

September 10, 2021

VIA CFTC PORTAL

Commodity Futures Trading Commission
Attention: Chris Kirkpatrick, Secretary
Three Lafayette Centre
1155 21st Street, NW
Washington, DC 20581

Re: CFTC Regulation 40.6(a) Certification: Various Amendments to Nodal Clear Rules

Dear Mr. Kirkpatrick:

Pursuant to Commodity Futures Trading Commission (“Commission” or “CFTC”) Regulation 40.6(a), Nodal Clear, LLC (“Nodal Clear” or “Clearing House”) hereby notifies the Commission that it is self-certifying amendments to the Nodal Clear Rules (collectively, the “Rule Amendments”).¹ The Rule Amendments are attached hereto. The Rule Amendments document indicates the specific text that is being amended. The Rule Amendments shall become effective on September 24, 2021.

Nodal Clear proposes to adopt amendments to its Rules that:

- (i) enhance Nodal Clear Rule 2.5 to better permit Nodal Clear to respond directly to foreign regulators;
- (ii) consolidate, clarify, and remove potentially conflicting market data provisions in Nodal Clear Rule 7.2 Market Data;
- (iii) create Nodal Clear Rule 7.13 Confidential Information. As Nodal Clear is now clearing for third party exchanges, it seeks to add confidentiality provisions to its rules that exist independent of its Exchange relationship; and
- (iv) add definitions associated with the Rule Amendments provide for various other clarifications, typographical corrections, and conforming changes.

Nodal Clear management has assessed the Rule Amendments and their compliance with applicable provisions of the Commodity Exchange Act (“CEA”), including the Commission’s Regulations and DCO Core Principles. Nodal Clear has identified that the Rule Amendments may have some bearing on the following Core Principle:

Core Principle L – Public Information: As required by Core Principle L, Nodal Clear is publicly posting this self-certification letter on its website to ensure that market participants receive advance notice of the Rule Amendments. On the effective date of the Rule Amendments, the updated Nodal Clear Rules will be posted on the rulebook page of the Nodal Clear website.

Pursuant to Section 5c(c)(1) of the CEA and the Commission’s Regulation 40.6(a), Nodal Clear certifies that the Rule Amendments comply with the CEA and the Commission’s Regulations thereunder. Nodal Clear is not aware of any opposing views expressed regarding the Rule Amendments. Nodal Clear certifies that this submission has been concurrently posted on the Nodal Clear website at www.nodalclear.com.

If you have any questions or need additional information regarding this submission, please contact me at 703-962-9864 or alvarez@nodalexchange.com.

¹ Capitalized terms not defined herein have the meaning set forth in the Nodal Clear Rulebook.

Sincerely,

/s/Cody Alvarez

Cody Alvarez
Chief Compliance Officer
Corporate Counsel

Attachments:

Rule Amendments (Redline)