

**CX Futures Exchange, L.P**  
**Rule Amendment Submission #2021-05**  
**40.6 Certification**  
**September 9, 2021**

1. The text of the proposed addendum to the CX Futures Exchange, L.P. Compliance Manual is appended as Confidential Attachment A, which is submitted under a Petition for Confidential Treatment.
2. The date of intended implementation of the proposed amendment is ten business days following the filing of this submission.
3. Attached, please find a certification that: (1) these amendments comply with the Commodity Exchange Act, and the Commission's regulations thereunder; and (2) concurrent with this submission, CX Futures Exchange, L.P. ("CX") posted on its website a notice of this submission.
4. A concise explanation and analysis of the operation, purpose, and effect of the amended rules appear below.
5. There were no opposing views expressed regarding this amended rule.
6. Confidential treatment is requested.

---

**CONCISE EXPLANATION AND ANALYSIS OF THE OPERATION, PURPOSE,  
AND EFFECT OF THE CERTIFIED RULE AND ITS COMPLIANCE WITH  
APPLICABLE PROVISIONS OF THE ACT, INCLUDING CORE PRINCIPLES  
AND THE COMMISSION'S REGULATIONS THEREUNDER**

Pursuant to Commission Rule 40.6(a)(7)(vi), the following is a concise explanation and analysis of the operation, purpose, and effect of the supplemental policy.

CX is adopting this amendment to the addendum to its Compliance Manual to describe its procedure for informing the Commission of changes to CX's Key Personnel.

This document is submitted with a Petition for Confidential Treatment.

CERTIFICATIONS PURSUANT TO SECTION 5c OF THE COMMODITY EXCHANGE ACT, 7 U.S.C. §7A-2 AND COMMODITY FUTURES TRADING COMMISSION RULE 40.6, 17 C.F.R. §40.6

I hereby certify that:

- (1) the addendum to the Compliance Manual complies with the Commodity Exchange Act, and the Commodity Futures Trading Commission's regulations thereunder; and
- (2) concurrent with this submission, CX Futures Exchange, L.P. posted on its website a notice of pending certification of the above with the Commission.



By: Thomas Thompson  
Title: Chief Compliance Officer  
Date: September 9, 2021