

Dealerweb Business Continuity Test Script

SIFMA 2012 Industry BCP Test

Version 1.0

October 27, 2012

Registration

Participating dealers wishing to test with Dealerweb must register their intent with SIFMA and directly with Dealerweb. The test is intended to confirm connectivity, verify data transmission, and the participating firm's ability to enter orders and receive trade confirms. Order Entry and Trading will be allowed in TEST instruments only. All transactions are strictly for test purposes. All transactions will be removed from our systems at the conclusion of the test.

Product Testing

Mortgage TBA's (TEST Instruments)

Agencies (TEST Instruments)

US Treasuries (TEST Instruments)

Connectivity

Participating dealers should connect from their DR site to Dealerweb.

Order Entry and Trading

- The Dealerweb production system environment will be in full operation on the test day.
- All existing production logins to Dealerweb will be enabled.
- Entitled users can enter/modify/delete orders or aggress on resting orders in Test Securities markets.
- Because of the risk of inadvertent downstream order and deal capture at the participating dealer, Dealerweb will allow order generation and trading in "TEST" instruments only.
- Participating Dealers can call the DW Market Support team to act as the contra side of a trade if needed in order to generate trades for post-trade and STP flow.
- The test markets will be open such that participating dealers can trade with one another anonymously in a live market.
- All transactions are strictly for TEST purposes.
- All participating dealers are responsible for purging any test data from their systems (STP, Position, Risk, etc.).

WARNING: *It is the responsibility of the participating dealer to ensure that the messages coming out of Dealerweb on test day do not flow within their firm to other systems that will interpret the messages as Monday's live production data. Limiting activity to "TEST" instruments will assist in these efforts.*

Test Date Support

Market Hours

The market will open at 09:00 and close at 11:00 on Saturday, October 27, 2012 or sooner should all registered firms complete testing before the scheduled close. The business date of the system will be Monday, October 29, 2012. The trade date of the system for settlement purposes will be Saturday, October 27, 2012.

Market Support

Dealerweb Market Support/Control will be operating from both its Jersey City, UK and its alternate BCP facilities.

Market Support/Control personnel will be reachable @ 201.536.5780.

Contra-side orders

On request (via the support number) Dealerweb Market Support will place passive orders or aggress on resting orders to generate trades and STP. The market will be open and uninhibited such that participating Dealers can trade with one another as in a live market.

Post-test

- At the conclusion of testing a participating dealer will contact Market Support and declare that they are finished.
- At the conclusion of the test day, Dealerweb will compile and distribute a summary of activity for each participating Dealer as dictated by SIFMA.

For more information, please contact:

Dealerweb Market Support: 201.536.5780
support@dealerweb.com