REG SCI PLAYBOOK

As of OCTOBER 5, 2016

Agenda

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Test Scope Outline

Symbols and CUSIPs

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    Regulation SCI Rule requirements

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Overview

- Regulation SCI requires that each SCI entity designate members/participants (participating members) to take part in the annually scheduled Business Continuity and Disaster Recovery Plan test.

- SCI entities have established criteria for the designation of applicable members that are required to participate in the annual Business Continuity and Disaster Recovery Plan test

- The objective of the 2016 test is that SCI entities conduct an initial functional and performance testing of BC/DR plans with participating members to exercise and verify the ability to operate through a business continuity and/or disaster recovery event using backup sites, recovery facilities and backup communication capabilities.

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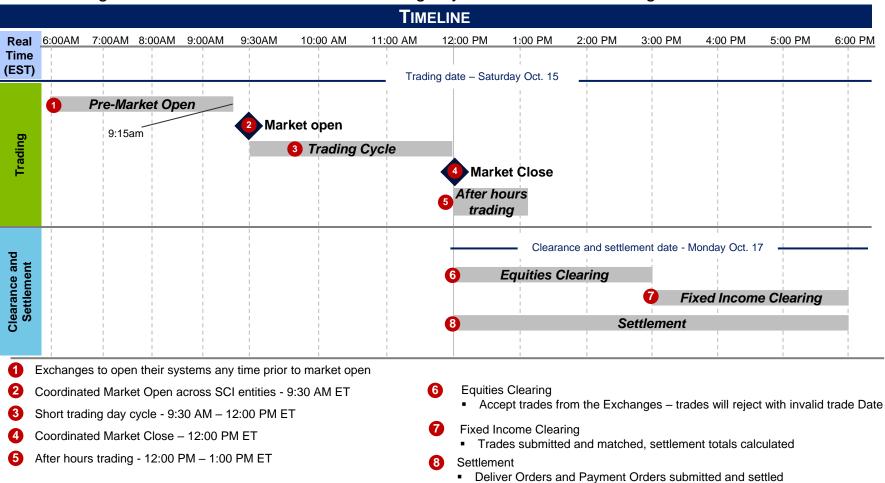*Invested in America*

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Guiding Principles

- SCI entities are responsible for identifying and communicating testing requirements to their respective participating members

- Participating members should be able to operate in their production or DR environments

- The 2016 annual Regulation SCI BC/DR test should not require manual intervention by participating member systems to execute the test (manual intervention refers to limited system or configuration changes (e.g. changes to system clocks)

- The 2016 Regulation SCI BC/DR test is designed to verify that Regulation SCI entities are able to demonstrate that they can support the maintenance of fair and orderly markets in the event the Regulation SCI entities' business continuity and disaster recovery plans are activated

- The 2016 BC/DR test is not an end-to-end industry integrated test; it is a test for each individual SCI Entity to test its own BC/DR environments

- The test is not systems capacity test; however the test should generate enough message traffic to support trading and dissemination of market data through the SIPs

- 2016 annual BC/DR test is not a pass/fail exercise for the participating members; However some SCI members based on their rulebook will publish pass/fail results (OCC will publish results if asked by regulators) . Others will provide designated members with a scorecard outlining their capabilities and issues

- In the event of an unsuccessful test further analysis will be required to understand the root cause (i.e. is the issue on the participating member side, SCI entity, etc.)

- The 2016 Regulation SCI BC/DR test is distinct from the classic SIFMA BC/DR test

Test Timeline and Break Points

All exchanges and venues will follow a half trading day structure for the testing session

1. Exchanges to open their systems any time prior to market open
2. Coordinated Market Open across SCI entities - 9:30 AM ET
3. Short trading day cycle - 9:30 AM – 12:00 PM ET
4. Coordinated Market Close – 12:00 PM ET
5. After hours trading - 12:00 PM – 1:00 PM ET

6. Equities Clearing
   - Accept trades from the Exchanges – trades will reject with invalid trade Date

7. Fixed Income Clearing
   - Trades submitted and matched, settlement totals calculated

8. Settlement
   - Deliver Orders and Payment Orders submitted and settled
   - CNS transactions and settlement totals processed
   - Fixed income settlement totals processed

- Exchanges may test additional functionality including IPO's limit up/limit down and trading halts
- DTCC will be able to accept transactions during the Clearance and Settlement window beginning at noon
- DTCC anticipates all 4 entities (Omgeo, FICC, NSCC, DTC) will be simultaneously during the clearing and settlement window (12:00pm-6:00pm ET)

Guiding Principals for SIFMA Support on October 15

- Reg SCI entities and their designated testers (participating members) should be in direct contact with each other on test day and work directly to resolve any issues
    - SIFMA will not have test outlines or test scripts, and participating members will need to resolve any issues bilaterally

- SIFMA operates a bridge line for the SIFMA classic test, with regular checkpoints to identify the status of test entities and confirm they are available for testing
    - The bridge line will also serve as a forum for entities and testers to reach out if they are unable to directly contact one another and identify alternative points of contact
    - Firms and participating members should resolve test problems through direct communications, not via the SIFMA bridge line

- SIFMA will post the status of test entities based on these reports on these checkpoints and other updates on its website to indicate if they are available for testing, experiencing difficulties, or have completed testing
    - SIFMA will also post the status of key milestones for Reg SCI, such as the start of the trading day and the close of the trading day.
    - SIFMA will not track the status of events specific to individual Reg SCI entities' test outlines, such as halts and IPOs

Test Scope Outline - Participating Members

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

- Participating Members can conduct the test from their production or DR environments

- Submit a representative sample of daily trade transactions to exchanges

- Work with with SCI entities to determine communication protocols

- Cover in-scope product types

- Clean all test data from systems prior to Monday market open

Test Scope Outline - Exchanges

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

- Conduct trade matching

- Transmit matched trades to clearing agencies to demonstrate connectivity to the clearing agency (NSCC will reject the trades at the CDTS gateway and a reject message will be transmitted back to the exchange over FIX connections)

- Receive and verify messages (pended/rejected trades and execution) if applicable

- Clean all test data from systems prior to Monday market open

Note: Exchanges to communicate additional functionality including IPO's limit up/limit down and trading halts

Test Scope Outline - Clearing Agencies

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

NSCC

- NSCC simulate trade executions on behalf of the exchanges
- Participating members access NSCC to inquire on trade data submissions that NSCC would simulate on behalf of the exchanges via web screens or automated output; to validate data and receive output from DTCC

OCC

- Exchanges will:
    - Transmit matched trades to OCC for processing throughout the mock trading cycle
    - Balance trades with OCC once the market has closed
    - Receive and verify outbound DDS through connections to OCC's DR environment
- Firms will:
    - Submit post trade transactions to OCC utilizing the communication protocols normally used in production (External Encore, Real-time MQ, Batch SFTP or Batch NDM)
    - Receive and verify outbound DDS through connections to OCC's DR environments
    - Access on-demand and core reports through External Encore

Fixed Income Clearing (FICC)

- Trades submitted and matched, settlement totals calculated

Omgeo

- Trades submitted and matched/affirmed, submitted for settlement

Test Scope Outline - SIPs

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

SIP - NASDAQ
- As the legacy Nasdaq SIP will be the system of record during the time of the Industry DR/BCP test on 10/15, UTP data feeds and input ports will be available for testing via the Ashburn Data Center.
- However, the new Binary SIP will also be available for optional testing via the Chicago Data Center.

SIP - SIAC
- The NYSE SIPs (OPRA and CTS/CQS) will be available in Cermak on October 15, 2016
- Firms can contact connectivity@nyse.com for any questions on connecting to DR in Cermak
- General questions can go to the trade desk or relationship management (trading@nyse.com or rmteam@nyse.com)

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Test Scope Outline - FINRA

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

FINRA will create test scripts for each facility and send them to the firms who have been identified to test. Testing will include the following FINRA facilities:

- **TRACE** (Fixed Income – Corporate & Agency Debt and Securitized Products)

- **ORF (**Over the Counter Equities)

- **NY and Nasdaq TRF** (for firms who report NMS trades to the TRFs)

- **OTCBB** (Over the counter Bulletin Board quoting)

- **OATS** (NMS stocks and OTC equity securities)

Equities Symbols and CUSIPs

- Production or Test Symbols are used for trading
- Test Symbols will be used for clearing (minimum of one test symbol)
- Testing will be concentrated in a certain set of symbols (preferably with low market cap) defined by exchanges to support triggering market infrastructures/SIPs
- Production data will be used by FINRA for OTC equities testing

Test Symbols

#	Exchange	Symbol
1	BATS	ZBZX
2	BATS	ZTEST
3	BATS	ZVZZT
4	BATS	ZWZZT
5	NASDAQ	ZJZZT
6	NASDAQ	ZVZZC
7	NASDAQ	ZXYZ.A
8	NASDAQ	ZXZZT
9	NYSE	NTEST Z (NTEST.Z Comstock)
10	AMEX	ATEST Z (ATEST.Z Comstock)
11	ARCA	PTEST Z (PTEST.Z Comstock)

Equities Symbols and CUSIPs (con't)

- Production or Test Symbols are used for trading
- Test Symbols will be used for clearing (minimum of one test symbol)
- Testing will be concentrated in a certain set of symbols (preferably with low market cap) defined by exchanges to support triggering market infrastructures/SIPs
- Production data will be used by FINRA for OTC equities testing

Proposed Production Symbols*

#	Exchange	Symbol	CUSIP
1	NYSE	AGR	05351W103
2	NYSE	BWXT	05605H100
3	NYSE	FMC	302491303
4	NYSE	HXL	428291108
5	NYSE	MIC	55608B105
6	NYSE	MHK	608190104
7	NYSE	SNA	833034101
8	NYSE	VAL	920355104
9	NYSE	WES	958254104
10	NYSE	TU	87971M103
11	NYSE MKT	ATNM	94973V107
12	NYSE MKT	BTX	09066L105
13	NYSE MKT	CQP	16411Q101
14	NYSE MKT	CQH	16411W108
15	NYSE MKT	DNN	91688T104
16	NYSE MKT	FSP	35471R106

#	Exchange	Symbol	CUSIP
17	NYSE MKT	HLTH	66705B104
18	NYSE MKT	NSU	64156L952
19	NYSE MKT	ONVO	68620A104
20	NYSE MKT	XRA	301835104
21	NYSE ARCA	FISK	292102308
22	NYSE ARCA	OGCP	292102209
23	NYSE ARCA	ESBA	292102100
24	NASDAQ	AKAO	004449104
25	NASDAQ	DRRX	266605104
26	NASDAQ	FALC	306137100
27	NASDAQ	HALO	40637H109
28	NASDAQ	HNSN	411307200
29	NASDAQ	JACK	466367109
30	NASDAQ	LJPC	503459604
31	NASDAQ	OSIR	68827R108
32	NASDAQ	RICK	74934Q108

#	Exchange	Symbol	CUSIP
33	NASDAQ	RMBS	750917106
34	BATS	ALTS	74347B813
35	BATS	DDJP	97717X289
36	BATS	EDEN	46429B523
37	BATS	EMTL	78470P309
38	BATS	FUT	74347B532
39	BATS	HEUV	46435G698
40	BATS	IGRO	46435G524
41	BATS	MEAR	46431W838
42	BATS	REGL	74347B680
43	BATS	WYDE	74347B870
ETF			
44	NYSE Arca	IAU	464285105
Index			
45	--	NDX	--
46	--	MNX	--

Equities Symbols and CUSIPs - FINRA Securities List

#	FINRA Reporting Facility	Symbol	CUSIP
1	**ORF** (non clearing test cases)	ALAD	010722106
2		BIRNF	Q1387K108
3		FLEW	339059107
4		OJOC	678110107
5		KIMTF	Y47601102
6		PEBA	70725P101
7	**OTCBB Quoting**	ABRW	024718108
8		BNNP	063770101
9		CALVF	G1757E105
10		MRICD	55347P209
11	**TRACE – Fixed Income** (Corporate & Agency Debt and Securitized Products**)**	TEVA4384553	88167AAE1
12		FHLN4384850	3130A8T52
13		D4382803	25746U844
14		CHRC4383282	377080AZ9
15		FMCC4364001	3128MJYM6
16		KMX4303812	14313XAC4
17		SLNO3612001	81619PAD9
18		BAC3284722	05951GCB6
19		FNMA3879397	01F020489

#	FINRA Reporting Facility	Symbol	CUSIP
20	**FINRA TRFs** (Nasdaq and NYSE)	ALLY	02005N100
21		CAT	149123101
22		NKE	654106103
23		AAPL	037833100
24		DISH	25470M109
25		SBUX	855244109
26		NFLX	64110L106

Options Symbols and CUSIPs

- Production symbols are to used for testing (OCC does not accept test symbols)
- Testing will be concentrated based on a set of symbols (preferably with low market cap) provided by exchanges to support triggering market infrastructures/SIPs
- Options symbols used for testing to coordinate with underlying equity symbols

Proposed Production Symbols for Option Testing*

#	Exchange	Symbol	CUSIP	Options
1	NYSE	AGR	05351W103	AGR-Nov 18 16-C-45.00-P-45.00
2	NYSE	BWXT	05605H100	BWXT-Nov 18 16-C-35.00-P-45.00
3	NYSE	FMC	302491303	FMC-Jan 20 17-C45.00-P-45.00
4	NYSE	HXL	428291108	HXL-Dec 16 16-C-45.00 P-45.00
5	NYSE	MIC	55608B105	MIC-Jan 20 17-C-75.00 P-75.00
6	NYSE	MHK	608190104	MHK-Nov 18 16-C-195.00 P-195.00
7	NYSE	SNA	833034101	SNA-Dec 16 16-C155.00 P-155.00
8	NYSE	VAL	920355104	VAL-Jan 19 18-C-100.00-P-100.00
9	NYSE	WES	958254104	WES-Nov 18 16-C45.00 P-45.00
10	NYSE	TU	87971M103	TU-Dec 16 16-C-35.00-P-35.00
11	NYSE MKT	ATNM	00507W107	ANTM Nov 18 6 C 5.00, P 5.00
12	NYSE MKT	BTX	09066L105	BTX-Dec 16 16-C-5.00 C-5.00
13	NYSE MKT	CQP	16411Q101	CQP-Dec 16 16-C-30.00 P-30.00
14	NYSE MKT	CQH	16411W108	CQH-Jan 20 17-C-25.00 P-25.00
15	NYSE MKT	DNN	91688T104 (248356107)	DNN-Jan 20 17-C-5.00 P-5.00
16	NYSE MKT	FSP	35471R106	FSP-Dec 16 16-C12.50 P-12.50
17	NYSE MKT	HLTH	66705B104 (65500B103)	HLTH-Feb 17 17-C-2.50 P-2.50

* Not Comprehensive - SCI entities may require specific Options to support their testing

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Options Symbols and CUSIPs (cont'd)

- Production symbols are to used for testing (OCC does not accept test symbols)
- Testing will be concentrated based on a set of symbols (preferably with low market cap) provided by exchanges to support triggering market infrastructures/SIPs
- Options symbols used for testing to coordinate with underlying equity symbols

Proposed Production Symbols for Option Testing*

#	Exchange	Symbol	CUSIP	Options
18	NYSE MKT	NSU	64156L952 (64156L101)	NSU-Dec 16 16- C-5.00 P-5.00
19	NYSE MKT	ONVO	68620A104	ONVO-Feb 17 17-C-5.00 P-5.00
20	NYSE MKT	XRA	301835104	XRA-Nov 18 16-C-2.50 P-2.50
21	NASDAQ	AKAO	004449104	AKAO-Dec 16 16-C-5.00 P-5.00
22	NASDAQ	DRRX	266605104	DRRX-Jan 20 17-C-2.50 P2.50
23	NASDAQ	FALC	306137100	FALC-Nov 18 16-C-2.50 P-2.50
24	NASDAQ	HALO	40637H109	HALO-Dec 16 16-C-9.00 P-9.00
25	NASDAQ	HNSN	411307200	HNSN-Dec 16 16-C-5.00 P-5.00
26	NASDAQ	JACK	466367109	JACK-Dec 16 16-C-85.00 P-85.00
27	NASDAQ	LJPC	503459604	LJPC-Dec 16 16- C-12.50 P-12.50
28	NASDAQ	OSIR	68827R108	OSIR-Feb 17 17-C-6.00 P-6.00
29	NASDAQ	RICK	74934Q108	RICK-Feb 17 17-C-12.50 P-12.50
30	NASDAQ	RMBS	750917106	RMBS-Jan 19 18-C-17.00-P-17.00
31		IAU		IAU-Jan 20 17 C-13.00-P-13.00
32		NDX		NDX-DEC 16 16 C-4575.0-P-4575.0
33		MNX		MNX-DEC 16 16 C-480.0-P-480.0

* Not Comprehensive - SCI entities may require specific Options to support their testing

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Pre Test and Post Test

──── Pre/Post-test Requirements and Guidelines ────

	DTCC	OCC	CBOE	IEX	NSX	UBS ATS
Availability for Reg SCI Pre/Post Testing	Yes	Yes	Yes	Yes	Yes	Yes – connectivity only
Pre/Post - Testing Required	Yes	Pre-Test Connectivity	No	No	No	Pre - connectivity only
Connectivity Testing Required	Optional	Yes	No	No	No	No
Reg SCI Pre Test Contact Information		occDRtest@theocc.com	api@cboe.com	marketops@iextrading.com 646.363.2300	NSXTrading@NSX.com 1-800-843-3924	ATS@ubs.com
Reg SCI Pre Testing Dates	Saturday September 17, 2016	Saturday, August 6, 2016 Saturday September 10, 2016	Saturday September 10, 17, 24, 2016 Saturday October 1, 8, 2016	By arrangement only	Date to be determined	As needed
Comments on Reg SCI Pre Testing	FIX to FIX connectivity testing with the exchanges ("ping test")	Participating members must coordinate pre-testing activities with the Industry Test team @ IndustryWideDRTest@theocc.com	Participating members wishing to Pre-test can coordinate with API Group	Will work with participating members on a one-off, arranged basis	Specific testing could be attend upon request	Connectivity testing
Reg SCI Post Testing Dates	Saturday October 22, 2016					N/A
Comments on Reg SCI Post Testing	Optional test date for participating members who did not satisfy DTCC's test criteria					N/A

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Pre Test and Post Test

———— Pre/Post-test Requirements and Guidelines ————

	FINRA	NYSE, NYSE, MKT, NYSE , ARCA	ISE	MIAX Option Exchange
Availability for Reg SCI Pre/ Post Testing	Yes	Yes	Yes	Yes, MIAX Options Exchange
Pre/Post - Testing Required	Yes (for selected firms)	No	Yes	No
Connectivity Testing Required	Recommended	No	Yes	No
Reg SCI Pre Test Contact Information	FINRAProductManagement@finra.org	questions on connecting Cermak DR: connectivity @nyse.com; General questions: trading @nyse.com or rmteam@nyse.com	applicationsupport@ise.com	TradingOperations@MIAXOptions.com (609) 897-7302
Reg SCI Pre Testing Dates	Saturday September 17, 2016 - Ping test	Saturday September 17, 2016	Specific date(s) to be provided	By Arrangement Only. Cross-connects in the MIAX CH4 facility must be established prior to the test date. Onboarding of the cross-connects will commence on Sunday August 22, 2016
Comments on Reg SCI Pre Testing	Pre-testing will be for connectivity to FINRA DR only and will not include functional testing	Yes		Conduction to the SIFMA test from the new DR Data Center located in the Equinix CH4 facility. All participants will be required to establish cross-connects in this facility prior to the test date. All mandatory participants were notified - All members are encouraged to participate.
Reg SCI Post Testing Dates		No		
Comments on Reg SCI Post Testing				

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Pre-Test and Post Test

Pre/Post-test Requirements and Guidelines

	BOX	BATS	CHX	NASDAQ
Availability for Reg SCI Pre/ Post Testing	Yes	Yes	No	Yes
Pre/Post - Testing Required	No	No		No
Connectivity Testing Required	No	No		No
Reg SCI Pre Test Contact Information	BOX Market Operations Center 866-768-8845 or boxmoc@boxexchange.com	Bats Trade Desk: tradedesk@bats.com or 913.815.7001	cmartuscello@chx.com	Trading Services: 212 231 5180
Reg SCI Pre Testing Dates	Saturday, September 10, 2016 9:00 AM to 1:00 PM EST	Bats DR Site Connectivity Testing Available 24x7		9/10/16; 10/8/16
Comments on Reg SCI Pre Testing	Only Participants connected to the NY10 POP will be able to connect to the DR site.	Bats DR site allows for Members to perform connectivity testing with assigned DR sessions 24x7. Application level connections with heartbeat support is also available in DR during normal trading hours.		Nasdaq DR systems in Chicago are active during normal trading hours M-F. Customers can test connectivity during these times or on the advertised Saturday UAT dates.
Reg SCI Post Testing Dates				11/5/16
Comments on Reg SCI Post Testing				Nasdaq DR systems in Chicago are active during normal trading hours M-F. Customers can test connectivity during these times or on the advertised Saturday UAT dates.

Other Considerations

Connectivity
- SCI entities to work with participating members to define communication protocols in-scope

Orders
- Average number of shares is used with a minimum of 2 orders (no max)

Registration
- The 2016 Regulation SCI BC/DR test is distinct from the classic SIFMA BC/DR test
- Registration to the 2016 Regulation SCI BC/DR test is done through the SCI entities

Success Criteria
- DTCC has outlined the capabilities, designee activity and evidence for inbound and outbound activity with FICC, NSCC, DTC and Omgeo which will be used to determine whether testing has been successful (see chart on Page 20)

Other Consideations: DTCC Success Criteria

SCI Entity	Inbound to DTCC*			outbound from DTCC			Criteria
	Capabilities	Designee Activity	Evidence	Capabilities	Designee Activity	Evidence	
FICC	FICC will enable the following capabilities for data submission: • Web Interface • File Interface (FTP/NDM) • MQ Interface	Designees to submit trade input using one of the following interfaces: • Web Interface • File Interface (FTP/NDM) • MQ Interface	FICC will submit evidence of the trade input status using the web interface.	FICC will enable the following capabilities for data inquiry: • Web Interface • File Interface (FTP/NDM) • MQ Interface	Each designee can confirm their capability in one of 2 ways: 1. Receipt of automated machine readable output from FICC, or; 2. Verification of FICC data processing through the FICC Web Interface, File Interface, or MQ interface.	Each designee will need to submit evidence for at least one of the following: 1. Screen shot of the receipt date/time of the message or file sent by FICC to the designee; or; 2. Screen shot of result of data processing.	Firms are able to submit evidence for successful receipt of 1 Input and 1 output transaction
NSCC	NSCC will enable data submission through FIX	Designees to send inputs using FIX interfaces	Each designee will need to submit evidence (Screenshots) for inputs being sent to NSCC / Exchanges	NSCC will enable the following capabilities for data inquiry: • Web Interface (Settlement) • File Interface (FTP/NDM) • MQ Interface • FIX	Each designee can confirm their capability in one of 2 ways: 1. Receipt of automated machine readable output from NSCC, or; 2. Verification of NSCC data processing through the Settlement Web Interface, File Interface, FIX or MQ interface.	Each designee will need to submit evidence for at least one of the following: 1. Screen shot of the receipt date/time of the message or file sent by NSCC to the designee; or; 2. Screen shot of pre and post data processing for the test transaction	Firms are able to submit evidence for successful receipt of 1 Input and 1 output transaction
DTC	DTC will enable the following capabilities for data submission: • Web Interface • File Interface (FTP/NDM) • MQ Interface	Designees to send inputs using one of the following interfaces: • Web Interface • File Interface (FTP/NDM) • MQ Interface	Each designee will need to submit evidence (Screenshots) for inputs being sent to DTC	DTC will enable the following capabilities for data inquiry: • Web Interface • File Interface (FTP/NDM) • MQ Interface	Each designee can confirm their capability by validating the settlement figures through: the Settlement Web Interface, File Interface, or MQ interface.	Each designee will need to submit evidence for at least one of the following: 1. Screen shot of the receipt date/time of the message or file sent by DTC to the designee; or; 2. Screen shot of pre and post data processing for the test transaction	Firms are able to submit evidence for successful receipt of 1 Input and 1 output transaction
Omgeo	Omgeo will enable the following capabilities for data submission: • Web Interface • File Interface (CCF/MTI) • MQ Interface • FIX	Designees to send inputs using one of the following interfaces: • Web Interface • File Interface (CCF/MTI) • MQ Interface • FIX	Each designee will need to submit evidence (Screenshots) for inputs being sent to Omgeo	Omgeo will enable the following capabilities for data inquiry: • Web Interface • File Interface (CCF, MTI) • MQ Interface • PTS	Each designee can confirm their capability in one of 2 ways: 1. Receive automated machine readable output from Omgeo, or; 2. Validate the matched trade through: the Web Interface, File Interface, MQ interface or PTS.	Each designee will need to submit evidence for at least one of the following: 1. Screen shot of the receipt date/time of the message or file sent by Omgeo to the designee; or; 2. Screen shot of pre and post data processing for the test transaction	Firms are able to submit evidence for successful receipt of 1 Input and 1 output transaction

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Key Public Information

SIFMA Classic Test
- Detailed documentation on the SIFMA classic test is posted on the SIFMA website at: www.sifma.org/Services/BCP/Industry-Testing/

BATS
- BATS Reg SCI BC/DR Testing requirements are posted at: http://cdn.batstrading.com/resources/schedule_update/2016/Update-Bats-2016-Disaster-Recovery-Data-Center-Test-Plan.pdf

BOX
- BOX's Reg SCI BC/DR Testing requirements are posted at: http://boxoptions.com/assets/IC-2016-21-2016-SIFMA-Industry-Wide-BCP-Test.pdf

CHX
- Detailed documentation on the Reg SCI and SIFMA tests is posted on the CHX website at:
- http://www.chx.com/notices/customer-service/

FINRA
- FINRA's test scripts are confidential and will only be shared with FINRA's designated participants

IEX
- Detailed documentation on the Reg SCI test is posted on the IEX website at: https://www.iextrading.com/trading/alerts/2016/044/
- Detailed documentation on the SIFMA test is posted on the IEX website at: https://www.iextrading.com/trading/alerts/2016/019/

Key Public Information

MIAX

- MIAX Reg SCI BC/DR Testing Requirements are posted at:
  http://www.miaxoptions.com/view/alert/198944

NASDAQ

- Detailed documentation on the SIFMA test is posted on the Nasdaq website at:
  http://www.nasdaqtrader.com/MicroNews.aspx?id=ERA2016-8

NYSE

- NYSE Reg SCI BC/DR Testing Requirements are posted at:
  https://www.nyse.com/publicdocs/nyse/notifications/trader-update/NYSE_Group_Reg_SCI_Testing_Notice_July_2016.pdf

OCC

- OCC published the following Reg SCI publications:
  - 38688 - Securities Industry Business Continuity Test
  - 39160 - 2016 OCC SIFMA/FIA BC/DR Industry Test Schedule & Scope
  - 39634 – OCC SIFMA/FIA BC/DR Industry Test Schedule & Scope
    http://www.optionsclearing.com/clearing/clearing-infomemos/infomemos1.jsp

Appendix

CBOE / CBOE C2 – Product List for Backup Data Center Test

CBOE

Security Identifier (Symbol)	Year	Month	Strike	Call/Put	Expiration Day
TSLA	2016	DEC	305	C/P	16
VIX	2016	NOV	15	C/P	16
SPXW	2016	OCT	2050	C/P	31
AAPL	2017	JAN	90	C/P	20
NKE	2017	JAN	60	C/P	20
FMC	2017	JAN	50	C/P	20
HXL	2016	DEC	45	C/P	16
MIC	2017	JAN	75	C/P	20
MHK	2017	FEB	165	C/P	17
SNA	2016	DEC	135	C/P	16
VAL	2018	JAN	100	C/P	19
WES	2017	FEB	50	C/P	17
ATNM	2017	FEB	5	C/P	17
BTX	2016	DEC	5	C/P	16
CQP	2016	DEC	32	C/P	16
HLTH	2017	FEB	5	C/P	17
NSU	2016	DEC	5	C/P	16
ONVO	2017	FEB	4	C/P	17
APH	2017	JAN	55	C/P	20
COG	2018	JAN	20	C/P	19
HALO	2018	JAN	25	C/P	19
JACK	2016	DEC	80	C/P	16
LJPC	2016	DEC	22.5	C/P	16
NSM	2017	JAN	10	C/P	20
PANW	2016	DEC	100	C/P	16
RMBS	2017	JAN	8	C/P	20
VNDA	2016	DEC	15	C/P	16

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Security Identifier (Symbol)	Year	Month	Strike	Call/Put	Expiration Day
TSLA	2016	DEC	305	C/P	16
AAPL	2017	JAN	90	C/P	20
NKE	2017	JAN	60	C/P	20
FMC	2017	JAN	50	C/P	20
HXL	2016	DEC	45	C/P	16
MIC	2017	JAN	75	C/P	20
MHK	2017	FEB	165	C/P	17
SNA	2016	DEC	135	C/P	16
VAL	2018	JAN	100	C/P	19
WES	2017	FEB	50	C/P	17
ATNM	2017	FEB	5	C/P	17
BTX	2016	DEC	5	C/P	16
CQP	2016	DEC	32	C/P	16
HLTH	2017	FEB	5	C/P	17
NSU	2016	DEC	5	C/P	16
ONVO	2017	FEB	4	C/P	17
APH	2017	JAN	55	C/P	20
COG	2018	JAN	20	C/P	19
HALO	2018	JAN	25	C/P	19
JACK	2016	DEC	80	C/P	16
LJPC	2016	DEC	22.5	C/P	16
NSM	2017	JAN	10	C/P	20
PANW	2016	DEC	100	C/P	16
RMBS	2017	JAN	8	C/P	20
VNDA	2016	DEC	15	C/P	16

Regulation SCI Rule requirements

- An SCI entity's BC/DR plan, including its backup systems, each SCI entity shall: (a) establish standards for the designation of those members or participants that the SCI entity reasonably determines are, taken as a whole, the minimum necessary for the maintenance of fair and orderly markets in the event of the activation of such plans; (b) **designate members or participants** pursuant to the standards established and **require participation** by such designated members or participants in **scheduled functional and performance testing** of the operation of such plans, in the **manner and frequency specified by the SCI entity**, provided that such frequency shall not be less than once every 12 months; and (c) **coordinate** the **testing** of such plans **on an industry- or sector-wide basis** with **other SCI entities** [Regulation SCI Rule 1004 and FAQs]

- Conduct the **initial functional** and **performance testing** of **BC/DR plans** with designated members or participants no later than November 2, 2016 [Regulation SCI FAQs]

- SCI entities are **not required to conduct all functional** and **performance testing** at once and in coordination with other SCI entities all at the same time…. if, to meet the requirements of the rule, a single annual test cannot be properly conducted, **SCI entities have flexibility to design their testing to include**, for example, **weekend testing** and **testing** in **segments** over the course of a year [SCI Adopting Release and FAQ's]