



Standards of Conduct for the Safety and Welfare of Persons on the BOX Trading Floor related to COVID-19

This document contains the current Standards of Conduct that are required to ensure the safety and welfare of persons, and the ordinary and efficient conduct of business on the BOX Trading Floor at 141 W Jackson Blvd in Chicago (the "Facilities").

Participants, along with their associated persons (together, "Participants"), accessing the Facilities must follow the practices set forth in this memo until further notice. Badge access will be restricted to only those individuals that the Participant has notified BOX of in advance. Participants must provide advance notice to BOX of any changes to personnel.

Please note that BOX reserves the right to make changes as local government guidance and conditions evolve related to the COVID-19 pandemic.

Standards of Conduct

Strict adherence to these Standards of Conduct is critical to provide for the safety of all parties on the BOX Trading Floor, including BOX employees. Failure to comply with these requirements and conditions will result in the matter being directed to the Chief Regulatory Officer for handling.

Entrance to the Facilities

- Non-essential visitors and media will not be allowed to limit capacity and encourage maximum social distancing.
- Anyone entering the Facilities must wear a face mask and observe social distancing measures.
 - Scarves and bandanas will not be allowed to serve as masks.
 - Social distancing measures include, but are not limited to:
 - maintaining at least six-foot physical distancing from other individuals on the Trading Floor and other common areas;
 - frequently washing hands with soap and water for at least 20 seconds, or using hand sanitizer that is recognized by the Centers for Disease Control and Prevention as effective in combatting COVID-19;
 - covering coughs and sneezes with a tissue or fabric or, if not possible, cough or sneeze into the sleeve or elbow (but not into hands); and
 - avoiding shaking hands and unnecessary physical contact with others.
 - Those who do not have an acceptable face mask or who do not comply with the face mask and social distancing requirements will not be allowed to enter the Facilities.

- Anyone entering the Facilities must abide by all applicable city and state advisories and emergency orders regarding the COVID-19 pandemic. This includes, but is not limited to:
 - Chicago’s Emergency Travel Order, which can be found [here](#).
 - Illinois Travel Guidance, which can be found [here](#).
- BOX strongly discourages the use of public transportation.

Health Attestations

- A QR code will be placed at the entrance to the BOX Trading Floor. All individuals entering the Facilities will be required to access an online tool and answer the health screening questions on a daily basis.
 - The questions asked for the screening will gauge the individual’s potential symptoms (fever, etc.) and exposure to COVID-19.
 - Depending on the answers provided by the individual, the online tool will either clear the individual to enter the BOX Trading Floor or instruct them not to enter.
 - ➔ ○ For those who are cleared, the online tool will produce an entry pass screen with a date stamp. All individuals will be required to show the entry pass screen to a BOX Trading Official on a daily basis.
 - Only those individuals cleared for entry will be allowed to access the BOX Trading Floor.
- Individuals must also self-administer a temperature check upon entering the BOX Trading Floor. Those whose temperature does not exceed 100.4 may proceed to the BOX Trading Floor.
- An individual that is experiencing a cough, fever, chills, shortness of breath, headache, sore throat or other symptoms commonly associated with COVID-19 may enter the Facilities by submitting a negative COVID-19 test; submitting a doctor’s note that symptoms are not COVID related; or avoid the Facilities until symptoms are no longer present.
- In the event of an individual being vaccinated, the individual will still be required to continue to complete the health attestations. This is because it may take a few weeks for the body to build immunity after vaccination. It is therefore possible for an individual to be infected with a pandemic illness just before or just after the vaccination and still become ill or be asymptomatic carrier and potentially pass the infection to others.

Testing and Positive Cases of COVID-19

- Participants confirmed positive for COVID-19 or advised by a health care provider that they are presumed to be positive for COVID-19 are required to notify the BOX Director of Human Resources at humanresources@boxregulation.com as soon as possible and before accessing the Facilities.

- If a Participant or Floor Official has been confirmed positive for COVID-19, BOX will notify all BOX Trading Floor Participants of a confirmed positive case.
- In order to return to the Facilities:
 - An individual that is confirmed positive for COVID-19 must avoid the Facilities for 14 calendar days and present two negative tests in a row, at least 24 hours apart.
 - An individual that has had close contact¹ on the BOX Trading Floor to the individual who tested positive for COVID-19 must present two negative tests in a row, at least 24 hours apart, or quarantine for 14 calendar days before returning to the Floor. BOX will notify individuals who fall into this category.
 - An individual that has not had close contact on the BOX Trading Floor to the individual who tested positive for COVID-19 must present one negative test, administered after the confirmed positive case has been announced.
- All medical information, including test results, should be submitted to the Participant's Compliance Officer, who will then notify BOX's Director of Human Resources at humanresources@boxregulation.com when an individual can return to the Floor.
- ➔ • Only PCR COVID-19 test results will be accepted. Rapid COVID-19 tests are not suitable for this protocol.
- BOX reserves the right to close the BOX Trading Floor to protect the health and safety of the trading floor community.

Exclusion and Supervision

- Pursuant to BOX Rule 2120, Participants may be excluded from the BOX Trading Floor for breaches of regulations, including but not limited to the Standards of Conduct listed above, that relate to administration of health, safety and welfare on the BOX Trading Floor or on the premises immediately adjacent to the BOX Trading Floor. Participants are reminded that they are responsible for the adequate supervision of all non-registered employees, participants, or persons while such persons are in the Facilities to ensure compliance with the BOX Rules.
- Participants who engage in any practice that violates the BOX Rules or any local laws may be subject to formal or informal disciplinary action or may be asked not to enter or to leave the Facilities by the Exchange.
- If someone is observed failing to comply with the Standards of Conduct, please alert BOX immediately.

Other Measures

¹ Per the Centers for Disease Control and Prevention, close contact is defined as "Someone who was within 6 feet of an infected person for a cumulative total of 15 minutes or more over a 24-hour period* starting from 2 days before illness onset (or, for asymptomatic patients, 2 days prior to test specimen collection) until the time the patient is isolated." See: <https://www.cdc.gov/coronavirus/2019-ncov/php/contact-tracing/contact-tracing-plan/appendix.html#contact>

An outside vendor will continue to provide extra deep cleaning to the BOX Trading Floor on a weekly basis.

Contact

Please review the information provided herein. If you have any questions regarding this information, please contact BOX Trading Floor at TradingFloor@BOXRegulation.com.