



BOXSM
REGULATION

Regulatory Circular

RC-2019-05

TO: BOX Options Participants
FROM: BOX Regulation
SUBJECT: Consolidated Audit Trail Clock Synchronization Notice
DATE: March 14, 2019

As previously communicated, Industry Members must complete an annual certification for Business Clock Synchronization by March 15th of each year. A reminder notification can also be found on the CAT NMS Plan website via this [link](#). The national securities exchanges and Financial Industry Regulatory Authority, Inc. ("FINRA") previously issued a Consolidated Audit Trail ("CAT") notice regarding clock synchronization, including information on the Business Clock synchronization requirement, synchronization procedures, violation reporting, and annual certifications which is available via this [link](#). A clock synchronization certification form is available via this [link](#).

Additional Information

As part of the Plan Processor transition previously announced, on February 13th, 2019, the CAT Helpdesk will transition to CAT NMS, LLC. During the transition period, industry questions may be submitted to CATNMSIO@deloitte.com for SRO tracking and resolution. Phone helpdesk services with the new Plan Processor will be restored at a future date.

Industry Members are also reminded to visit www.catnmsplan.com for additional information, such as FAQs and industry webcasts, and updates regarding the status of the CAT.

Contact

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