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

Test Component	[Equities or Fixed Income]
Exchange/Utility	Omgeo
Test Day Contact	Omgeo Client Contact Center, 877.664.3625; DTCC Business and Production Support – 888.382.2721, option 5 then option 3.
Test Description	Omgeo TradeSuite ID: Trade input and confirms output via transmissions
Trade Date	October 05, 2013
Projected Start/End Times	9am to 1pm ET
Systems to Be Used for Testing	Omgeo TradeSuite ID - If you use the following services you are interacting with Omgeo TradeSuite ID: Confirm/Affirm, TradeMatch, NearMatch, TradeSuite Server, and Broker Trade Input (BTI).
Transaction Count	At least 4

Test Transaction	Transaction Type (Buy/Sell, Receive/Deliver, Wire, etc.)	Security Identifier (Symbol/Cusip/Isin)	Quantity	Price	Amount
Broker-1	Buy (Orig)	Any Cusip	500	10.00	530.00
Broker-2	Sell (Orig)	Any Cusip	100	25.00	280.00
Broker-3	Buy (Orig)	Any Cusip	300	5.00	180.00
Broker-4	Sell (Orig)	Any Cusip	400	7.00	300.00
Broker-5	Buy (Cancel Trans #1)	Any Cusip	500	10.00	530.00

Broker-6	Sell (Cancel Trans #2)	Any Cusip	**100**	**25.00**	**280.00**
IM/Agent Bank #1	Affirm - Buy	Any Cusip	**300**	**5.00**	**180.00**
IM/Agent Bank #2	Affirm - Sell	Any Cusip	**400**	**7.00**	**300.00**

Transaction Acknowledgement Protocol	Same as input mechanism; CCF, MQ, PTS Broker-dealers should submit a couple of trades to Omgeo for processing (CCF, MDH, PTS, MQ Series, etc.) and then Retrieve Confirms Investment Managers/Agent Banks should Retrieve Confirms and then Affirm the trades.
Availability of Test Day Conference Bridge Line	
Completion of Test Acknowledgement Protocol	Same as input mechanism; CCF, MQ, PTS
Other Information	**Broker-dealers entering trade input/cancellations should buddy up with an IM or Agent Bank and agree on the trade details; They can then Affirm the transactions.**

Listed below are some simple test scripts that you may use during the SIFMA Industry Test.

PARTY	TEST SCRIPT
Broker-dealers	**-**Submit a couple of trades to Omgeo for processing (CCF, MDH, PTS, FTP, Connect:Direct, MQ Series, Workstations, etc.) **Broker should coordinate with counterparties trade specifics** -Retrieve Confirms -If partnering with an IM, mark the Record 1 Field Description in Input Files as P for Production vs T for Test. If flagged T for Test, report distribution will not take place with your counterparty.
Investment Managers	-Buddy up with a Broker-dealer to send in a couple of trades -Retrieve confirms -Submit Affirmations or Allocations

Agent Banks   -Buddy up with a Broker-dealer to send in a couple of trades
-Retrieve confirms
-Submit Affirmations

Interested Parties   -Buddy up with a Broker-dealer to send in a couple of trades
-Retrieve confirms
-Submit Affirmations

Service Bureaus   -Submit a couple of trades for a client for Omgeo to process (CCF, MDH, PTS, FTP, Connect:Direct, MQ Series, Workstations, etc.)
-Retrieve confirms
-Submit Affirmations or Allocations