



Instructions for SIFMA Industry Test Table Top Exercise (TTX)

General Instructions

- This is a table top exercise. There is no testing of your systems associated to these instructions. The SIFMA Industry Test will be run in its usual format and structure on Saturday, October 25th.
- A survey will be released in association with the TTX scenario in order to guide the discussions you have in. All responses to survey questions are anonymous and results will not be shared with any other organizations other than those firms participating.
- Please keep a record of when your firm participated and who was on the team. At some point you may be asked by an examiner if you have participated in incident response training and testing and it may be of value to reference your participation in this exercise.
- The exercise is self paced and can take place at anytime between October 1st and October 31st, based on your firm's schedule. The survey for responses will open on October 24th and will close on October 31st.
- The scenario will be distributed on October 1st in order to enable the schedule above.

How Does the Exercise Work?

- On October 1st the primary contact for your company will receive an email from kschimmeck@sifma.org. It will have:
 - Further instructions in the execution of the exercise and the handling of the materials.
 - A presentation that outlines the scenario in detail with specific facilitation questions and multiple stages of injects to use in the table top.
 - An off line version of the survey questions in order to guide discussions as well as allow firms to capture their responses which can then be posted online once the survey open on October 24th.

- Between October 1st and October 31st your primary contact should schedule or have scheduled a table top exercise with a portion of your firm to run through the scenario over a one to two hour timeframe.
 - Team members will need to review the scenario information.
 - The team will need to meet via teleconference or in person to review the questions.
 - The team coordinator should capture the team’s responses to the questions and save them for loading into the survey tool.
 - The coordinator needs to retain the worksheet for the team’s records. Because the results are anonymous we can not retrieve individual responses.
- On October 24th the primary contact for your company will receive an email from kschimmeck@sifma.org with a link to the survey in order to capture your firm’s responses from the table top.

Who needs to be on the Team?

- Each firm is organized differently so it should be driven for the most part by your incident response plans.
- There are elements in the scenario that affect different parts of your company. We suggest all members of your incident response team should be involved, however the size of your firm will dictate how feasible that is.
- If not all team members are available, we suggest that your company consider participating with a limited team. During an incident sometimes not everyone is available.
- If you do not have a formal incident response team, this is a good exercise to help you get one organized.
- If your firm uses a critical third-party within your Equity business, you may want to ask the vendor to have a person available to answer questions during the exercise or have a person join your incident response team remotely.

What is the benefit to your firm?

- Your team will confirm the readiness of your plan and recognize parts that need more preparation. Remember all results are anonymous.
- You will have internal conversations about how to improve your incident response plan.

- You will be able to tell regulators/examiners that you have trained and tested your incident response team.
- You will be able to compare your results to the aggregated results of the industry.

Questions or Assistance

- If you have questions prior to the release please contact Karl Schimmeck (kschimmeck@sifma.org). Once the scenario is released further instructions for assistance will be provided.
- Results will be distributed in late November in line with the report generated for the connectivity test being run on October 25th.

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