

Memorandum

To: File No. SR-BOX-2021-06

From: Liliana Burnett
Office of Market Supervision, Division of Trading and Markets

Date: December 3, 2021

Subject: Conference Call with The Depository Trust & Clearing Corporation (“DTCC”)

On December 3, 2021, John Roeser, Ted Uliassi, Jenna Dodd, Lauren Yates, Joanne Kim, and Liliana Burnett of the Office of Market Supervision, Division of Trading and Markets, and Jeff Mooney, Mary Ann Callahan, Elizabeth Fitzgerald, Matt Lee and Claire Noakes of the Office of Clearance and Settlement, Division of Trading and Markets had a conference call with the following individuals:

Ken Riitho, DTCC
William Kapogiannis, DTCC

The discussion concerned BOX Exchange LLC’s (the “Exchange”) proposed rule change to adopt rules governing the listing and trading of equity securities through a facility of the Exchange known as BSTX LLC.