



101 Arch Street  
Suite 610  
Boston, MA USA 02110  
(617) 235-2323

## BOX Applications and Form Instructions

There are two areas which must be addressed in order to commence trading on BOX: technical connectivity and regulatory compliance. This document covers the second. In order to become a BOX Participant, each of the documents to be completed are described below.

For general information on BOX, please consult [www.bostonoptions.com](http://www.bostonoptions.com).

### A. PARTICIPANT APPLICATION (“PA”)

All BOX Participant candidates must complete the Participant Application. There are four sections to the BOX PA; depending upon how your firm plans to participate on BOX, you must complete:

- **Parts 1 and 2:** ALL Applicants are required complete these sections;
- **Part 3:** FINRA conducts DOEA functions on behalf of the BX Self Regulatory Organization (SRO) (under a standing Regulatory Service Agreement between FINRA and the BX SRO);
- **Part 4:** Only Market Maker applicants must complete this section.

### B. USER AGREEMENT

This document defines the rights and obligations of connecting to the BOX technical infrastructure. All Participants must complete the form.

### C. PARTICIPANT AGREEMENT

This document acknowledges that your firm and its associated persons are subject to the oversight and jurisdiction of the Exchange. The BOX Participant authorizes the Exchange, BOX and BOX Regulation (BOXR) to make available to any governmental agency or self-regulatory organization (SRO) any information it may have concerning the Participant or its associated persons, and releases the above-referenced entities from any and all liability in furnishing such information. Participant firm acknowledges its obligation to update any and all information contained in any part of the Participant Application, including termination of membership with another SRO, which may cause a change in a Participant's DOEA.



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## D. CLEARING AGREEMENT

- **Trading Participant Clearing Guarantee Form (Clearing Guarantee)**

The BOX Participant's Clearing Firm must complete the appropriate Clearing Guarantee document. Please note that only Market Makers need to submit the BOX Participant Account Acronyms section.

- **BOX Give Up Agreement (optional)**

Please contact the BOX Market Operations Center at (866) 768-8845 with any questions regarding the BOX Give Up Agreement.

## E. REGULATORY AND BILLING CONTACTS

- Please provide a name, title, address, phone, fax and e-mail for your firm's regulatory and billing contacts.
- For those firms that wish to be billed through their clearing firm, please provide identical contact information.

## F. Submission of Documentation

Please submit BOX Participant documents to:

**Joseph Dalton**  
Boston Options Exchange Regulation, LLC  
101 Arch Street  
Suite 610  
Boston, MA 02110  
Fax: (617) 235-2355  
joe.dalton@nasdaqomx.com

The Exchange will review your application materials and advise of an outstanding documents or questions. Once due diligence has been completed on your file, BOX Systems and Market Operations will be notified to begin connectivity procedures to make your firm live on BOX. All of the above steps must be completed before trading can commence.



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## **KEY BOX CONTACTS:**

### **Business Development:**

Patty Kevin-Schuler: (312) 444-6337, [patty.schuler@bostonoptions.com](mailto:patty.schuler@bostonoptions.com)

Patrick Zielinski: (617) 235-2272, [pzielinski@bostonoptions.com](mailto:pzielinski@bostonoptions.com)

### **Participant Applications:**

Joseph Dalton: (617) 235-2317, [joe.dalton@nasdaqomx.com](mailto:joe.dalton@nasdaqomx.com)

### **Market Operations:**

Carl Miedaner: (617) 235-2291, [cmiedaner@bostonoptions.com](mailto:cmiedaner@bostonoptions.com)

### **Systems:**

John Goode: (312) 444-6334, [john.goode@bostonoptions.com](mailto:john.goode@bostonoptions.com)