

Securities and Exchange Commission  
Washington, DC 20549

Form 1-N Form and Amendments for Notice of Registration as a National Securities Exchange for the Sole Purpose of Trading Security Futures Products Pursuant to Section 6(g) of the Exchange Act

WARNING: Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise comply with the provisions of law applying to the conduct of the exchange would violate the Federal securities laws and may result in disciplinary, administrative, or criminal action.

INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS.

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{Name of exchange} is making this filing pursuant to the following Rule: (select one)

- Rule 6a-4 Initial Notice of Registration
- Rule 6a-4(b) Amendment to Notice of Registration
- Rule 6a-4(b)(3) Annual Filing for Year
- Rule 6a-4(b)(4) Triennial Filing for Year: YYYY
- Rule 6a-4(c)(1) Supplemental Materials
- Rule 6a-4(c)(2) Report of securities futures products traded during prior calendar month

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Section I – Security Futures Product Exchange’s Contact Information

Check Box if there is a change in information previously filed.

1. Primary Street Address (Do not use a P.O. Box)

Street: \_\_\_\_\_

City \_\_\_\_\_, State \_\_\_\_\_ Zip Code \_\_\_\_\_

2. Mailing Address:  Same as above

Street: \_\_\_\_\_

City \_\_\_\_\_, State \_\_\_\_\_ Zip Code \_\_\_\_\_

3. Business Telephone ( ) \_\_\_\_\_ - \_\_\_\_\_ Facsimile ( ) \_\_\_\_\_ - \_\_\_\_\_

4. Fiscal Year End: mm/dd

5. Legal Status (select one)

- Sole Proprietorship
- Corporation
- Partnership
- Limited Liability Company
- Other (Specify): \_\_\_\_\_

If other than a sole proprietor, please provide the following:

a) Date exchange obtained legal status (e.g. date of Incorporation): mm/dd/yyyy

b) State/Country of formation: {pick list}

c) Statute under which exchange was organized \_\_\_\_\_

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Section II: Name and address of Counsel for {Name of Exchange}

Name of Firm:

First Name:

Last Name:

Title:

Email:

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Section III – Rule 6a-4(c)(1) (select one)

- Provide all supplemental materials required under Rule 6a-4(c) related to the trading of security futures products (including notices, circulars, bulletins, lists and periodicals) issued or made generally available to members of, or participants or subscribers to, the exchange. Such material shall be filed within 10 days after issuing or making such material available to members, participants or subscribers.

Add, Delete, View

- In lieu of filing the supplemental material required under Rule 6a-4(c)(1)(i) the {entity} certifies that the information requested is available continuously at the internet website indicated below and is free and accessible (without any encumbrances or restrictions) by the general public, and further certifies that the site is controlled by the exchange and the information(?) is accurate as of the date of this filing. Please enter URL(s) below: \_\_\_\_\_

Section IV – Rule 6a-4(c)

Within 15 days after the end of each calendar month, file a report concerning the security futures products traded on the exchange during the previous calendar month. Such report shall contain:

- (1) For each contract of sale for future delivery of a single security, the number of contracts traded on such exchange during the relevant calendar month and the total number of shares underlying such contracts traded; and
- (2) For each contract of sale for future delivery of a narrow-based security index, the number of contracts traded on such exchange during the relevant calendar month and the total number of shares represented by the index underlying such contracts traded.

Report of security futures products traded during calendar month ended mm/dd/yyyy

Section V: Exhibits

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits F, H, I) and Triennial Filings (A, B, C, E)		
	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
<p>Exhibit A: As of the latest date practicable within one (1) month of the date Form 1-N is filed, a copy of the constitution, articles of incorporation or association with all subsequent amendments, and existing by-laws or corresponding rules or instruments, whatever the name, of the filing exchange.</p>	<p><input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$ _____ Date of Publication: mm/dd/yyyy</p>	<p><input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.</p>	<p><input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is continuously available at the internet website below, which is controlled by {entity}, and is accurate as of the date of this filing and is free and accessible (without any</p>

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits F, H, I) and Triennial Filings (A, B, C, E)		
	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
			encumbrances or restrictions) by the general public URL(s):
<p><b>Exhibit B:</b> As of the latest date practicable within one (1) month of the date Form 1-N is filed, a copy of all written rulings, settled practices having the effect of rules, and interpretations of the Governing Board or other committee of the exchange in respect of any provisions of the constitution, by-laws, rules, or trading practices of the filing exchange which are not included in Exhibit A.</p>	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is available at the internet website below and is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):
<p><b>Exhibit C:</b> As of the latest date practicable within one (1) month of the date Form 1-N is filed, for each subsidiary or affiliate of the filing exchange that will be involved in the trading of security futures products, and for any entity with whom the exchange has a contractual or other agreement relating to the operation of an electronic trading system to be used to effect transactions in security futures products on the exchange (“System”), provide the following information:</p> <ol style="list-style-type: none"> <li>1. Name and address of organization.</li> </ol>	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$____	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is available at the internet website below and is accurate as of the date of this filing and is free and accessible

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits F, H, I) and Triennial Filings (A, B, C, E)		
	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
<ol style="list-style-type: none"> <li>2. Form of organization (<u>e.g.</u>, association, corporation, partnership, etc.).</li> <li>3. Name of state and statute citation under which organized. Date of incorporation in present form.</li> <li>4. Brief description of nature and extent of affiliation.</li> <li>5. Brief description of business or functions. Description should include responsibilities with respect to operation of the System and/or execution, reporting, clearance (including the controls that will be implemented to ensure the safety of held funds or securities), or settlement of transactions in connection with operation of the System.</li> <li>6. A copy of the constitution.</li> <li>7. A copy of the articles of incorporation or association including all amendments.</li> <li>8. A copy of existing by-laws or corresponding rules or instruments.</li> <li>9. The name and title of the present officers, governors, members of all standing committees, or persons performing similar functions.</li> <li>10. An indication of whether such business or organization ceased to be associated with the Security Futures Product Exchange during the previous year, and a brief statement of the reasons for termination of the association.</li> </ol>	Date of Publication: mm/dd/yyyy		(without any encumbrances or restrictions) by the general public URL(s):

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits F, H, I) and Triennial Filings (A, B, C, E)		
	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
<p>Exhibit D:</p> <p>Describe the manner of operation of the System involving trading of security futures products. The description should include the following:</p> <ol style="list-style-type: none"> <li>1. The means of access to the System.</li> <li>2. Procedures governing entry and display of quotations and orders in the System.</li> <li>3. Procedures governing the execution, reporting, clearance, and settlement of transactions in connection with the System.</li> <li>4. Proposed fees.</li> <li>5. Procedures for ensuring compliance with System usage guidelines.</li> <li>6. The hours of operation of the System, and the date of which the exchange intends to commence operation of the System.</li> <li>7. Attach a copy of the users' manual.</li> </ol>	Not Applicable.	Not Applicable	Not Applicable
<p>Exhibit E:</p> <p>A list of the officers, governors, or persons performing similar functions, who presently hold or have held their offices or positions during the previous year, indicating the following for each:</p> <ol style="list-style-type: none"> <li>1. Name.</li> <li>2. Title.</li> <li>3. Dates of commencement and termination of term of office or position.</li> <li>4. Type of business in which each is primarily engaged.</li> </ol>	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone #	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is available at the internet website below and is accurate as of the date of

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	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
	Price of Publication \$____ Date of Publication: mm/dd/yyyy		this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):
<p>Exhibit F: This Exhibit is applicable only to filing exchanges that have one or more owners, shareholders, partners that are also not members of the exchange and should be current as of the latest date practicable within one month of the date Form 1-N is filed. If the exchange is a corporation, please provide a list of each shareholder that directly owns 5% or more of a class of a voting security of the Security Futures Product Exchange. If the exchange is a partnership, please provide a list of all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of the partnership's capital. For each person listed in the Exhibit F, please provide the following:</p> <ol style="list-style-type: none"> <li>1. Full legal name.</li> <li>2. Title of Status.</li> <li>3. Date of title or status acquired.</li> <li>4. Approximate ownership interest.</li> <li>5. Whether the person has control, a term that is defined in the instructions to this Form.</li> </ol>	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is available at the internet website below and is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):
<p>Exhibit G: To the extent not covered in an exchange's rules submitted under Exhibit A, describe the Security Futures Product Exchange's criteria</p>			

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits F, H, I) and Triennial Filings (A, B, C, E)		
	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
for membership. Describe conditions under which members may be subject to suspension or termination for infractions relating to the trading of security futures products. Describe any procedures that will be involved in the suspension or termination of a member for such infractions.			
<p>Exhibit H: As of the latest date practicable within 1 month of the date Form 1-N is filed, provide an alphabetical list of all members, participants, subscribers, or other users, including the following information:</p> <ol style="list-style-type: none"> <li>1. Name</li> <li>2. If a member, participant, subscriber, or other user is an individual, the name of the entity with which such individual is associated and the relationship of such individual to the entity (<u>e.g.</u>, partner, officer, director, employee, etc.).</li> <li>3. Brief description of the type of activities primarily engaged in by the member, participant, subscriber, or other user. A person shall be “primarily engage” in an activity or function for purposes of this item when that activity or function is the one in which that person is engaged for the majority of their time. When more than one type of person at an entity engages in activities or functions, identify each type and state the number of members, participants, subscribers, or other users in each.</li> </ol>	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is available at the internet website below and is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):

Information Required by the Exhibit	Alternative Means of Filing Certain Exhibits in Annual (Exhibits F, H, I) and Triennial Filings (A, B, C, E)		
	Rule 6a-4(b)(5)(i) Available by publication	Rule 6a-4(b)(5)(ii) Available upon request	Rule 6a-4(b)(5)(iii) Available via internet website
4. The class of membership, participation, subscription, or other access.			
<p>Exhibit I: Provide a schedule of the security futures products proposed to be listed by the filing exchange, or for amendments to the Form I-N the security futures products listed by the exchange, indicating for each the name of the issuer and a description of the security.</p>	<input type="checkbox"/> In lieu of filing {entity} certifies that the information may be obtained below and is accurate as of the publication date: Name of Publication: Name Address Telephone # Price of Publication \$____ Date of Publication: mm/dd/yyyy	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is kept up to date and is available to the Commission and the public upon request.	<input type="checkbox"/> In lieu of filing {entity} certifies that the information requested under this exhibit is available at the internet website below and is accurate as of the date of this filing and is free and accessible (without any encumbrances or restrictions) by the general public URL(s):

**Section VI: Contact Employee Information**

The individual listed herein as the Contact Employee for {name of exchange} must be authorized to receive all contact information, communications, and mailings and is responsible for disseminating such information within the Security Futures Product Exchange’s organization.

First Name: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Email: \_\_\_\_\_ Telephone: \_\_\_\_\_

**Section VII: Consent to Service and Attestation**

By checking this box, {Name of Entity} consents that service of any civil action brought by, or notice of any proceeding before, the Securities and Exchange Commission in connection with the exchange’s activities may be given by registered or certified mail to the contact employee at the main address, or mailing address if different, given in Section I above; and represents that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part



hereof, are current, true, and complete.

#### Form 1-N General Instructions:

##### A. Use of the Form

Form 1-N is the form used for: (a) notice of registration as a national securities exchange for the sole purpose of trading security futures products (“Security Futures Product Exchange”) under Section 6(g) of the Securities Exchange Act of 1934 (“Exchange Act”) to provide to the Securities and Exchange Commission (“SEC” or “Commission”) specific items of information about the Security Futures Product Exchange and its operations; (b) the filing of annual and triennial updates to the information required by Form 1-N following notice of registration; and (c) supplemental material and reports of security futures products traded. Filings on Form 1-N submitted pursuant to Rule 6a-4 of the Exchange Act (17 CFR 240.6a-4) shall be filed in an electronic format on the Commission’s Electronic Data Gathering, Analysis, and Retrieval System (EDGAR) in accordance with EDGAR rules set forth in Regulation S-T (17 CFR Part 232). For assistance with EDGAR issues, please consult the EDGAR—Information for Filers webpage on SEC.gov. All pages of an electronically filed Form 1-N, including exhibits, shall be numbered consecutively, consistent with Rule 0-3 under the Exchange Act (17 CFR 240.0-3).

##### B. Need for Careful Preparation of the Completed Form, Including Exhibits

Security Futures Product Exchanges must provide all the information required by the form, including the exhibits, and must present the information in a clear and comprehensible manner. A filing that is incomplete or similarly deficient may be returned to the Security Futures Product Exchange. Any filing so returned shall for all purposes be deemed not to have been filed with the Commission. See also Rule 0-3 under the Exchange Act (17 CFR 240.0-3). If any exhibit required is inapplicable, a statement to that effect shall be furnished in lieu of such exhibit. The first filing on Form 1-N that a Security Futures Product Exchange submits through EDGAR must contain all items required by Section I.

##### C. When to Use the Form 1-N

Form 1-N is composed of 6 types of submissions to the Commission pursuant to Rule 6a-4 under the Exchange Act. In completing Form 1-N, a Security Futures Product Exchange shall select the type of filing and provide all information required by the relevant rules. The types of submissions are:

- (1) “Rule 6a-4 Initial Notice of Registration” submissions for notice of registration as a Security Futures Product Exchange. An exchange that is filing Form 1-N may not satisfy the requirements to provide certain information by means of an internet website. All materials must be filed with the Commission as part of the Form 1-N notice of registration.
- (2) “Rule 6a-4(b) Amendment to Notice of Registration” submissions for amendments to the Form 1-N, which shall set forth the nature and effective date of the action taken and shall provide any new information and correct any information rendered inaccurate within:
  - i) 10 days after any action that is taken renders inaccurate, or that causes to be incomplete, any information in Sections I through IV, or any amendments thereto; or
  - ii) 30 days after any action is taken that renders inaccurate, or that causes to be incomplete, any information filed as part of Exhibit F to Form 1-N, or any amendments thereto.
- (3) “Rule 6a-4(b)(3) Annual Filing” submission, which shall be filed by June 30 of each year and include Exhibits F, H, and I, which shall be current as of the latest date practicable within 3 months of the date the amendment is filed.
- (4) “Rule 6a-4(b)(4) Triennial Filing” submission, which shall be filed by June 30, 2025, and by June 30 every three years thereafter, and shall include complete Exhibits A, B, C, and E. The information filed under this submission type shall be current as of the latest practicable date, but shall at a minimum, be up to date within 3 months as of the date the amendment is filed.

- (5) “Rule 6a-4(c)(1) Supplemental Material” submission type, for submission of supplemental material within 10 days after issuing or making such material available to members, participants, or subscribers.
- (6) “Rule 6a-4(c)(2) Report of security futures products traded” submission type shall be filed within 15 days after the end of each calendar month. Such report shall contain: (i) For each contract of sale for future delivery of a single security, the number of contracts traded on such exchange during the relevant calendar month and the total number of share underlying such contracts traded; and (ii) For each contract of sale for future delivery of a narrow-based security index, the number of contracts traded on such exchange during the relevant calendar month and the total number of shares represented by the index underlying such contracts traded.

#### D. Documents Comprising the Completed Form

The completed form filed with the Commission shall consist of Form 1-N, responses to all applicable items, and any exhibits required in connection with the filing.

#### E. Contact Information and Filing of Completed Form

Each time a Security Futures Product Exchange submits a filing to the Commission on Form 1-N, the Security Futures Product Exchange must provide the contact information required by Section II of Form 1-N. The contact employee must be authorized to receive all contact information, communications and mailings and must be responsible for disseminating that information within the Security Futures Product Exchange.

For assistance with EDGAR issues, please consult the EDGAR—Information for Filers webpage on SEC.gov.

#### F. Recordkeeping

A copy of this Form 1-N, as well as the forms filed with the SEC, must be retained by the Security Futures Product Exchange and made available for inspection upon request of the SEC.

#### G. Paperwork Reduction Act Disclosure

Form 1-N requires an exchange seeking to register as a national securities exchange for the sole purpose of trading security futures products, pursuant to Section 6(g) of the Exchange Act, to provide the Commission with certain information regarding its operation. If documents containing information satisfying the Commission’s information requirements have been filed with the Commodity Futures Trading Commission, copies of such documents may be filed with the Commission. Form 1-N also requires Security Futures Product Exchanges to update certain information on a periodic basis.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid control number. Sections 3(a)(1), 5, 6(a) and 23(a) authorize the Commission to collect information on this Form 1-N from Security Futures Product Exchanges. *See* 15 U.S.C. §§78c(a)(1), 78e, 78f(a) and 78w(a).

Form 1-N is designed to enable the Commission to determine whether a Security Futures Product Exchange is in compliance with the Exchange Act.

It is estimated that a Security Futures Product Exchange will spend approximately 29 hours completing the initial application on Form 1-N pursuant to Rule 6a-4. It is estimated that each Security Futures Product Exchange will spend approximately 14 hours annually to prepare periodic amendments, 14 hours annually to prepare annual amendments, 7 hours annually to prepare triennial amendments to Form 1-N and 6 hours annually for the required supplemental information and monthly reports pursuant to Rule 6a-4.

Any member of the public may direct to the Commission any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden.

It is mandatory that an exchange seeking to operate as a national securities exchange for the sole purpose of trading security futures products file a Form 1-N with the Commission. It is also mandatory that Security Futures Product Exchanges file amendments to Form 1-N under Rule 6a-4.

No assurance of confidentiality is given by the Commission with respect to the responses made in Form 1-N. The public has access to the information contained in Form 1-N.

This collection of information has been reviewed by the Office of Management and Budget (“OMB”) in accordance with the clearance requirements of 44 U.S.C. §3507. The Commission has determined that the information collection does not constitute a system of record for purposes of the Privacy Act.

#### H. Explanation of Terms

**AFFILIATE** - Any person that, directly or indirectly, controls, is under common control with, or is controlled by, the national securities exchange or exchange exempt from registration based on the limited volume of transactions effected on such exchange, including any employees.

**CONTROL** - The power, directly or indirectly, to direct the management or policies of a company, whether through ownership of securities, by contract, or otherwise. Any person that (i) is a director, general partner or officer exercising executive responsibility (or having similar status or functions); (ii) directly or indirectly has the right to vote 25% or more of a class of voting securities or has the power to sell or direct the sale of 25% or more of a class of voting securities; or (iii) in the case of a partnership, has the right to receive, upon dissolution, or has contributed, 25% or more of the capital, is presumed to control that entity.

**DIRECT OWNERS** - Any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of a voting security of the Security Futures Product Exchange. For purposes of this Form 1-N, a person beneficially owns any securities (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant or right to purchase the security.

**MEMBER** - Shall have the same meaning as under Exchange Act Section 3(a)(3).

**PERSON ASSOCIATED WITH A MEMBER** - Shall have the same meaning as under Section 3(a)(21) of the Exchange Act.