



TO: BOX Options Participants
FROM: BOX Regulation
SUBJECT: Revised; Changes to BOX Origin Codes
DATE: June 20, 2014

BOX has amended RC-2014-05 as follows:

- The implementation date has moved from July 1, 2014 to **August 1, 2014**
- The Broker Dealer Cleared as Customer code will still be accepted
- The Away Market Maker description clarifies that Away Market Makers may also be BOX Participants

Beginning **August 1, 2014** BOX will accept the following order Origin Codes:

| <u>Label</u> | <u>Description</u> | <u>SAIL/ HSVF/ATR Account Type Value</u> | <u>FIX Tag 47 Rule 80A Value</u> | <u>OCC</u> | <u>Billing</u> |
|--|--|--|--|------------|----------------|
| Public Customer | Public Customer for whom the BOX Participant is acting as agent. Trades must clear as Customer at OCC. | 6 | C | C | PC |
| Professional Customer | Any person or entity that (i) is not a broker or dealer in securities, and (ii) places more than 390 orders in listed options per day on average during a calendar month for its own beneficial accounts(s). | T | T | C | Pro Cust |
| Broker Dealer | Includes BOX Participants and those acting as agent for the account of a BD that is not a BOX Participant nor affiliated with a BOX Participant. Trades clear as Firm at OCC. | 7 | F | F | BD |
| Broker Dealer Cleared as Customer | Same as Broker Dealer above. Trades clear as Customer at OCC. | W | W | C | BD |
| Market Maker | BOX Participant acting as Market Maker on BOX, though not necessarily for the class on which the order is submitted. Trades clear as Market Maker at OCC. | 8 | M | M | MM |
| Away Market Maker | Market Maker registered on another exchange. Trades clear as Market Maker at OCC. | X | X | M | BD |

Contacts

Please review the information provided herein. If you have any questions regarding this information, please contact BOX Regulation at BOXMRC@BOXregulation.com.