



SECURITIES INDUSTRY BUSINESS CONTINUITY TEST

Saturday, October 25, 2014

Test Day Script

Test Component	[Equities or Fixed Income]
Exchange/Utility	Omgeo
Test Day Contact	Omgeo Client Contact Center, 877.664.3625; DTCC Business and Production Support – 888.382.2721, option 5 then option 3.
Test Description	Omgeo TradeSuite ID: Trade input and confirms output via Direct interfaces (CCF and MQ) and PTS/PBS
Trade Date	October 25, 2014
Projected Start/End Times	9am to 1pm ET
Systems to Be Used for Testing	Omgeo TradeSuite ID - If you use the following services you are interacting with Omgeo TradeSuite ID: Confirm/Affirm, TradeMatch, NearMatch, TradeSuite Server, and Broker Trade Input (BTI). Some of the services are also available via the Workstation and web.
Transaction Count	At least 4

Test Transaction	Transaction Type (Buy/Sell, Receive/Deliver, Wire, etc.)	Security Identifier (Symbol/Cusip/Isin)	Quantity	Price	Amount
Broker-1	Buy (Orig)	Any Cusip	500	10.00	530.00
Broker-2	Sell (Orig)	Any Cusip	100	25.00	280.00
Broker-3	Buy (Orig)	Any Cusip	300	5.00	180.00
Broker-4	Sell (Orig)	Any Cusip	400	7.00	300.00

Continued...

Test Transaction	Transaction Type (Buy/Sell, Receive/Deliver, Wire, etc.)	Security Identifier (Symbol/Cusip/Isin)	Quantity	Price	Amount
Broker-5	Buy (Cancel Trans #1)	Any Cusip	500	10.00	530.00
Broker-6	Sell (Cancel Trans #2)	Any Cusip	100	25.00	280.00
IM/Agent Bank #1	Affirm - Buy	Any Cusip	300	5.00	180.00
IM/Agent Bank #2	Affirm - Sell	Any Cusip	400	7.00	300.00

Transaction Acknowledgement Protocol	Same as input mechanism; CCF, MQ, PTS Broker-dealers should submit a couple of trades to Omgeo for processing (CCF, MQ Series, PTS, etc.) and then Retrieve Confirms. Investment Managers/Agent Banks should Retrieve Confirms and then Affirm the trades.
Completion of Test Acknowledgement Protocol	Same as input mechanism; CCF, MQ, PTS
Other Information	Broker-dealers entering trade input/cancellations should buddy up with an IM or Agent Bank and agree on the trade details; They can then Affirm the transactions.

Listed below are some simple test scripts that you may use during the SIFMA Industry Test.

PARTY

TEST SCRIPT

Broker-dealers

- Submit a couple of trades to Omgeo for processing (CCF, PTS, FTP, Connect:Direct, MQ Series, Workstations, etc.)
- Broker should coordinate with counterparties trade specifics**
- Retrieve Confirms
- If partnering with an IM, mark the Record 1 Field Description in Input Files as P for Production vs T for Test. If flagged T for Test, report distribution will not take place with your counterparty.

Investment Managers

- Buddy up with a Broker-dealer to send in a couple of trades
- Retrieve confirms
- Submit Affirmations or Allocations

Continued...

Agent Banks

- Buddy up with a Broker-dealer to send in a couple of trades
- Retrieve confirms
- Submit Affirmations

Interested Parties

- Buddy up with a Broker-dealer to send in a couple of trades
- Retrieve confirms
- Submit Affirmations

Service Bureaus

- Submit a couple of trades for a client for Omgeo to process (CCF, PTS, FTP, Connect:Direct, MQ Series, Workstations, etc.)
- Retrieve confirms
- Submit Affirmations or Allocations