



Tradition SEF, LLC

Participant Notice 25-04

Re: Agent for Service of Process Agreement requested for Non-U.S. Participant Transactions on Tradition SBSEF

February 3, 2025

To : Tradition SEF Authorized Representatives
From : Tradition SEF Legal, Compliance, and Operations

Authorized Representatives,

As a reminder, non-U.S. based Participants intending to engage in transactions involving equity Securities-Based Swaps on Tradition SBSEF through our affiliated Broker Dealer, Tradition Securities and Derivatives LLC, are required to submit a copy of their fully executed Agent for Service of Process Agreement, in accordance with the U.S. Securities and Exchange Commission (“SEC”) Rule 819 (k), which must include their U.S. based Agent’s name and contact information.

Your Agent for Service of Process Agreement may be submitted via electronic mail from the Participant’s Authorized Representative to Tradition SEF at tradsefob@tradition.com.

Please contact us at the contact information below with any questions.

For Tradition SEF compliance questions please contact:

Eric Earnhardt, CCO: (212) 791-3497 or eric.earnhardt@tradition.com

For Tradition SEF administrative questions please contact:

Diana Kapanadze: (212) 238 -5908 or diana.kapanadze@tradition.com

For Tradition SEF legal matters, please contact:

Bennett Kirschner, General Counsel: (212) 377-2337 or bennett.kirschner@tradition.com