

Industry Wide Business Continuity Test
Test Instructions
Service Bureaus

OCC is planning and managing the options and futures component of the industry wide business continuity test scheduled for 9 am – 3 pm ET, Saturday, October 23, 2010. A Pre-Test is scheduled for Saturday October 2, 2010.

Test Registration

All test participants are required to indicate their participation via the registration portals on the FIA and SIFMA websites:

http://www.sifma.org/services/business_continuity/html/industrytest2010.html

<https://www.futuresindustry.org/disaster/dr-test-registration.asp>

OCC Test Scope

The purpose of this test is to successfully connect from your alternate (DR) site to OCC's alternate (DR) site. successful connectivity is defined as:

- Receive an outgoing file transmission from OCC. OCC will provide test files as .txt output files.
 - FTP+ Pull users will have files in their download directory by 9:00 am ET.
 - NDM and MQ users will need to contact OCC at (800) 621-6072 to receive a test file and/or message. Each user will be paired with an OCC technical contact for testing.
- Submit a file transmission to OCC (**only** if your exchange transmits files to OCC in production).
 - Files should be transmitted to OCC between 9:00 am and 3:00 pm ET.
 - Files can be in the form of an empty “test” file or a previous day’s “production” data. **All data sent will be used for testing purposes only.**
 - Transmissions should be sent to the same dataset name as production with an additional “.test” trailer.
 - Upon transmission of an inbound test, an email to occDRtest@theocc.com including the following:
 - *Firm name, dataset name to which file was transmitted and technical personnel’s contact information for troubleshooting.*
- Email occDRtest@theocc.com to confirm all testing for your entity has been completed. The e-mail should provide the following information:
 - *Firm Name and test day contact*
 - Confirmation that the firm has completed testing Inbound (to OCC) and Outbound (from OCC) testing protocols as applicable to your firm.

System Configuration Changes

OCC Changes: All IP addresses and TCP Ports for the OCC will *remain the same as they are in production* for this test. OCC will NAT the addresses to the appropriate host on our end. OCC will "swing" our network to ensure all users are connecting to our alternate site. Therefore, if users are pointing to our production environment, you will actually connect to OCC's DR environment. Please advise if you require our production IP addresses.

NOTE: Please power off your production OCC router during the test. Additionally, please ensure your DR site's firewall rules will allow OCC's IP addresses.

Configuration Requirements: In order to test from your DR/alternate site, OCC requires the following information. Please return this information no later than Friday, September 24, 2010

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- Will you be participating in the Pre-Test on October 2, 2010?
- Will you be participating in the Main Test on Saturday, October 23, 2010?
- Connectivity Method(s) (FTP+ Pull, NDM, MQ). Please confirm all that apply
- Test day contacts for each of the Connectivity Method.
- IP addresses of your DR location (per service/host selected above)
- DR Node (NDM) with Login ID & Password
- Port Number (NDM and MQ testers)
- Please identify any MQ configuration changes from your production environment
- Dataset name you would like to use for testing Outbound (from OCC) transmissions
- Do you send inbound transmissions **directly** to OCC?
 - If Yes: Dataset name you plan to send to test Inbound transmissions (to OCC) NOTE: Please use a production dataset name with a trailing ".test"
 - If No: No action required

Please forward the answers to the questions above to occDRtest@theocc.com.

Test Day OCC Contacts

Should you have any questions prior to or on the scheduled test day, feel free to contact your Member Services Representative at (800) 621-6072 option 2 or email occDRtest@theocc.com. Thank you in advance for your participation.