



2018 Disciplinary Actions as of March 12, 2018

The following is a list of disciplinary actions that have resulted in the imposition of penalties for violations of specified provisions of the federal securities laws and/or the Constitution and Rules of the Exchange. New actions are added to the list as and when they are finalized.

A. Disciplinary Sanctions Imposed Pursuant to BOX Rule 12140, Imposition of Fines for Minor Rule Violations:

None

B. Disciplinary Sanctions Imposed Pursuant to BOX Rule 10230, Letters of Consent:

- Credit Suisse Securities (“Credit Suisse” or the “Firm”) was censured and fined \$200,000, of which \$125,000 was payable to BOX. FINRA, on behalf of BOX, conducted a review of the Firm’s compliance with the rules related to the reporting of options positions to the Options Clearing Corporation’s (“OCC”) Large Option Position Reporting (“LOPR”) system for the period of May 14, 2012 through May 6, 2016 (the “Review Period”). As a result of its reviews, FINRA determined that Credit Suisse failed to report and/or inaccurately reported positions to the OCC LOPR in millions of instances. Additionally, the Firm failed to establish and maintain adequate supervisory procedures reasonably designed to ensure compliance with the proper reporting of positions on the LOPR. This conduct constituted violations of BOX Rules 3010, 3070 and 7000(c)(4).