



## **Standards of Conduct for the Safety and Welfare of Persons on the BOX Trading Floor related to COVID-19**

This document contains the current Standards of Conduct that are required to ensure the safety and welfare of persons, and the ordinary and efficient conduct of business on the BOX Trading Floor at 141 W Jackson Blvd in Chicago (the "Facilities").

Participants, along with their associated persons (together, "Participants"), accessing the Facilities must follow the practices set forth in this memo until further notice. Badge access will be restricted to only those individuals that the Participant has notified BOX of in advance. Participants must provide advance notice to BOX of any changes to personnel.

Please note that BOX reserves the right to make changes as local government guidance and conditions evolve related to the COVID-19 pandemic.

BOX reserves the right to close the BOX Trading Floor to protect the health and safety of the trading floor community.

### **Standards of Conduct**

Strict adherence to these Standards of Conduct is critical to provide for the safety of all parties on the BOX Trading Floor, including BOX employees. Failure to comply with these requirements and conditions will result in the matter being directed to the Chief Regulatory Officer for handling.

### **Entrance to the Facilities**

- The Exchange may choose to limit capacity on the Floor and not allow non-essential visitors and media.
- At the Exchange's discretion, anyone entering the Facilities may be asked to observe social distancing measures.
- The use of facial covering on the trading floor is optional.
- Anyone entering the Facilities must abide by all applicable city and state advisories and emergency orders regarding the COVID-19 pandemic.

### **COVID-19 Symptoms**

- An individual that is experiencing a cough, fever, chills, shortness of breath, headache, sore throat, or other symptoms commonly associated with COVID-19 should take a COVID-19 test before entering the Facilities; or avoid the Facilities until symptoms are no longer present.
- At the Exchange's discretion, individuals may be required to complete a daily health assessment.

### **Testing and Positive Cases of COVID-19**

- Participants confirmed positive for COVID-19 or advised by a health care provider that they are presumed to be positive for COVID-19 should stay home and follow the CDC guidance for quarantine and isolation and avoid the Facilities until symptoms have subsided.

### **Exclusion and Supervision**

- Pursuant to BOX Rule 2120, Participants may be excluded from the BOX Trading Floor for breaches of regulations, including but not limited to the Standards of Conduct listed above, that relate to administration of health, safety and welfare on the BOX Trading Floor or on the premises immediately adjacent to the BOX Trading Floor. Participants are reminded that they are responsible for the adequate supervision of all non-registered employees, participants, or persons while such persons are in the Facilities to ensure compliance with the BOX Rules.
- Participants who engage in any practice that violates the BOX Rules or any local laws may be subject to formal or informal disciplinary action or may be asked not to enter or to leave the Facilities by the Exchange.
- If someone is observed failing to comply with the Standards of Conduct, please alert BOX immediately.

### **Contact**

Please review the information provided herein. If you have any questions regarding this information, please contact BOX Trading Floor at [TradingFloor@boxexchange.com](mailto:TradingFloor@boxexchange.com).