



BOX Options Exchange Form 1

Exhibit F-3 - BOX Options Participant Waive-In Application and Agreement

An applicant for membership (“Applicant”) with BOX Options Exchange, LLC (“Exchange”) that is or was formerly a subscriber of the electronic communications network Boston Options Exchange Group, LLC and an active member of : (1) the Financial Industry Regulatory Authority (“FINRA”), or (2) a registered national securities exchange, shall, for a temporary 90-day period beginning on _____ and ending on _____, have the option, by submitting this Waive-In Options Participant Application and Agreement Form, (i) to apply to become a Options Participant of the Exchange and, (ii) to automatically register with the Exchange all of its associated persons whose registrations are active at the time the Exchange is approved as a national securities exchange and who are registered in categories recognized by the Exchange. The Exchange may request additional documentation from Applicant in order to determine that an Applicant meets the qualification standards set forth in Exchange Rule 2060. The Exchange will make the determinations with respect to the Waive-In Options Participant Applications and Agreements in accordance with Exchange Rule 2020.

Applicant must complete this Waive-In Options Participant Application and Agreement Form, which should be sent, along with the documents listed below via certified or first Class mail, or via courier or messenger service, to BOX Options Exchange LLC, Attn: Options Participant Registration Department, 101 Arch Street, Suite 601, Boston, Massachusetts 02110. Questions regarding this Waive-In Options Participant Application and Agreement Form should be directed to Options Participant Registration Department, (617) 235-2291.

Important: Applicants are required to update any information submitted as part of this application process that if it becomes inaccurate or incomplete after the submission of this Waive-In Options Participant Application and Agreement Form.



General Information

Return to: BOX Options Exchange LLC (the "Exchange")
Attn: Options Participant Registration Department
101 Arch Street, Suite 610
Boston, MA 02110
Ph: (617) 235-2291
Fx: (617) 235-2253

Date of Application: _____

Part I.

A. General Firm Information

Name of Firm

(Address)

(City)

(State)

(Zip)

Central Registration Depository ("CRD") Number: _____

Designated Options Examining Authority ("DOEA") Check if: FINRA Member

Other: (Please provide name) _____

Contact Name and Title (For Questions Concerning this Application)

Contact Telephone and Fax

Contact Email



B. Nature of Activity on the Exchange

Please check the business activity(ies) in which the firm intends to engage as a BOX Options Participant. If this is not the same business activity that the firm currently engages in as a FINRA member, the applicant must, pursuant to FINRA Rule 1017, apply for approval to effect a material change in business operations, before the BOX membership is approved.

- Market Maker
- Order Flow Provider
- Both Order Flow Provider and Market Maker

C. Personnel

Please provide the name and CRD number of the person primarily responsible for supervision of the firm's exchange trading activity:

Name

Title

CRD Number

Email

Part II. Registration Transfers

The Exchange will affect automatic registration, via CRD, of all associated persons whose registrations with the firm under current Exchange Rules are active in the following registration categories:

- Series 4 (Registered Options Principal)
- Series 5 (Interest Rate Options)
- Series 7 (General Securities Representative)
- Series 9/10 (General Securities Sales Supervisor)
- Series 11 (Assistant Representative Order Processing)
- Series 15 (Foreign Currency Options)
- Series 17 (FSA - Limited General Securities Registered Representative)
- Series 23 (General Securities Principal Sales Supervisor)
- Series 24 (General Securities Principal)
- Series 27 (Financial and Operations Principal)
- Series 28 (Introducing Broker/Dealer Financial and Operations Principal)
- Series 37/38 (Canada - Limited General Securities Registered Representative)
- Series 42 (Registered Options Representative)
- Series 62 (Corporate Securities Representative)



Part III. BOX Options Participant Agreement

The Applicant agrees:

- A. To engage only in those business activities permissible pursuant to this BOX Options Participant Agreement with BOX and any other Self-Regulatory Organization (“SRO”) of which the Applicant is a member;
- B. To comply with the federal securities laws, the rules and regulations thereunder, the Exchange Rules and all the Exchange’s circulars, notices, rulings, orders, interpretations, directives or decisions adopted or issued by the Exchange and any sanctions imposed under the Exchange Rules;
- C. To comply with the Exchange Bylaws as amended from time to time;
- D. That Applicant and its associated persons are subject to the oversight and jurisdiction of the Exchange;
- E. To pay such dues, assessments and other charges in the manner and amount as from time to time shall be fixed pursuant to the Exchange Rules;
- F. To authorize the Exchange to make available to any government agency or other SRO any information the Exchange may have concerning the Applicant or its associated persons, and releases the Exchange from any and all liability in connection with furnishing such information;
- G. That this Agreement has been executed on behalf of, and with the authority of, the above-named Applicant.

The Undersigned and Applicant represent that:

- A. The information and statements contained within the application and other information previously filed or filed with this application are current, true, and complete;
- B. To the extent that any information submitted is not amended, such information is currently accurate and complete and agree that the information contained in the Applicant’s Uniform Application for Broker-Dealer Registration (“Form BD”) will be kept current and accurate by proper amending of the Form BD as changes occur;
- C. The registrations for waive-in Associated Persons, registered with the Exchange, will be kept current by proper amendment to Form U4 & Form U5;
- D. Applicant will abide by the Bylaws and Rules of the Exchange as they shall be amended from time to time;
- E. Applicant may be the subject of an investigative consumer report ordered by the Exchange, and hereby authorizes and consents to the Exchange obtaining such report.

By

Print Name

Title

Authorized Signature

Date
