Industry Wide Business Continuity Test Script

OCC is planning and managing the options and futures component of the industry wide business continuity test sponsored by SIFMA and FIA. The test is scheduled for Saturday, October 5, 2013 from 8 am – 12 pm CT. OCC’s scheduled pre-test is scheduled for Saturday September 14th 2013 from 9am – 1pm CT.

# Test Registration

All test participants are required to indicate their participation via the registration portal on the SIFMA and FIA websites:

SIFMA: <http://www.sifma.org/Services/BCP/Industry-Testing/> FIA: <https://www.futuresindustry.org/disaster/dr-test-registration.asp>

**OCC Test Scope**

The purpose of this test is to successfully connect from your alternate (DR) site to OCC's alternate (DR) site. Successful connectivity is defined as:

**Outbound File Transmission (OCC to You)**

* Receive an outgoing file transmission from OCC. OCC will provide test files as “.test” output files.
  + FTP+ Pull and SFTP users will have files in their download directory.
  + NDM and MQ users will need to contact OCC to receive a test file and/or message. Each user will be paired with an OCC technical contact for testing.

**Inbound File Transmissions (From You to OCC)**

* Submit a file transmission to OCC **only** if your firm transmits files to OCC in production.
  + Files can be in the form of an empty “test” file or a previous day’s “production” data. **All data sent will be used for testing purposes only.**
  + Transmissions should be sent to the same dataset name as production with an additional “.test” trailer.

**ENCORE – Clearing Members Only**

* ENCORE will be available for testing and in a DR environment.
* Clearing Members that use ENCORE in production for post trade input should test this functionality during the test. **Any transaction entered during the test will be deleted upon test completion.**

# OCC Configuration

* All IP addresses and TCP Ports for the OCC will *remain the same as they are in production*.
* OCC will NAT the addresses to the appropriate host on our end. OCC will "swing" our network to ensure all users are connecting to our alternate site.
* Please power off or disable your production OCC router during the test. Please ensure your DR site’s firewall rules will allow OCC’s IP addresses.

**Test Day OCC Contacts**

Should you have any questions prior to or on the scheduled test day, feel free to contact your Member Services Representative at (800) 621-6072 option 1 or email [occDRtest@theocc.com](mailto:occDRtest@theocc.com). Thank you in advance for your participation.