



101 Arch Street  
Suite 610  
Boston, MA 02110

141 W Jackson Blvd,  
Suite 280  
Chicago, IL 60604

August 31, 2023

Via Electronic Submission

Ms. Molly Kim  
Assistant Director  
Division of Trading and Markets  
U.S. Securities and Exchange Commission  
100 F Street N.E.  
Washington, DC 20549

Re: BOX Exchange LLC  
Amendment No. 69 to Form 1

Dear Ms. Kim:

Enclosed for filing is Amendment No. 69 to Form 1 (the "Amendment"). The Amendment includes an updated execution page and amendments to Exhibit C to reflect Director changes.

Except as set forth above, neither the Form 1 nor any exhibits thereto are being changed by this Amendment No. 69.

This Amendment No. 69 is being filed electronically based upon relief from Commission staff.

Please do not hesitate to contact me if you have any questions.

Sincerely yours,

Alanna Barton  
General Counsel



cc: Johnna Dumler  
TM-Marketsupervision@sec.gov  
Glen R. Openshaw, Esq.

Enclosures



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 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
  3. Provide the applicant's mailing address (if different):  
23008028
  4. Provide the applicant's business telephone and facsimile number:  
617-235-2239 617-235-2253  
(Telephone) (Facsimile)
  5. Provide the name, title, and telephone number of a contact employee:  
Alanna Barton General Counsel 617-235-2239  
(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): 8/26/2010 (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 and applicant represent that the information and statements contained herein, including exhibits, schedules, or other documents attached hereto, and other information filed herewith, all of which are made a part hereof, are current, true, and complete.

Date: 8/31/2023 BOX Exchange LLC  
(MM/DD/YY) (Name of applicant)

By: Alanna Barton Alanna Barton, General Counsel  
(Signature) (Printed Name and Title)

Subscribed and sworn before me this 31 day of August, 2023 by Alyssa R Schwartz  
(Month) (Year) (Notary Public)

My Commission expires May 25, 2029 County of Suffolk State of Massachusetts

**This page must always be completed in full with original, manual signature and notarization.**  
**Affix notary stamp or seal where applicable.**





BOX EXCHANGE LLC

AMENDMENT No. 69  
to  
FORM 1 APPLICATION  
and  
EXHIBITS

**The Form 1 application is hereby amended as set forth in this Amendment No. 69. The Form 1 application is not being modified in any respect other than to the extent set forth below.**



**Amendment to:**

**Exhibit C**

**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 or 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.

**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 Holdings Group LLC**

9. Officers of BOX Holdings Group LLC:

- Drew Haney, VP, Finance and Administration
- Lisa Ruggiero, Secretary

Directors of BOX Holdings Group LLC:

- Michael Ptasznik, Chairman
- Luc Fortin, Chief Executive Officer, Montreal Exchange
- Nicole Rosenberg, Vice President, TMX Group Inc.
- Ryan Gould, Senior Vice President, Interactive Brokers Group, LLC
- Scott M. Litvinoff, Chief Regulatory Counsel, Interactive Brokers Group, LLC
- William Easley, Managing Director, Aragon Solutions, Ltd.
- Marin Nitzov, Director of Systematic Options Trading, Citadel Securities Principal Investments LLC
- Troy Kane, Head of Global Derivatives and FICC Development, Citadel Securities Principal Investments LLC
- Ashton Galya, Vice President, JP Morgan
- Nate Pomeroy, Principal, Wolverine Holdings, L.P.
- Amir Heravi, Managing Director, UBS Americas Inc.

Committees:

Audit Committee:

- William Easley
- Scott Litvinoff
- Nicole Rosenberg

Executive Committee:

- William Easley
- Luc Fortin
- Troy Kane
- Scott Litvinoff
- Michael Ptasznik
- Nicole Rosenberg



## **BOX Options Market LLC**

### **9. Officers of BOX Options Market LLC:**

- Patrick Zielinski – Chief Executive Officer
- Lisa Ruggiero, General Counsel and Secretary

### **Directors of BOX Options Market LLC:**

- Michael Ptaznik, Chairman
- Luc Fortin, Chief Executive Officer, Montreal Exchange
- Nicole Rosenberg, Vice President, TMX Group Inc.
- Ryan Gould, Senior Vice President, Interactive Brokers Group, LLC
- Scott M. Litvinoff, Chief Regulatory Counsel, Interactive Brokers Group, LLC
- William Easley, Managing Director, Aragon Solutions, Ltd.
- Marin Nitzov, Director of Systematic Options Trading, Citadel Securities Principal Investments LLC
- Troy Kane, Head of Global Derivatives and FICC Development, Citadel Securities Principal Investments LLC
- Ashton Galya, Vice President, JP Morgan
- Nate Pomeroy, Principal, Wolverine Holdings, L.P.
- Amir Heravi, Managing Director, UBS Americas Inc.
- Marguerite Donovan, Deputy Chief Regulatory Officer, BOX Exchange LLC

### **Committees:**

#### **Audit Committee:**

- William Easley
- Scott Litvinoff
- Nicole Rosenberg

#### **Compensation Committee:**

- Michael Ptaznik
- Ryan Gould
- Troy Kane

#### **Executive Committee:**

- Michael Ptaznik
- Patrick Zielinski
- Luc Fortin
- Troy Kane
- Scott Litvinoff
- Nicole Rosenberg



## **BOX Technology LLC**

### 9. Officers of BOX Technology LLC:

- Rosanna Teti – Chief Executive Officer
- David Wilson – Chief Technology Officer
- Lisa Ruggiero, Secretary

### Directors of BOX Technology LLC:

- Michael Ptasznik, Chairman
- Luc Fortin, Chief Executive Officer, Montreal Exchange
- Nicole Rosenberg, Vice President, Governance, Legal and Business Affairs, TMX Group Ltd.
- Scott Litvinoff, Chief Regulatory Counsel, Interactive Brokers Group LLC
- William Easley, Managing Director, Aragon Solutions, Ltd.
- Troy Kane, Head of Global Derivatives and FICC Development, Citadel Securities Principal Investments LLC
- Marguerite Donovan, Deputy Chief Regulatory Officer, BOX Exchange LLC
- Patrick Zielinski, Chief Executive Officer, BOX Options Market LLC