



BOXSM
O P T I O N S

Regulatory Circular

RC-2022-15

TO: BOX Options Participants
FROM: BOX Exchange LLC
SUBJECT: CAT Full CAIS Certification and Compliance Deadlines Extended
DATE: June 14, 2022

This circular is being issued by BOX Exchange LLC (the "Exchange") to confirm to Participants that the Consolidated Audit Trail ("CAT") full Customer Account Information System ("CAIS") certification and compliance deadlines have been extended.

Full CAIS Certification and Compliance Deadlines

The CAT Plan Participants have determined to extend the full CAIS production readiness certification deadline from July 1, 2022 to July 11, 2022 and to extend the full CAIS compliance deadline from July 11, 2022 to a date projected to be in Q4 2022. The new date will be announced subsequently. For additional information please review the CAT announcement located here: <https://www.catnmsplan.com/announcements/full-cais-production-certification-and-compliance-deadlines-extended>.

Contacts

Please contact the Exchange's Market Regulation Center at BOXMRC@boxexchange.com should you require additional information.