



REG SCI PLAYBOOK

As of October 12, 2023

V.F

Deloitte & Touche LLP was engaged by SIFMA to assist with the development of the 2023 Reg SCI BC/DR industry test materials.

Change Log

- Finalized Pre-Test and Post Test Requirements and Guidelines (08/14/2023)
- Removed WIP from DTCC Client Success Criteria (08/14/2023)
- Updated information on Clearing Agencies slide with DTCC update (08/14/2023)
- Updated that Blackrock is in scope for Reg SCI testing (09/13/2023)
- Updated Dealer Web CUSIPS (09/13/2023)
- Updated LTSE Pre-Test time slide (09/20/23)
- Removed CME from Pre-Test time slide (09/21/2023)
- Added Test Scrips slides (10/11/2023)
- Updated FINRA symbol/CUSIP information (10/11/2023)

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Standard SRO Test Script Template

Regulation SCI Rule requirements

Overview

- Regulation SCI requires that each SCI entity designate members/participants (participating members) to take part in the annually scheduled Business Continuity and Disaster Recovery Plan test.
- SCI entities have established criteria for the designation of applicable members that are required to participate in the annual Business Continuity and Disaster Recovery Plan test.
- The objective of the 2023 test is that SCI entities conduct a functional and performance testing of ' business continuity and disaster recovery (BC/DR) plans with participating members to exercise and verify the ability to operate through a business continuity and/or disaster recovery event using backup sites, recovery facilities and backup communication capabilities.

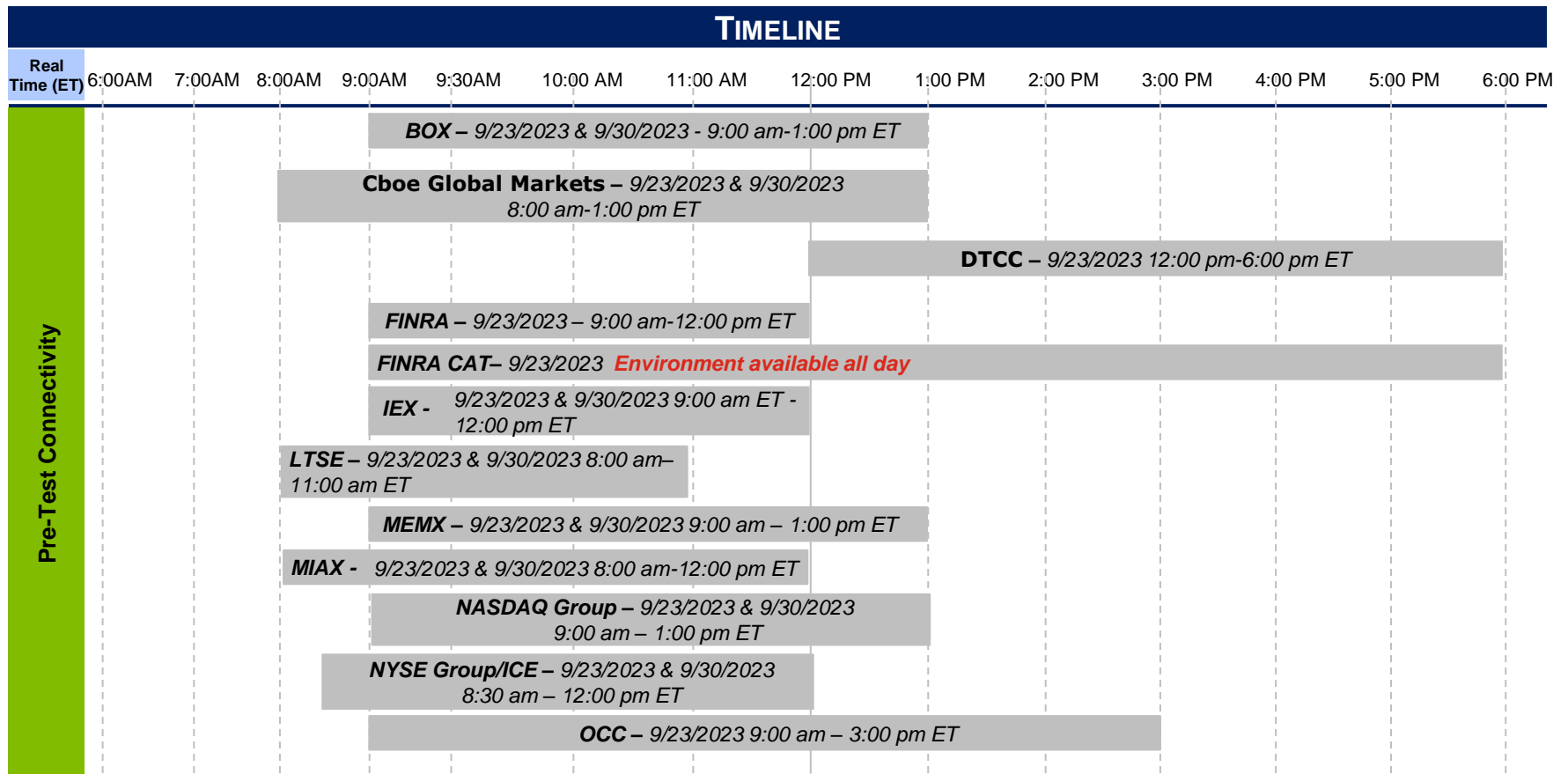
2023 Test - Guiding Principles

Topic	Approach
2023 test date	 <ul style="list-style-type: none"> The test will occur on Saturday October 14th 2023. The test date aligns with SIFMA Classic, FIA and IIROC
Environments connectivity	 <ul style="list-style-type: none"> Participating members should be able to operate from their production or DR environments Participating members who elect to operate from their production environments are strongly encouraged to conduct a separate connectivity test from their DR environment(s)
Designated Reg SCI contacts	 <ul style="list-style-type: none"> Reg SCI Entities notification to designated Reg SCI firms will be included in the 2023 Reg SCI Playbook Participating members to develop & communicate Reg SCI distribution emails to all SCI Entities by SIFMA
Test scripts communication and distribution	 <ul style="list-style-type: none"> Reg SCI Entities are responsible for communicating test scripts and other test requirements to their respective participating members Reg SCI Entities with public test scripts will provide participating members with the address of a dedicated location on their website which houses all REG SCI communications, including test scripts (will be added to the Reg SCI Playbook)
Connectivity testing	 <ul style="list-style-type: none"> Connectivity testing is highly recommended to limit issues observed during prior years Reg SCI Entities are responsible for providing connectivity testing prior to the 2023 Reg SCI BC/DR test; Connectivity test dates will be established and circulated to participating members Entities will work directly with participating members to provide network connectivity information Connectivity configuration used for pre-test must remain unchanged for 2023 Reg SCI BC/DR test date
Text Execution	 <ul style="list-style-type: none"> The 2023 annual Regulation SCI BC/DR test should not require manual intervention by participating member systems to execute the test (manual intervention refers to limited system or configuration changes)
Text Scope	 <ul style="list-style-type: none"> The 2023 test is designed to verify that Reg SCI entities are able to demonstrate that they can support the maintenance of fair & orderly markets in the event the Reg SCI entities' BC/DR plans are activated The 2023 test is an industry coordinated test (as required by Reg SCI), but it is not an end-to-end industry integrated test; it is a test for each individual SCI Entity to test its own BC/DR environment(s) The test is not systems capacity test; however, the test should generate enough message traffic to support trading and dissemination of market data through the SIPs The test is not a pass/fail exercise for the participating members. Some SCI members, based on their rulebook, will publish results¹. Others will provide members with a scorecard outlining capabilities and issues In the event of an unsuccessful test further analysis will be required to understand the root cause (i.e., is the issue on the participating member side, SCI entity, etc.)
Classic SIFMA Test	 <ul style="list-style-type: none"> The 2023 Regulation SCI BC/DR test is distinct from the classic SIFMA BC/DR test

¹ OCC will publish results if asked by regulators

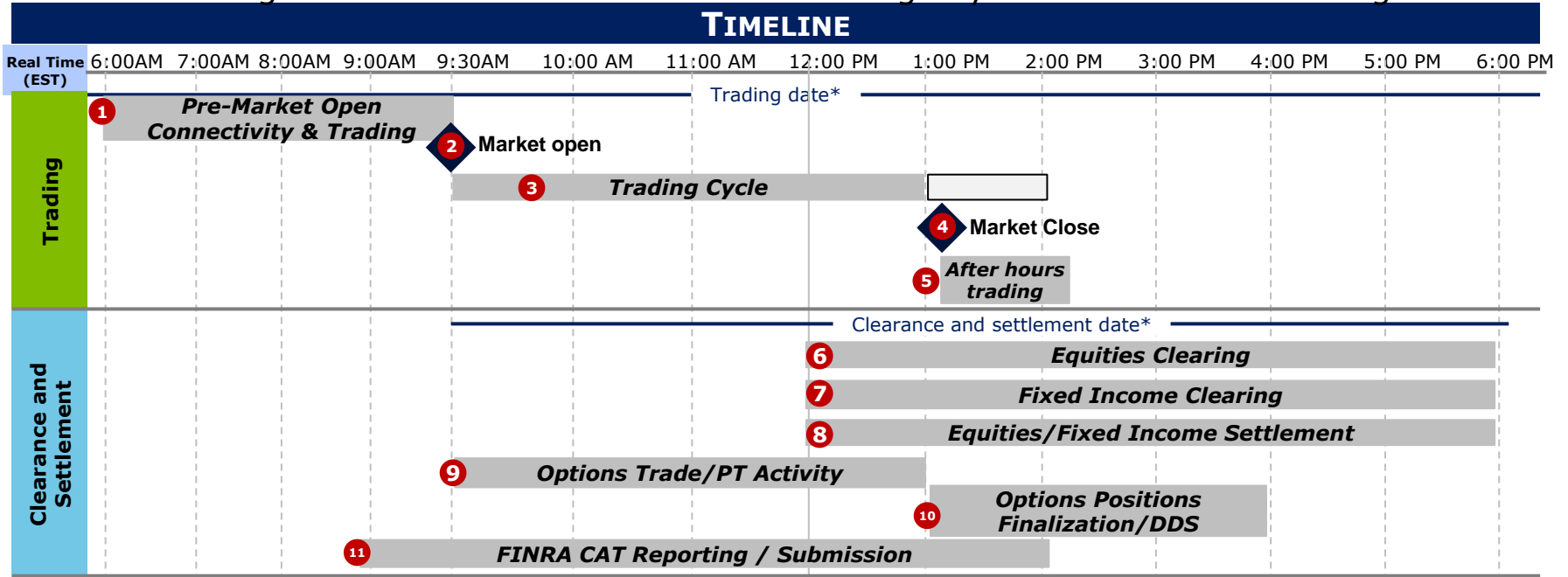
Pre-Test Day - Outline Timeline

- The coordinated voluntary pre-Reg SCI BD/DR test dates are **9/23/2023 (Primary)** and **9/30/2023 (Secondary)**
- Pre-Test will focus on connectivity testing
- SCI entities will open their systems per the below schedule
- SCI entities who are interested in extending the test further than connectivity testing will notify their participating members accordingly



Test-Day - Timeline and Break Points

- Test Timeline and Breakpoints to follow the same test outline as prior years
- All exchanges and venues will follow a half trading day structure for the testing session



- 1 Exchanges to open their systems any time prior to market open
- 2 Coordinated Market Open across SCI entities - 9:30 AM ET
- 3 Short trading day cycle - 9:30 AM – 1:00 PM ET
[For OCC Exchange Mock Trading Cycle and Encore Daily Activity 9:30 AM-12:00 PM]
- 4 Coordinated Market Close (Equities and Options) – 1:00 PM ET
- 5 After hours trading - 1:00 PM – 2:00 PM ET
- 6 Equities Clearing – 12:00 PM – 6:00 PM
 - Accept trades from the Exchanges – trades will reject with invalid trade Date
- 7 Fixed Income Clearing 12:00 PM – 6:00 PM
 - Trades submitted and matched, settlement totals calculated
- 8 Equities/Fixed Income Settlement 12:00 PM – 6:00 PM
 - Deliver Orders and Payment Orders submitted and settled
 - CNS transactions and settlement totals processed
 - Fixed income settlement totals processed
 - ITP Matching: CTM Block and Tradesuite Confirm trades accepted and processed
- 9 Options Trade / Post Trade Activity – 9:30 AM – 1:00 PM ET
- 10 Options Positions Finalization / End of Day – 1:00 PM – 4:00 PM ET
- 11 FINRA CAT Reporting/Submission – 9:00 PA – 2:00 PM ET

***Trade and Clearance and settlement dates**

- Exchanges may test additional functionality including IPO's limit up/limit down and trading halts
- DTCC will be able to accept transactions during the Clearance and Settlement window beginning at noon
- DTCC anticipates all 4 entities (ITP (Omgeo), FICC, NSCC, DTC) will be simultaneously during the clearing and settlement window
- Trade date for Exchange Systems will be 10/13/2023
- Trade Date for the OCC Encore System will be 10/12/2023 (OCC to change date of 10/14/2023 to 10/12/2023)
- OCC's Business/Trade/Clearance date will be 10/12/2023
- OCC's settlement date will be 10/16/2023
- Input transaction settlement date for DTCC entities will vary by test

DTCC /OCC Production Readiness will happen on Sunday 10/15

Test Scope Outline - Participating Members

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Participating Members Test Summary

- Conduct the test from their production or DR environments
- Submit a representative sample of daily trade transactions to exchanges
- Work with Reg SCI entities to determine communication protocols
- Cover all in-scope product types
- Clean all test data from systems prior to Monday market open

Test Scope Outline - Exchanges

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Exchanges Test Summary

- Conduct trade matching
- Transmit matched trades to clearing agencies to demonstrate connectivity to the clearing agency (NSCC will reject the trades at the CDTs gateway and a reject message will be transmitted back to the exchange over FIX connections)
- Receive and verify messages (pended/rejected trades and execution) if applicable
- Clean all test data from systems prior to Monday market open

Note: Exchanges to communicate additional functionality including IPO's limit up/limit down and trading halts

Test Scope Outline - Clearing Agencies

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Clearing Agencies Test Summary

NSCC

- NSCC simulate trade executions on behalf of the exchanges
- Participating members access NSCC to inquire on trade data submissions that NSCC would simulate on behalf of the exchanges via web screens or automated output; to validate data & receive output from
- Exchanges transmit matched trades to NSCC. NSCC will reject trades and a reject message will be transmitted back to the exchange and to designated participating clients (based on exchange activity and NSCC subscriptions)

FICC

MBS:

- Members will submit TBA trades acting as either the buyer or the seller for Comparison and Novation
- Members who are the seller(s) will submit pool information via EPN that the member acting as the buyer will receive

GSD:

- Members will submit Repo and GCF trades as well as affirm them
- Sponsored GC (select members) will need to submit and affirm trade(s)

ITP

CTM:

- Submit one block trade

Tradesuite:

- Submit one ID confirm

DTC settlement test:

- Deliver Order and Payment Order submitted; Processed; and submitted for settlement

Test Scope Outline - Clearing Agencies (cont'd)

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Clearing Agencies Test Summary

OCC

- Exchanges will:
 - Transmit matched trades to OCC for processing throughout the mock trading cycle to OCC in real time
 - Submit balance sets and balance trades with OCC at close of Mock Trading Lifecycle
 - Receive and verify outbound DDS through connections to OCC's DR environment
 - Purge all test data from systems prior to market open for Monday
- Firms will:
 - Submit post trade transactions to OCC utilizing the communication protocols normally used in production (External Encore, Real-time MQ, Batch SFTP or Batch NDM)
 - Receive and verify outbound DDS through connections to OCC's DR environments
 - Access on-demand and core reports through External Encore
 - Purge all test data from systems prior to market open for Monday

Test Scope Outline - SIPs

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

SIP - NASDAQ

- The NASDAQ SIP (UTP) will be available from both Carteret and Cermak
- The system of record is the binary version of the SIP feed which will be available during the Reg SCI and Industry BCP/DR test

SIP -SIAC

- The OPRA SIP and CTS/CQS SIP will be available in Cermak
- Firms can contact connectivity@nyse.com for any questions on connecting to DR in Cermak
- General questions on SIP support can be addressed to (cqs-cts-opra@siac.com)
- SIAC will be running out of the DR site

Test Scope Outline - FINRA

The objective of the test scope outline is to provide consistent detail for the execution of the test as well as consistent set of requirements

Test Summary

FINRA will create test scripts for each facility and send them to the firms who have been identified to test. Testing will include the following FINRA facilities:

- **TRACE** (Fixed Income – Corporate & Agency Debt, Securitized Products and treasuries)
- **ORF** (Over the Counter Equities)
- **NY and Nasdaq TRF** (for firms who report NMS trades to the TRFs)

Note: Test scripts were distributed to each designated firm for their respective facilities

Equities and Options Symbols and CUSIPs

- Production or Test Symbols will be used for trading
- Test Symbols will be used for clearing (minimum of one test symbol)
- Testing using production symbols is encourage using the below symbols to support triggering market infrastructures/SIPs. It is noted that testing is not limited to the production symbols below
- Production data will be used by FINRA for OTC equities testing (FINRA will accept any valid production symbol)

Production Symbols*

#	Symbol
1	CSCO
2	F
3	MSFT
4	GE
5	BAC
6	SPX (CBOE proprietary product)
7	SPXW (CBOE proprietary product)
8	VIX (CBOE proprietary product)

Test Symbols

#	Exchange	Symbol
1	Cboe Exchanges (Options & Equites)	* See Below
2	NASDAQ	ZVZZT
3	NASDAQ	ZJZZT
4	NASDAQ	ZWZZT
5	NASDAQ	ZXZZT
6	NYSE Listed	NTEST
7	NYSE American Listed	ATEST
8	NYSE Arca Listed	PTEST
9	IEX	ZIEXT
10	IEX	ZEXIT
11	IEX	ZXIET
12	Global OTC test symbols	TESTF TESTJ TESTX
13	DealerWeb	See Appendix

*** Not Comprehensive - SCI entities may require specific Options to support their testing**

Cboe Exchanges Options – Symbols: BTEST,CBO,CBX,IBO,IGZ,ZBZX,ZTEST,ZTST,ZVV,ZVZZT,ZWZZT,ZXZZT;
Strike Prices: 10.000,15.000,20.000,25.000,5.000; Expiration Date: 2099-01-01

Cboe Exchanges Equities - ATEST,CBO,CBX,CTEST,IBO,IGZ,MTEST,NTEST,PTEST,ZAZZT,ZBZX,ZBZZT,ZCZZT,ZEXIT, ZIEXT,ZTEST, ZTST, ZVV,ZVZZT,ZWZZT,ZXIET,ZXYZ,ZXZZT

- OCC will be using production symbols for testing
- OCC will not be supporting Cboe test symbols

Equities Symbols and CUSIPs - FINRA Securities List

#	FINRA Reporting Facility	CUSIP	Symbol	#	FINRA Reporting Facility	Symbol	CUSIP
1	ORF		SWRAY	20	FINRA/NYSE TRF; FINRA/Nasdaq TRF-Carteret; FINRA/Nasdaq TRF-Chicago	ALLY	02005N100
2			RHHBY	21		CAT	149123101
3			POAHY	22		NKE	654106103
4			DASTY	23		AAPL	037833100
5			MIELY	24		EBAY	278642103
6			DANOY	25		NFLX	64110L106
7	TRACE: TS	912797FH5	TSRYS5584399				
8		912810TR9	TSRYS5580515				
9		912803EQ2	TSRYS4493785				
10		12810TP3	TSRYS5536900				
11	TRACE: CA	88167AAE1	TEVA4384553				
12		31359MGK3	FNMA.RY				
13		40428H102	HBC5571291				
14		439419BJ0	CHRC3995690				
15	TRACE: SP	00432CAZ4	AGIK3279047				
16		01449TAA1	ALEZ3279744				
17		12543PAB9	BAC3314428				
18		3140QCTB2	FNMA4932907				
19		21H030682	GNMB3525437				

All FINRA's test scripts will be reviewed and updated to account for expired symbols/CUSIPS and price disparities, as needed. These changes will be made the week of the test and sent to designated firms.

FINRA will accept active Symbols and CUSIPs for OTC Equities testing, as well as for TRACE testing

Updated as of 10/10/2023

SCI entities test scripts

BOX

- BOX communicated the test scope and framework to designated participants on July 5th .

Cboe Exchanges (Cboe Options, BYX, BZX, EDGA, EDGX and C2)

- Link to [Cboe SIFMA/FIA and Regulation SCI BCP/DR Test Plan](#)

CME/Btec

- Test scripts developed and have been distributed to designated participating members who confirm their SIFMA test IDs

DEALERWEB

- Notification emails with test scripts were sent on July 11 to required Reg SCI participants for 2023 test

DTCC

- DTCC test scripts will be updated and will be available via online portal to those clients who have completed their test registration survey. [scripts updated and shared 9/12]

FINRA

- FINRA's test scripts are confidential and were only be shared with FINRA's designated participants
- Test scripts were distributed to designated participating members for their respective facilities during the week of June 5th.

FINRA CAT

- Test scripts were distributed to designated participating members for their respective facilities
- FINRA CAT held calls with selected entities (Sept 6, Sept 13)
- FINRA CAT will be communicating throughout with entities in from 9/23 - 10/13

SCI entities test scripts

IEX

- IEX distributed a [Trader Alert Notification](#) related to the 2023 Regulation SCI BCP/DR Test
- The Trader Alert Notification include the [Test Script for the 2023 Regulation SCI BCP/DR Test](#) (shared on June 16th).

LTSE

- Test Scripts distributed to designated participating members [sent to mandatory participants by 9/8]

MEMX

- Link to [2023 MEMX Test Script](#)

MIAX Exchanges

- Link to MIAX [test plan](#)

MSRB

- *Not applicable*

NASDAQ Exchanges

- Test notification information (Nasdaq equities and options questionnaire) were distributed.
- The notification include a check list of different items that they must complete as appropriate
- Link to NASDAQ [Trader Alert](#)

SCI entities test scripts

NYSE Group/ ICE

- Link to NYSE Group [trader notice](#) which includes the testing script
- NYSE will provide participating members with a Checklist in advance of the test
- Checklist must be returned to regscitesting@nyse.com following test conclusion
- Upon Checklist receipt, NYSE will provide firms with “a confirmation of test completion” email

OCC

- Individualized test strategies were developed and shared for each registered participant and individual business models.
- OCC Testing requirements are [posted on Infomemo #52132](#) (note: Infomemo includes high level testing requirements information)

OTC Link

- OTC Markets' test scripts have been shared with designated participants

SIFMA Classic Test

- SIFMA Classic Test scripts vary depending on the scope of testing offered by each test entity, an overview of test scope is available in the Summary of Components spreadsheet on the SIFMA test site

UBS ATS

- UBS ATS test scripts were shared with designated participants [shared by week ending September 22nd]

Pre-Test and Post Test Requirements and Guidelines

	BOX ✓	Cboe Exchanges ✓	CME ✓	DealerWeb ✓	DTCC ✓	FINRA* ✓	FINRA CAT ✓
Availability for Pre Testing	Yes	Yes	TBD	Yes	Yes	Yes	Yes
Availability for Post Testing	No	No	No	Will accommodate upon request	N/A		Upon request
Pre- Testing Required	Required	Strongly Recommended	Not Required	Not Required	Strongly Recommended	Strongly Recommended	Strongly Recommended
Post - Testing Required	No	No	No	No	N/A		No
Connectivity Testing Req'd	Required	Strongly Recommended	No	No	No	Strongly Recommended	Required
Notification Contact info.	Same as Test Contact Information		Same as Test Contact Information	Same as Test Contact Information	Same as Test Contact Information	Same as Test Contact Information	Same as Test Contact Information
Test Contact Information	BOX Maret Operations Center 866-768-8845 boxmoc@boxoptions.com	Cboe Trade Desk 913-815-7001 tradedesk@cboe.com	GCC/Market Support USms@btec.com 212-521-4700	Market Support/Control - 201.536.5781 support@dealerweb.com William Vogt william.vogt@dealerweb.com Tara Wiekert Tara.Wiekert@tradeweb.com	Kevin Hanley , 212-855-8092 khanley@dtcc.com Evanthia Rlchery erichey@dtcc.com	FINRA Product Management- finraproductmanagement@finra.org	FINRA CAT Helpdesk Help@finracat.com 1-888-696 3348
Reg SCI Pre Testing Dates	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023 	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023/Any time 	• N/A	Will work with Participants	• 9/23/2023	• 9/23/2023	• 9/23/2023
Comments on Reg SCI Pre Testing	Pre-Testing is required for designated participants	Voluntary connectivity pre-testing can occur any time. Cboe NOC & Trade Desk support available to address connectivity issues.	N/A		Pretest is highly recommended for designees	Participation in pre-testing strongly recommended for designated firms.	
Post Reg SCI Test Confirmation	Not required	Participants: Not required Cboe: will communicate confirmation of testing within 1 week following test	Not Required	Please communicate with Market Support Group on test day when complete	Email indicating receipt of test evidence and confirmation of success is provided during the test window	Not required	Not required
Reg SCI Post Testing Dates	N/A	No	N/A	N/A	N/A		N/A
Comments	Yes	Yes		Yes			

Pre-Test and Post Test Requirements and Guidelines

	IEX ✓	LTSE ✓	MEMX ✓	MIAX Exchanges ✓	MSRB*	NASDAQ Exchanges ✓	NYSE Group ✓
Availability for Pre Testing	Yes	Yes	Yes	Yes	N/A	Yes	Yes
Availability for Post Testing	Yes – connectivity testing only	Upon Request	Upon Request	No		Will be made available upon request	No
Pre- Testing Required	Strongly Recommended	Not Required	Strongly Recommended	Strongly Recommended	--	Required	Strongly Recommended
Post - Testing Required	No	No	No	No		No	No
Connectivity Testing Required	Strongly Recommended	Not Required	Strongly Recommended	Strongly Recommended	No	Required	Strongly Recommended
Notification Contact info.	Same as Test Contact Information	Same as Test Contact Information	lstrathman@memx.com and mops@memx.com.	Same as Test Contact Information	N/A	Same as Test Contact Information	Same as Test Contact Information
Test Contact Information	Market Operations marketops@iextrading.com ; 646-343-2310 Tech. Ops sre@iextrading.com ; 646-343-2200	marketops@longtermstockexchange.com ; 813-575-2602 ; techops@longtermstockexchange.com	mops@memx.com 1-833-415-6677	Trading Operations TradingOperations@miaxglobal.com (609) 897-7302	N/A	Trading Services tradingservices@nasdaq.com Options Market Operations optionshelpdesk@nasdaq.com	Systems Operations 212.896.2830, Option #2 #1 connectivity@nyse.com
Reg SCI Pre Testing Dates	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023 	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023 	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023 	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023 	N/A	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023 	<ul style="list-style-type: none"> • 9/23/2023 • 09/30/2023
Comments on Reg SCI Pre Testing	N/A		Please contact mops@memx.com with questions	Connectivity testing will also be available Monday, October 9, 2023 through Friday, October 13, 2023, between 8:00AM - 5:30PM EST			
Post Reg SCI Test Confirmation	Not required	Post Reg SCI Test Confirmation: contact marketops@longtermstockexchange.com when complete	contact mops@memx.com when complete	Contact trading Operations when complete at: TradingOperations@miaxglobal.com		Participants to fill out the checklist on the alert return via email to optionshelpdesk@nasdaq.com by following Monday	Completed Checklist by Email required per Test Script
Reg SCI Post Testing Dates	On request	On request	N/A	N/A		made available upon request	
Comments	N/A	N/A		N/A			

Pre-Test and Post Test Requirements and Guidelines

	OCC ✓	OTC Link ✓	SIAC ✓	UBS-ATS ✓
Availability for Pre Testing	Yes	No	Yes	Yes
Availability for Post Testing	Yes – validation of prod to prod connectivity once testing is complete and OCC production environment is back up	No	No	No
Pre- Testing Required	Required/ Mandatory	Not Required	Strongly recommended	Strongly recommended
Post - Testing Required	No (Optional)	No	No	No
Connectivity Testing Required	Yes	No	Strongly recommended	Strongly recommended
Notification Contact info			Same as Test Contact Information	Same as Test Contact Information
Test Contact Information	OCC Help Desk: 800-544-6091 or 800-621-6072 occDRtest@theocc.com	Bart Krezalek bart@otcmarkets.com 212-896-4475 Vlad Brodsky vlad@otcmarkets.com	SIAC Product Management: CTA-OPRA-Support@siac.com 212-656-8177 SIAC Operations: operations@siac.co	Charles Seremetis Charles.seremetis@ubs.com 212-713-2080
Reg SCI Pre Testing Dates	• 9/23/2023	Will work directly with participants	--	Will work directly with participants
Comments on Reg SCI Pre Testing	Mandatory Pre-Testing for all OCC participants and will consist of validating connectivity			Offering connectivity testing to DR at any time (coordinate with charles.seremetis@ubs.com)
Post Reg SCI Test Confirmation	Email indicating completion of input & output & test success	Contact trading Operations when Complete	N/A	
Reg SCI Post Testing Dates				
Comments	Not participating in the coordinated voluntary pre-testing			

Reg SCI Test 3rd parties/service bureaus inclusion

3 rd Party Name	Mentioned by		Participation status	Role Played in Reg SCI Test
	Reg SCI Entity	Member		
Broadridge	✓	✓	Confirmed participation	Post trade service bureau
BetaNXT	✓	✓	Confirmed participation	Post trade service bureau
BlackRock	✓		Confirmed participation	Post trade service bureau
Shadow Financial	✓		Confirmed participation	Post trade service bureau
FIS	✓	✓	Confirmed participation	Post trade service bureau

Appendix

Reg SCI DR Test – DTCC Client Success Criteria

Entity	Input Capabilities	Designee Activity	Input Evidence	Output Capabilities	Designee Activity	Output Evidence	Criteria
FICC	FICC will enable the following capabilities for data submission: <ul style="list-style-type: none"> • Web Interface • File Interface (FTP/NDM) • MQ Interface 	Designees to submit trade input using one of the following interfaces: <ul style="list-style-type: none"> • Web Interface • File Interface (FTP/NDM) • MQ Interface 	Designee will submit evidence of the trade input status	FICC will enable the following capabilities for data inquiry: <ul style="list-style-type: none"> • Web Interface • File Interface (FTP/NDM) • MQ Interface 	Each designee can confirm their capability in one of 2 ways: <ul style="list-style-type: none"> • Receipt of automated machine readable output from FICC, or; • Verification of FICC data processing through the FICC Web Interface, File Interface, or MQ interface. 	Each designee will need to submit evidence for at least one of the following: <ul style="list-style-type: none"> • Screen shot of the receipt date/time of the message or file sent by FICC to the designee; or; • Screen shot of result of data processing via Web Interface. 	Firms can submit evidence for successful receipt of 1 input and 1 output transaction
NSCC	NSCC will enable data submission through FIX	NSCC to send inputs using FIX interface simulation Exchanges to send inputs using FIX interface	Each Exchange will need to submit evidence (screenshots) of trade rejections	NSCC will enable the following capabilities for data inquiry: <ul style="list-style-type: none"> • Web Interface (Settlement) • File Interface (FTP/NDM) • MQ Interface • FIX 	Each designee can confirm their capability in one of 2 ways: <ul style="list-style-type: none"> • Receipt of automated machine readable output from NSCC, or; • Verification of NSCC data processing through Web Interface, File Interface, FIX or MQ interface. 	Each designee will need to submit evidence for at least one of the following: <ul style="list-style-type: none"> • Screen shot of the receipt date/time of the message or file sent by NSCC to the designee; or; • Screen shot of pre- and post-data processing for the test transaction via Web Interface 	Firms can submit evidence for successful receipt of 1 output transaction
DTC	DTC will enable the following capabilities for data submission: <ul style="list-style-type: none"> • Web Interface • File Interface (FTP/NDM) • MQ Interface 	Designees to send inputs using one of the following interfaces: <ul style="list-style-type: none"> • Web Interface • File Interface (FTP/NDM) • MQ Interface 	Each designee will need to submit evidence for inputs being sent to DTC	DTC will enable the following capabilities for data inquiry: <ul style="list-style-type: none"> • Web Interface • File Interface (FTP/NDM) • MQ Interface 	Each designee can confirm their capability by validating trade processing through: Web Interface, File Interface, or MQ interface.	Each designee will need to submit evidence for at least one of the following: <ul style="list-style-type: none"> • Screen shot of the receipt date/time of the message or file sent by DTC to the designee; or; • Screen shot of pre- and post-data processing for the test transaction 	Firms can submit evidence for successful receipt of 1 input and 1 output transaction
ITP	ITP will enable the following capabilities for data submission: <ul style="list-style-type: none"> • Web Interface • File Interface (CCF/MTI) • MQ Interface • FIX 	Designees to send inputs using one of the following interfaces: <ul style="list-style-type: none"> • Web Interface • File Interface (CCF/MTI) • MQ Interface • FIX 	Each designee will need to submit evidence for inputs being sent to ITP	ITP will enable the following capabilities for data inquiry: <ul style="list-style-type: none"> • Web Interface • File Interface (CCF, MTI) • MQ Interface • FIX 	Each designee can confirm their capability in one of 2 ways: <ul style="list-style-type: none"> • Receive automated machine readable output from ITP, or; • Validate the trade processing through: Web Interface, File Interface, or MQ interface 	Each designee will need to submit evidence for at least one of the following: <ul style="list-style-type: none"> • Screen shot of the receipt date/time of the message or file sent by ITP to the designee; or; • Screen shot of pre- and post-data processing for the test transaction via Web Interface 	Firms can submit evidence for successful receipt of 1 input and 1 output transaction

Additional Symbols / Cusips Information

Dealerweb

- Dealerweb will be using the following test symbols during the test:

Description	Cusip	Unique Instrument ID
Test E-Mini S&P 500 Dec23 / SPY	FUTRESZ3-TESTETFSPY	FUTRESZ23-TESTETFSPY_NYSE
Test AXRZ3 Dec23 / SPY	FUTRAXRZ3-TESTETFSPY	FUTRAXRZ23-TESTETFSPY_AXR
TESTDIA	TESTDIA	TESTDIA_NAVX
TESTIWM	TESTIWM	TESTIWM_NAVX
TESTQQQ	TESTQQQ	TESTQQQ_NAVX
TESTSPY	TESTSPY	TESTSPY_NAVX

DTCC (NSCC)

- DTCC (NSCC) will be using the following CUSIPS during the test:

459200101

191216100

594918104

17275R102

345370860

369604 301

Standard SRO Test Script Template

Proposed approach to organize the test scripts with the goal of driving greater Reg SCI test standardization

- **Basic** - Reg SCI entities leverage their own test script outline but include standard tagging of key elements within their scripts to standard templates. Participating members to individually extract information for their own work
- **Intermediate** – Reg SCI entities leverage the Standard SRO Test Script Template in a consistent word document format
- **Advanced** – Standardized test scripts across Reg SCI entities aligned with the standard SRO test script

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Regulation SCI Rule requirements

- An SCI entity's BC/DR plan, including its backup systems, each SCI entity shall: (a) establish standards for the designation of those members or participants that the SCI entity reasonably determines are, taken as a whole, the minimum necessary for the maintenance of fair and orderly markets in the event of the activation of such plans; (b) **designate members or participants** pursuant to the standards established and **require participation** by such designated members or participants in **scheduled functional and performance testing** of the operation of such plans, in the **manner and frequency specified by the SCI entity**, provided that such frequency shall not be less than once every 12 months; and (c) **coordinate the testing** of such plans **on an industry- or sector-wide basis** with **other SCI entities** [Regulation SCI Rule 1004 and FAQs]
- Conduct the **initial functional and performance testing of BC/DR plans** with designated members or participants no later than November 2, 2016 [Regulation SCI FAQs]
- SCI entities are **not required to conduct all functional and performance testing** at once and in coordination with other SCI entities all at the same time.... if, to meet the requirements of the rule, a single annual test cannot be properly conducted, **SCI entities have flexibility to design their testing to include**, for example, **weekend testing** and **testing in segments** over the course of a year [SCI Adopting Release and FAQ's]

End of PlayBook