

## BY ELECTRONIC TRANSMISSION

Submission No. 16-137 October 28, 2016

Mr. Christopher J. Kirkpatrick Secretary of the Commission Office of the Secretariat Commodity Futures Trading Commission Three Lafayette Centre 1155 21<sup>st</sup> Street, NW Washington, DC 20581

Re: Amendments to ICE Futures U.S. Rule 4.02 - Submission Pursuant to Section 5c(c)(1) of the Act and Regulation 40.6

Dear Mr. Kirkpatrick:

Pursuant to Commission Regulation 40.6(a), ICE Futures U.S., Inc. ("IFUS" or "Exchange") self-certifies the amendment to Exchange Rule 4.02 set forth in Exhibit A. The amendment to Rule 4.02(d) tracks Commission Regulation 180.1 and adds new language that expressly prohibits attempted fraudulent action on the Exchange and the use or employment of any manipulative device, scheme or artifice to defraud.

The amendments will become effective on November 14, 2016. The Exchange certifies that the rule amendments comply with the requirements of the Commodity Exchange Act and the rules and regulations promulgated thereunder. Specifically, the amendments comply with Core Principle 2 (Compliance with Rules) and Core Principle 4 (Protection of Market and Market Participants). As mentioned above, the language of the amendment tracks Commission Regulation 180.1 by prohibiting attempted fraudulent action on the Exchange and the use or employment of any manipulative device, scheme or artifice to defraud. The Exchange further certifies that, concurrent with this filing, a copy of this submission was posted on the Exchange's website, which may be accessed at (https://www.theice.com/futures-us/regulation#rule-filings).

If you have any questions or need further information, please contact me at 212-748-4021 or at jason.fusco@theice.com.

Sincerely,

Jason V. Fusco

Assistant General Counsel

Market Regulation

Enc.

cc: Division of Market Oversight

New York Regional Office

## **EXHIBIT A**

[Additions are underlined and deletions are struck through]

## **Rule 4.02. Trade Practice Violations**

In connection with the placement of any order or execution of any Transaction, it shall be a violation of the Rules for any Person to:

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(d) Commit <u>or attempt to commit</u> fraudulent action on the Exchange <u>or use or employ, or attempt to use or employ, any manipulative device, scheme, or artifice to defraud;</u>

[REMAINDER OF RULE UNCHANGED]