



BOX Options Exchange Form 1

Exhibit F-1 – BOX Options Participant Application Checklist

Application:

- BOX Options Participant Application - Part 1 - Individual Application
- BOX Options Participant Application - Part 2 - Applicant - Firm
- BOX Options Participant Application - Part 3 - Market Maker Application

Agreements:

- BOX Options Market Participant Agreement
- BOX User Agreement
- BOX Trading Participant Clearing Guarantee (Non-Market Maker)
- BOX Trading Participant Clearing Guarantee (Market Maker)
- BOX Options Participant Waive-In Application and Agreement

Other Materials:

- Form BD
- FOCUS Report
- Organizational Chart
- Written Supervisory Procedures
- Information Barrier Procedures (if broker and trader)
- Good Standing letter from DOEA¹

¹ FINRA will operate as Designated Options Examining Authority (“DOEA”) for BOX Options Participants who are FINRA members.