York, New York 10036**

October 31, 2013

**By electronic submission**

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

**Re: Commission Regulation 40.6(a)(6)**  
**Emergency Rule Certification**

Dear Ms. Jurgens:

DW SEF LLC (“DW”) hereby notifies the Commodity Futures Trading Commission (the “Commission” or the “CFTC”) that:

1. DW certifies that it has adopted the enclosed set of amended DW SEF LLC Swap Execution Facility Rules (the “Amended Rules”) as an emergency rule pursuant to Commission regulation 40.6(a)(6) to replace the amended Rules which DW filed with the Commission October 18, 2013 to be effective November 1, 2013.
2. DW adopted the Amended Rules in response to the terms of the no-action relief provided by CFTC Letter No. 13-66 dated October 25, 2013, which clarified the Staff Guidance on Swaps Straight-Through Processing issued on September 26, 2013 by the Commission’s Divisions of Market Oversight and Clearing and Risk.
3. DW certifies that the Amended Rules comply with the Commodity Exchange Act and regulations promulgated by the Commission thereunder.
4. DW has electronically submitted the Amended Rules to the Commission under cover of the enclosed submission cover sheet in accordance with Appendix D to Part 40 of the Commission’s regulations along with the enclosed copy of the Amended Rules that has been marked to show changes from the amended Rules filed on October 18.
5. DW posted the Amended Rules on its website today, October 31, 2013.

In the event that you have questions, please call me at (646) 430-6145 or send an email to [robert.paul@tradeweb.com](mailto:robert.paul@tradeweb.com).

Yours truly,

A handwritten signature in cursive script, appearing to read "C. Robert Paul".

C. Robert Paul  
Chief Compliance Officer

cc: Nancy Markowitz  
Lois Gregory