

**WARNING:** Failure to keep this form current and to file accurate supplementary information on a timely basis, or the failure to keep accurate books and records or otherwise to comply with the provisions of law applying to the conduct of the applicant would violate the federal securities laws and may result in disciplinary, administrative, or criminal action.

**INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACTS MAY CONSTITUTE CRIMINAL VIOLATIONS**

APPLICATION  AMENDMENT

1. State the name of the applicant: BOX Options Exchange LLC

2. Provide the applicant's primary street address (Do not use a P.O. Box):

101 Arch Street, Suite 610, Boston, MA 02110



13035773

3. Provide the applicant's mailing address (if different):

4. Provide the applicant's business telephone and facsimile number:

617-235-2235 617-235-2253  
 (Telephone) (Facsimile)

5. Provide the name, title, and telephone number of a contact employee:

Lisa J. Fall President 617-235-2235  
 (Name) (Title) (Telephone Number)

6. Provide the name and address of counsel for the applicant:

Alanna Barton  
101 Arch Street, Suite 610  
Boston, MA 02110

7. Provide the date applicant's fiscal year ends: December 31

8. Indicate legal status of applicant:  Corporation  Sole Proprietorship  Partnership  
 Limited Liability Company  Other (specify): \_\_\_\_\_

If other than a sole proprietor, indicate the date and place where applicant obtained its legal status (e.g. state where incorporated, place where partnership agreement was filed or where applicant entity was formed):

(a) Date (MM/DD/YY): 08/26/2010 (b) State/Country of formation: Delaware, USA

(c) Statute under which applicant was organized: DLLCA Sec. 18-201

**EXECUTION:** The applicant consents that service of any civil action brought by , or notice of any proceeding before, the Securities and Exchange Commission in connection with the applicant's activities may be given by registered or certified mail or confirmed telegram to the applicant's contact employee at the main address, or mailing address if different, given in Items 2 and 3. The undersigned, being first duly sworn, deposes and says that he/she has executed this form on behalf of , and with the authority of , said applicant. The undersigned applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

Date: November 4, 2013 BOX Options Exchange LLC  
 (MM/DD/YY) (Name of applicant)  
 By: Lisa J. Fall, President

Subscribed and sworn before me this 4<sup>th</sup> day of November, 2013 by Julie Ann McGoff  
 (Month) (Year) (Notary Public)

My Commission expires 10/31/2019 County of Suffolk State of Massachusetts



2013 NOV - 7 AM 9:44  
 SEC / MR  
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*This page must always be completed in full with original, manual signature and notarization.  
 Affix notary stamp or seal where applicable.*



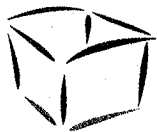
**BOX**<sup>SM</sup>  
OPTIONS EXCHANGE

# BOX OPTIONS EXCHANGE LLC

## AMENDMENT No. 6 to FORM 1 APPLICATION and EXHIBITS

COPY

**The Form 1 application is hereby amended as set forth in this Amendment No. 6.  
The Form 1 application is not being modified in any respect other than to the extent  
set forth below.**



**BOX**<sup>SM</sup>  
OPTIONS EXCHANGE

**Amendment to:**

**Exhibit C – Affiliates and Contractual Agreements  
Related to the Electronic Trading System**

**Request:**

For each subsidiary or affiliate of the applicant, and for any entity with whom the applicant has a contractual or other agreement relating to the operation of an electronic trading system to be used to effect transactions on the exchange (“System”), provide the following information:

1. Name and address of organization.
2. Form of organization (e.g., association, corporation, partnership, etc.).
3. Name of state and statute citation under which organized. Date of incorporation in present form.
4. Brief description of nature and extent of affiliation.
5. Brief description of business and functions. Description should include responsibilities with respect to operation of the System and/or execution, reporting, clearance, or settlement of transactions in connection with operation of the System.
6. A copy of the constitution.
7. A copy of the articles of incorporation or association including all amendments.
8. A copy of existing by-laws or corresponding rules or instruments.
9. The name and title of the present officers, governors, members of all standing committees or persons performing similar functions.
10. An indication of whether such business or organization ceased to be associated with the applicant during the previous year, and a brief statement of the reasons for termination of the association.



**BOX**<sup>SM</sup>  
OPTIONS EXCHANGE

**The Exhibit C is hereby amended as set forth below. The Exhibit C is not being modified in any respect other than to the extent set forth below.**

**Amendment to Prior Response:**

**BOX Market LLC**

9. Officers of BOX Market LLC:

- Tony McCormick, CEO
- Lisa Fall, EVP, Chief Legal Officer & Secretary
- Vito Gendusa, SVP, Finance
- Patrick Zielinski - SVP, Market Operations



**BOX**<sup>SM</sup>  
OPTIONS EXCHANGE

**Amendment to:**

**Exhibit J**

**Request:**

A list of the officers, governors, members of all standing committees, or persons performing similar functions, who presently hold or have held their offices or positions during the previous year, indicating the following for each:

Name.

Title.

Dates of commencement and termination of term of office or position.

Type of business in which each is primarily engaged (e.g., floor broker, specialist, odd lot dealer, etc.)

**Exhibit J is hereby amended as set forth below. The Exhibit J is not being modified in any respect other than to the extent set forth below.**

**Amendment to Prior Response:**

1. Officers of the Exchange:

<b>Name:</b>	<b>Title:</b>	<b>Date of Commencement:</b>
Tony McCormick	Chief Executive Officer	April 28, 2011
Lisa Fall	President and Secretary	April 28, 2011
Ken Meaden	Chief Regulatory Officer	April 28, 2011
Bruce Goodhue	Vice President, Regulation	July 24, 2013