TO: **ALL CLEARING MEMBERS AND EXCHANGES**

FROM: **MEMBER SERVICES**

DATE: **August 7, 2015**

SUBJECT: **2015 INDUSTRY WIDE BUSINESS CONTINUITY TEST**

The Securities Industry and Financial Markets Association ("SIFMA") and the Futures Industry Association ("FIA") in coordination with the Financial Information Forum ("FIF") are leading an industry-wide business continuity test that will take place on Saturday, October 24, 2015. Member firms participating in the test must complete basic connectivity testing with OCC prior to the October 24th test. A date has been set aside for pre-testing, Saturday, September 12, 2015.

Please contact your Member Services Representative or email occDRtest@theocc.com if you are interested in testing on Saturday, September 12, 2015 and/or Saturday, October 24, 2015.

The test will include options, futures, equities, fixed income, market data, settlement and payment system components. SIFMA is coordinating the equities and options components, FIA is coordinating the futures component and the FIF is coordinating the market data component.

The format of this exercise will be similar to the 2014 connectivity test. The test will require firms, exchanges and service bureaus to connect simultaneously using backup data centers and alternate operations sites to receive and transmit simulated executions and settlement interactions. The options portion of the test will include the transmission of data between OCC's backup facility and Clearing Members' alternate sites. This will require firms to receive and send (if applicable) test data using each firms' communication protocol (NDM, SFTP, and MQ).

Upon completion of testing, SIFMA and FIA will compile aggregate results but will not reveal the individual performance of any single organization.

This is a critical exercise that will highlight our industry's ability to continue operations in the event of a major disruption. We urge all member firms to participate in this important initiative.

Test Registration

The SIFMA and FIA registrations portals are currently open. These portals will enable firms to record their intention to participate in various test activities, as well as provide important contact information for staff involved with the testing. The SIFMA and FIA registration portals can be accessed via the following links:

SIFMA: http://www.sifma.org/Services/BCP/Industry-Testing/

FIA: https://secure.fia.org/bcp/test-registration.asp

GENERAL TEST INFORMATION

Test Location of Data Center (Primary, Backup, Multiple Hot)	Backup
Advance Planning Contacts	Miles Harvey, (817) 562-3547 or mharvey@theocc.com; Tracy Poole, (312) 322-4495 or tpoole@theocc.com; Member Services Help Desk (800) 621-6072 or occDRtest@theocc.com
IT/Connectivity Contacts	Mike Schwartz 312-322-6249 or occDRtest@theocc.com
Test Day Contact	Member Services Help Desk 800-621-6072 8:00-12:00 CT
Test Description	OCC will be testing connectivity through the transmissions of data files from OCC's DR site to the participant's DR site utilizing that participant's communication protocol (NDM, SFTP or MQ). Test data will be from Friday, October 23rd. Firms that submit inbound machine readable files will also be requested to perform this task.
Market Segment (Exchange/Utility/Market Data/Interdealer Broker, etc.)	Utility
Systems Environment to Be Used (Production, Test, Development)	Back-up environment
System(s) to Be Used	ENCORE, DDS
Products in Scope	Data Service or test files from October 23rd
Trade Date used for Test	Friday October 23rd
Client Connectivity Configurations (IP, Leased Lines, IP and/or Leased Lines)	IP and Leased Lines (Includes NDM, SFTP and MQ)
Availability **of Test Day Conference** Bridge line (Yes/No, details)	No
Transaction Acknowledgment Protocol:	E-mail response to occDRtest@theocc.com
Completion of Test Acknowledgement Protocol:	Complete e-mail template and send to occDRtest@theocc.com
Production Systems Reset and Test Data Purged	Yes, prior to Monday opening. Firms responsible for purging test data on their systems.
Special Registration Requirements (If necessary)	None
Special Instructions	OCC will require all firms testing on October 24th to pre-

	test on September 12th. If participant does not pre-test, testing will be allowed on October 24th on a best effort basis.

PRE-TEST REQUIREMENTS AND GUIDELINES

Availability for Pretesting (Yes/No)	Yes
Pretest Contact Information	Member Services Help Desk 800-621-6072 or occDRtest@theocc.com
Dates for Pretesting (Specific Dates/By Arrangement Only)	September 12, 2015 - 9am – 1pm ET
Test Location of Data Center (Primary, Backup, Multiple Hot)	Back Up
Method of Input	NDM, SFTP and MQ transmission(s)
Type of Output	NDM, SFTP and MQ transmission(s)

If you have any questions, please contact your Clearing Member representative or the Member Services Help Desk at the following numbers: 800-621-6072 or 800-544-6091. Within Canada, please call 800-424-7320. Clearing Members may also e-mail us at memberservices@theocc.com or occdrtest@theocc.com.