

## SUBMISSION COVER SHEET

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

Registered Entity Identifier Code (optional): \_\_\_\_\_

Organization: RTX Fintech & Research LLC

Filing as a: ☐ DCM ☒ SEF ☐ DCO ☐ SDR Please note - only ONE choice allowed.

Filing Date (mm/dd/yy): 10/03/23 Filing Description:

Revised fee schedule

**SPECIFY FILING TYPE** Please note only ONE choice allowed per Submission.

### Organization Rules and Rule Amendments

- |  |            |
|--|------------|
| <input checked="" type="checkbox"/> Certification            | § 40.6(a)  |
| <input type="checkbox"/> Approval                            | § 40.5(a)  |
| <input type="checkbox"/> Notification                        | § 40.6(d)  |
| <input type="checkbox"/> Advance Notice of SIDCO Rule Change | § 40.10(a) |
| <input type="checkbox"/> SIDCO Emergency Rule Change         | § 40.10(h) |

Rule Numbers: \_\_\_\_\_

### New Product

Please note only ONE product per Submission.

- |  |            |
|--|------------|
| <input type="checkbox"/> Certification                         | § 40.2(a)  |
| <input type="checkbox"/> Certification Security Futures        | § 41.23(a) |
| <input type="checkbox"/> Certification Swap Class              | § 40.2(d)  |
| <input type="checkbox"/> Approval                              | § 40.3(a)  |
| <input type="checkbox"/> Approval Security Futures             | § 41.23(b) |
| <input type="checkbox"/> Novel Derivative Product Notification | § 40.12(a) |
| <input type="checkbox"/> Swap Submission                       | § 39.5     |

Official Product Name: \_\_\_\_\_

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

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

Official Name(s) of Product(s) Affected: \_\_\_\_\_

Rule Numbers: \_\_\_\_\_

# RTX FINTECH & RESEARCH LLC

## Swap Execution Facility

RTX Fintech & Research LLC, 90 Broad St, Ste 402, New York, NY 10004

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### By Upload to CFTC Portal

Christopher J. Kirkpatrick

Secretary of the Commission

Commodity Futures Trading Commission

October 3, 2023

### Self-Certification of Rule Amendment Under § 40.6(a): Fee Schedule

Dear Secretary Kirkpatrick:

RTX Fintech & Research LLC (RTX SEF) intends to implement an amended fee schedule under 17 CFR § 40.6(a) on October 18, 2023. This fee schedule replaces the one that RTX SEF submitted (on March 16, 2022) to the Commission as Exhibit K to its SEF application.

*Attachment A* contains the amended fee schedule; *Attachment B*, an annotated version of the amended fee schedule (indicating deletions and additions); and *Attachment C*, a copy of RTX SEF's request for confidential treatment.

Below is the concise explanation and analysis that the Commission requires under § 40.6(a)(7)(v). This fee schedule amends the dues, fees, and other charges that RTX SEF imposes for the swap-execution-facility services it provides. Its purpose is to differentiate RTX SEF as a swap execution facility to better attract liquidity to its electronic and voice markets; in operation, RTX SEF will use the amended fee schedule to charge Participants for its services, which should attract liquidity to its markets.

The amended fee schedule complies with both the Commodity Exchange Act (Act) and Commission's regulations. Specifically, it complies with Core Principle 2 (Compliance with Rules) and § 37.202 because it adheres to open-access principles and promotes a fair, transparent platform.

No one has expressed any substantive opposing views to the rule amendment that RTX SEF has not incorporated into the rule.

Finally, on behalf of RTX SEF, I certify the following:

1. RTX SEF has posted on its website a notice of pending certification with the Commission and a copy of this submission (redacted).
2. The rule amended complies with the Act and the Commission's regulations.

If you have any questions about this submission, please contact me.

Sincerely yours,

A handwritten signature in black ink that reads "Glenn Chaleff". The signature is fluid and cursive, with the first name "Glenn" and last name "Chaleff" clearly distinguishable.

Glenn Chaleff

Chief Compliance Officer

[glenn@rtxfintech.com](mailto:glenn@rtxfintech.com) | (917) 694-4856

## **Attachment A**

Amended Fee Schedule

CONTENTS INTENTIONALLY LEFT BLANK:

This attachment is subject to a request for confidential treatment.

## **Attachment B**

Annotated Version of Amended Fee Schedule

CONTENTS INTENTIONALLY LEFT BLANK:

This attachment is subject to a request for confidential treatment.

## **Attachment C**

Request for Confidential Treatment

# RTX FINTECH & RESEARCH LLC

Swap Execution Facility

RTX Fintech & Research LLC, 90 Broad St, Ste 402, New York, NY 10004

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## **By Email**

Assistant Secretary of the Commission  
for FOI, Privacy and Sunshine Acts Compliance  
Three Lafayette Centre  
1155 21st Street, NW  
Washington, DC 20581  
foiasubmissions@cftc.gov

October 3, 2023

## **FOIA Confidential Treatment Request for 17 CFR 40.6(a) Submission re Amended Fee Schedule**

Dear Assistant Secretary:

Under 17 CFR 40.6(a), RTX Fintech & Research LLC (RTX SEF) filed a submission with the Commission today self-certifying an amendment to its fee schedule.

We (i.e., RTX SEF) request that the Commission afford confidential treatment under the Freedom of Information Act (FOIA) to the amended fee schedule. The grounds for this request are that disclosure would reveal our trade secrets or confidential commercial or financial information. And we request the confidential treatment for an indefinite period.

In accordance with 17 CFR 145.9(d)(4), we have marked the appropriate records for which we seek confidential treatment with “Confidential Treatment Requested by RTX Fintech & Research LLC.” We have also used an identifying number and code to individually mark each portion of these records.

RTX FINTECH & RESEARCH LLC

If a FOIA request seeks the material for which we are seeking confidential treatment, please let us know so that we can file a detailed written justification of our request. Please send any such notice or justification request to:

Chief Compliance Officer  
RTX Fintech & Research LLC  
90 Broad St, Ste 402  
New York, NY 10004


***and***

glenn@rtxfintech.com

If you have any questions about this request, please let me know at either (917) 694-4856 or [glenn@rtxfintech.com](mailto:glenn@rtxfintech.com).

Thank you.

Sincerely yours,



Glenn Chaleff  
Chief Compliance Officer  
RTX Fintech & Research LLC

Cc by email:

Commission: [secretary@cftc.gov](mailto:secretary@cftc.gov)

Commission, Division of Market Oversight: [dmosubmissions@cftc.gov](mailto:dmosubmissions@cftc.gov)