



BOXSM
O P T I O N S

Informational Circular

IC-2021-45

TO: BOX Options Participants
FROM: BOX Market Operations Center
SUBJECT: Mandatory Weekend Virtual Trading Floor Production Testing for BOX Trading Floor Participants
DATE: October 18, 2021

This notice is being issued to announce mandatory Virtual Trading Floor (“VTF”) production testing on **Saturday, October 30, 2021 or Saturday, November 6, 2021 from 10:00 a.m. to 12:00 p.m. EST** for BOX Trading Floor Participants.¹ BOX Trading Floor Participants must participate from their off-site locations and not from the BOX Trading Floor. Participation at either production session will satisfy the Exchange’s mandatory testing requirement.

The BOX VTF may be utilized if the BOX Trading Floor became inoperable.

System Requirements for the BOX VTF

- High-speed Internet Connection
 - Recommended 100.0 Mbps (up/down) for sending receiving 1080p video
- Headset – Wired or Bluetooth
- Webcam or HD webcam – built-in or USB plug-in
- Desktop PC or tablet requirements (dedicated to video collaboration)
 - Supported Operating Systems:
 - Windows: 7, 8, 8.1, 10 (Home, Pro, Enterprise)
 - MacOS: 10.9 or later
 - Supported Browsers:
 - Windows: Chrome 30+ (preferred), Windows IE 11+, Edge 12+, Firefox 27+
 - Mac: Chrome 30+ (preferred), Safari 7+, Firefox 27+
 - Processor: dual core 2Ghz or higher – i3/i5/i7 or AMD equivalent
 - RAM: 4Gb or higher

Participation Requirements

Each Floor Participant firm is required to have a minimum of one approved Trading Floor Marker Maker or Floor Broker Representative who is currently active on the Trading Floor participate in the test, but all active trading permit holders are encouraged to participate. Please note that a Clerk’s participation in the test will not satisfy the requirement.

Required Floor Participants must connect to the VTF environment and participate within the session as follows:

- Floor Brokers will be required to connect to the VTF and simulate two (2) open outcry executions.

¹ This mandatory weekend test is pursuant to BOX Rule 3180.

- Floor Market Makers will be required to connect to the VTF and simulate verbal trading.

Any Floor Participant who is required to test but who fails to conduct or participate in the test may be subject to summary suspension or other action taken pursuant to Rule Series 11000 (Summary Suspensions) and/or disciplinary action pursuant to Rule Series 12000 (Discipline).

Access to the VTF Environment

To gain access to the BOX VTF, Participants must:

1. Request VTF Access from the BOX Market Operations Center ("MOC") at BOXMOC@boxoptions.com. BOX MOC will provide a VTF Access Request Form.
2. Return completed VTF Access Request Form to BOX MOC.
3. Once permissioned, go to vtf.boxoptions.com.
4. Login using account information provided by BOX MOC.

Confirmation of IP Address

If you have already been provisioned to access the VTF, please contact BOX MOC to confirm the provisioned IP address that will provide access to the VTF environment for the weekend testing at BOXMOC@boxoptions.com. Please also provide a cell phone number and telecom provider for multi-factor authentication purposes.

Please provide the VTF Access Form or confirmation of IP address to BOX MOC by Monday, October 25, 2021.

Contact

For any additional questions, please contact the Market Operations Center at (866) 768-8845 or by e-mail at BOXMOC@boxoptions.com.