

Securities Industry and Financial  
Markets Association

Industry-Wide Business  
Continuity Test Script

October 27, 2012

Objectives:

To test the ability of member firms to conduct business based on alternate connectivity and/or back-up facilities with BGC.

Assumptions:

- The test is intended to confirm connectivity, verify data transmission, member firms ability to enter orders and receive trade confirms.
- All transactions are strictly for test purposes.
- All transactions will be removed from our systems at the completion of the test.
- All member firms are responsible for purging any test trades from their systems (STP, RISK).
- All member firms interested in testing with BGC have pre-registered which applications they will be testing. As well as performed a scheduled pre-test of their alternate connectivity method to BGC.
- All member firms have logged in with the STP applications the evening before to insure that all confirms have been received.
- If member firms plan on performing trades to test connectivity, we encourage them to enter orders of equal size on both the BUY and SELL side to zero out any position.

Products/Symbols Available:

The Treasury Benchmark and ELX\* products will be available:

Usg\_02Y  
Usg\_03Y  
Usg\_05Y  
Usg\_07Y  
Usg\_10Y  
Usg\_30Y  
ZTe Dec 12  
ZFe Dec 12  
ZNe Dec 12  
ZBe Dec 12  
ZUe Dec 12

\*ELX Products will be managed by ELX

Scope of Test Plan:

We will be conducting our test from our multiple locations.  
All trades will have the trade date of October 29<sup>th</sup> and settlement date of October 30<sup>th</sup>.  
All Production logins/access will be available for use during the test.

System Availability:

9am-10am	Mock trading from Site I
10:30am-10:40am	Failover to Site II
10:40am-12:00pm	Mock trading from Site II

#### Support:

For support, verification of screen prices or trade executions please contact the Support Desk @ 212-610-2300.

#### Connectivity

If member firms do not have alternate or back-up facilities to BGC, they have the option to connect to us via the Internet. For any questions, please contact the Support Desk.

#### Pre-Test Registration

We have setup the following website <http://continuity.espeed.com> for member firms to register which type of connectivity and applications they will be testing that day.

#### Levels of Successful Connectivity Tests:

- I. Receipt of data on eSpeed GUI or in-house applications.
- II. Transmission and acceptance of Market or Order.
- III. Receive and Acknowledge Trade Confirm on eSpeed GUI or member application.
- IV. Receive and Acknowledge Trade Confirm via member STP application.

#### Post-Test Results

We have setup the following website <http://continuity.espeed.com> for member firms to enter test results for the day. This will include Functionality Tested and trades, if any, that were done. Please complete at the end of the test day.