



THE OPTIONS CLEARING CORPORATION

27835

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DATE: OCTOBER 20, 2010

SUBJECT: INDUSTRY WIDE BUSINESS CONTINUITY TEST - REMINDER

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 23, 2010. Member firms participating in the test must complete basic connectivity testing with OCC prior to the October 23rd test. . **Please contact your Member Services Representative or email occDRtest@theocc.com if you are interested in testing on Saturday, October 23, 2010.**

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 2009 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, FTP+, MQ).

Attached is a high level overview of OCC’s component of the October 23rd industry-wide test. More specific information regarding the other test components will be posted soon to the SIFMA website.

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:

http://www.sifma.org/services/business_continuity/html/industrytest2010.html

<https://www.futuresindustry.org/disaster/dr-test-registration.asp>

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.

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.

OCC

GENERAL TEST INFORMATION

Test Location of Data Center (Primary, Backup, Multiple Hot)	Backup
Advance Planning Contact	Steven Methven, Senior Specialist; 817-562-3461; smethven@theocc.com Fabria Dean - Manager; 817-562-3465; fdean@theocc.com
IT/Connectivity Contacts	Mike Schwartz (Network Services) 312-322-6249
Test Day Contact	Member Services Help Desk 800-621-6072 option 2 8:00-2:00 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, FTP+ or MQ). Test data will be from Friday, October 22. 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	DDS
Products in Scope	Data Service or test files from October 22
Trade Date used for Test	Friday, October 22

Client Connectivity Configurations (IP, Leased Lines, IP and/or Leased Lines)	IP and Leased Lines (Includes NDM, FTP+ and MQ)
Availability of Test Day Conference Bridgeline (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 Data Service will be from Friday, October 22
Special Note	None