

Date : July 17, 2014

SIFMA SECURITIES INDUSTRY BUSINESS CONTINUITY TEST
Saturday, October 25, 2014
Test Day Script

| | | | |
|---------------------------------------|---|-----------|--|
| Test Component | Derivatives | | |
| Exchange/Utility | Montreal Exchange (MX) | | |
| Test Day Contact | Technical questions: Technical Help Desk: Toll free 1-877-588-8489 / Local 514-871-7872 MX Business questions: Market Operations Department: Toll free 1-866-576-8836 / Local 514-871-7877 | | |
| Test Description | <p>Firms will submit dummy orders for pre-determined products to the Montreal Exchange (MX). MX will validate the receipt of these orders as defined in the transaction acknowledgement protocol field below.</p> <ul style="list-style-type: none"> - MX participants can use the following protocols for order entry: STAMP, FIX, SAIL - Market data will be disseminated via the HSVF - Also available for testing – ATR, Drop Copy, TMS, Clearing API, LOPR, FTP/SFTP server <p>Trade data will flow through from MX to CDCC's SOLA® Clearing system (Connectivity – trade processing for clearing).</p> <p>Note: Pre-test /connectivity test is scheduled for Saturday, September 27th, 2014 between 10:00 and 13:00</p> | | |
| System Date | Saturday, October 25 th , 2014 | | |
| Trade Date | Saturday, October 25 th , 2014 | | |
| Projected Start/End Times | Pre Open | 09:00 EDT | MX pre-market in DR mode, orders accepted |
| | Opening | 09:30 EDT | Market open in DR mode and accepting trades. Trade data will flow from the MX to CDCC's SOLA® Clearing system. |
| | Closing | 13:00 EDT | Market close. End of testing. MX and CDCC will not delete orders and trades from the environment. We strongly encourage all participants to clean up all backend system after testing. |
| | FTP access | 15:00 EDT | MX FTP servers will remain available until 15:00. |
| Systems to Be Used for Testing | MX DR Site | | |
| Transaction Count | Minimum of 2 transactions | | |

| Test Transaction | Transaction Type (Buy/Sell, Receive/ Deliver, Wire, etc.) | Security Identifier (Symbol/CUSIP/ISIN) | Quantity | Price | Transaction Status (was the order successfully entered on the correct exchange) | | |
|------------------|---|---|----------|---------------|---|------|-------|
| | | | | | Success | Fail | Other |
| 1 | B/S | SXO Dec 14 770.00 Call (SXO 141219C770.00) | 1 | 72.00 - 75.00 | Success | Fail | Other |
| 2 | B/S | SU Dec 14 46 Put (SU 141220P46.00) | 1 | 4.00 - 5.00 | Success | Fail | Other |
| 3 | B/S | MFC Jan 15 19 Call (MFC 150117C19.00) | 1 | 1.50 - 2.00 | Success | Fail | Other |

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| MX to provide automated Market | MX will provide automated market volumes for bids/offers for the above instruments. Participants will be able to lift or hit MX market. Firm IDs (mnemonic) representing the MX will be 901 and 902. |
| Transaction Acknowledgment Protocol | For each order/transaction, MX Participants will receive an order/trade confirmation through the initial order entry protocol used. Note: receiving a rejection message implies a successful connectivity test as well. |
| Availability of Test Day Direct dial in line | Technical Help Desk: Toll free 1-877-588-8489 / Local 514-871-7872 MX Market Operations Department: Toll free 1-866-576-8836 / Local 514-871-7877 |
| Completion of Test Acknowledgement Protocol | <p>Once successfully completed, please send an email to DR-BCSupport@m-x.ca with the following:</p> <p>Participation to SIFMA Firm name and ID ABC / BDM004 Application tested ATR, TMS, HSVF etc. Successful trade on SXO, SU or MFC Comments Describe any issues you may have encountered during the test, including how they were resolved or if further investigation is required.</p> |

| 2014 Industry Test Utility Participants Support Questionnaire | |
|---|---|
| Company Name | Montreal Exchange (MX) |
| Will your support team join the SIFMA Support Conference Bridge on Oct 25? (9:30 AM – 3:00 PM) | Yes (someone from MX will be on an opened Conf. bridge line and participate on an as-needed basis) |
| What is the phone number for your support team on Oct 25? | Technical related questions => Technical Help Desk: Toll free 1-877-588-8489 / Local 514-871-7872 |
| What is the email address for your support team on Oct 25? | |
| What is the name of your support person(s) | E-mail : DR-BCSupport@m-x.ca Business related questions => Market Operations Department: Local 514-871-7877 (Montreal) or Toll Free 1-866-576-8836 |

Contact Information for Industry Test Coordinators (list in order primary, secondary, Technical (IT), other)

| | Name | Email address | Phone | Cell Phone | Fax |
|----------|-----------------------|--|----------------|----------------|----------------|
| P | Edwige Poupart | epoupart@m-x.ca | (514) 871-3590 | (514) 894-0306 | (514) 871-7885 |
| O | Thierry Germain-Bonne | tgermainbonne@m-x.ca | (514) 787-6615 | (514) 245-5058 | (514) 871-3570 |