Industry Wide Business Continuity Test Instructions

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 27, 2012. A Pre-Test is scheduled for Saturday October 13, 2012.

Test Registration

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

http://www.sifma.org/Services/BCP/Industry-Testing/

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 and SFTP 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 firm 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 file, please send an email to occDRtest@theocc.com including the following information:
        - *Firm number, 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, clearing member number 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 or disable your production OCC router during the test. Please ensure your DR site's firewall rules will allow OCC's IP addresses.

Configuration Requirements: OCC requires the following information for test participation. Please return this information no later than Monday, October 1, 2012 to occDRtest@theocc.com.

- Will you be participating in the Pre-Test on October 13, 2012?
- Will you be participating in the Main Test on Saturday, October 27, 2012?
- Connectivity Method(s) (FTP+ Pull, SFTP, 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

ENCORE – Clearing Members Only

ENCORE will be available for testing, but is not a requirement to successfully test with OCC. The ENCORE system will also be directed to DR. As such, ENCORE will **not** be a live environment. Only the "testing environment" will be available during the test, **any transaction entered during the test will be deleted upon test completion.**

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 1 or email occDRtest@theocc.com. Thank you in advance for your participation.