

Date: August 15, 2013

**SIFMA SECURITIES INDUSTRY BUSINESS CONTINUITY TEST**  
**Saturday, October 05, 2013**  
**Test Day Script**

<b>Test Component</b>	Derivatives		
<b>Exchange/Utility</b>	Canadian Derivatives Clearing Corporation (CDCC)		
<b>Test Day Contact</b>	Technical questions: <b>Technical Help Desk:</b> Toll free 1-877-588-8489 / Local 514-871-7872 MX Business questions: <b>Market Operations Department:</b> Toll free 1-866-576-8836 / Local 514-871-7877 CDCC Business questions: <b>CDCC Member Services lines:</b> 514-871-3545 or 416-367-2470		
<b>Test Description</b>	<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"> <li>- MX participants can use the following protocols for order entry: STAMP, FIX, SAIL</li> <li>- Market data will be disseminated via the HSVF</li> <li>- Also available for testing – ATR, Drop Copy, TMS, Clearing API, FTP server</li> </ul> <p>Trade data will flow through from MX to CDCC's SOLA® Clearing system (Connectivity – trade processing for clearing).</p> <p>Within SOLA® Clearing's Disaster Recovery (DR) environment, Clearing Members would be able to enter the system following login in, access and visualize trades.</p> <p>Please note that specific CDCC reports will be provided as of Monday, October 07<sup>th</sup> following end of day batch.</p> <p>Please note that Fixed Income/Repo transactions <u>WILL</u> be included in the scope of the 2013 SIFMA DR Test. Select Clearing Members through their Service Vendor will conduct a Fixed Income/Repo trade using a specific ISIN. Details to follow closer to the testing day to the Clearing Members/Service Vendor.</p> <p>As access to the CDCC File Transfer Protocol (FTP) Server will be available, CDCC would request that Clearing Members attempt to access the latter in a DR-mode and advise CDCC staff if everything was readily accessible (Clearing Members can send an e-mail to <a href="mailto:cdccops@cdcc.ca">cdccops@cdcc.ca</a>)</p> <p>CDCC will likewise request those Clearing Members with a FIXML connection feed to please test their connectivity to the latter in a DR-mode, including the FIXML FTP Server, and advise CDCC staff if everything was readily accessible (Clearing Members can send an e-mail to <a href="mailto:cdccops@cdcc.ca">cdccops@cdcc.ca</a>)</p> <p><b>NOTE:</b> Pre-test /connectivity test is scheduled for Saturday, September 07<sup>th</sup>, 2013 between 10:00 and 13:00</p>		
<b>System Date</b>	Saturday, October 05 <sup>th</sup> 2013		
<b>Trade Date</b>	Saturday, October 05 <sup>th</sup> 2013		
<b>Projected Start/End Times</b>	<b>Pre Open</b>	<b>09:00 EDT</b>	MX pre-market in DR mode, orders accepted

Date: August 15, 2013

	<b>Opening</b>	<b>09:30 EDT</b>	Market open in DR mode and accepting trades. Trade data will flow from the MX to CDCC's SOLA® Clearing system.
	<b>Closing</b>	<b>13:00 EDT</b>	Market close. End of SIFMA 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.
	<b>FTP access</b>	<b>15:00 EDT</b>	MX and CDCC FTP servers will remain available until 15:00.
<b>Systems to Be Used for Testing</b>	<a href="#">CDCC DR environment</a>		
<b>Transaction Count</b>	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	BAX March 14 (BAXH14)	1	98.80 – 99.95	Success	Fail	Other
2	B/S	BB Jan 14 21 Call (BB 140118C21.00)	1	4.15 – 4.95	Success	Fail	Other
3	B/S	SXO DC 14 760 Put (SXO 141219P760.00)	1	42.00 – 55.00	Success	Fail	Other
4	B/S	CA135087ZJ69 CA135087YQ12	Only specific IBM-supported Clearing Members will be able to participate				
<b>MX to provide automated Market</b>		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.					

<b>Transaction Acknowledgment Protocol</b>	For each order/transaction, members 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.
<b>Availability of Test Day Direct dial in line</b>	(Business related questions) => CDCC Member Services/Operations line <b>514-871-3545) or 416-367-2470</b>
<b>Completion of Test Acknowledgement Protocol</b>	When you have completed your testing, please let us know, either by indicating your completion on the open call or you can send an e-mail to <a href="mailto:cdccops@cdcc.ca">cdccops@cdcc.ca</a>
<b>Other Information</b>	<b>See the Utility Participant Support Questionnaire below</b>

Date: August 15, 2013

2013 Industry Test Utility Participants Support Questionnaire	
<b>Company Name</b>	<b><i>Canadian Derivatives Clearing Corporation (CDCC)</i></b>
Will your support team join the SIFMA Support Conference Bridge on Oct 05? (9:30 AM – 3:00 PM)	<b>Yes (someone from CDCC will be on an opened Conf. bridge line and participate on an as-needed basis)</b>
What is the phone number for your support team on Oct 05?	Technical related questions => <b>Technical Help Desk: Toll free 1-877-588-8489 / Local 514-877-7872</b> E-mail : <a href="mailto:DR-BCSupport@m-x.ca">DR-BCSupport@m-x.ca</a>  Support Person (s): TBD (there will be 2 resources)  Business related questions => <b>CDCC Member Services/Operations</b> : Local 514-871-3545 (Montreal) or 416-367-2470 (Toronto) E-mails : <a href="mailto:cdccops@cdcc.ca">cdccops@cdcc.ca</a>  Support Person(s) : TBD (there will be 2 resources, 1 in each city (Montreal/Toronto))
What is the email address for your support team on Oct 05?	
What is the name of your support person(s)	

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

	<b>Name</b>	<b>Email address</b>	<b>Phone</b>	<b>Cell Phone</b>	<b>Fax</b>
<b>P</b>	SARA HOFFLAND	<a href="mailto:SARA.HOFFLAND@TMX.COM">SARA.HOFFLAND@TMX.COM</a>	(416) 947-4259	(416) 270-9582	(416) 947-4620
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<b>O</b>	THIERRY GERMAIN-BONNE	<a href="mailto:THIERRY.GERMAIN-BONNE@M-X.CA">THIERRY.GERMAIN-BONNE@M-X.CA</a>	N/A	(514) 245-5058	(514) 871-3570