



2024 Disciplinary Actions As of June 11, 2024

The following is a list of disciplinary actions that have resulted in the imposition of penalties for violations of specified provisions of the federal securities laws and/or the Constitution and Rules of the Exchange. New actions are added to the list as and when they are finalized.

A. Disciplinary Sanctions Imposed Pursuant to BOX Rule 12030, Letters of Consent:

- BofA Securities, Inc. (“BofA” or “the Firm”) was censured and fined a total of \$725,000, of which \$30,400 is payable to BOX. FINRA, on behalf of BOX, conducted a review of the Firm’s failure to accurately record transmissions for manual options orders routed to various options exchanges, including BOX. By failing to record or accurately record order transmission times, BofA violated Section 17(a) of the Securities Exchange Act of 1934 and Rule 17a-3 thereunder, and BOX Rule 10000. Additionally, from October 2019 to April 2023, the firm violated BOX Rule 3010 by failing to establish, maintain, and enforce written procedures, and a system for applying such procedures, to assure the accurate recording of order transmission times.