

2017 FIA DISASTER RECOVERY TESTING OVERVIEW

Overview

OneChicago will be participating in the 2017 FIA Disaster Recovery Testing on Saturday, October 14, 2017, between 8:00 a.m. and 2:00 p.m. Central Time.

Prior to the Disaster Recovery Test date the exchange is hosting a mandatory Connectivity Test Session on September 9, 2017, between 8:00 a.m. and 1:00 p.m. Central Time.

While this DR testing initiative is optional, OneChicago highly encourages its users to participate to assure that they are prepared to access OneChicago markets under disaster recovery conditions.

Please take note of the testing details below.

Test Details

| | |
|----------------------------------|--|
| Connectivity Test Session | Saturday, September 9, 2017 |
| | 8:00 a.m. – 1:00 p.m. Central Time |
| FIA DR Test | Saturday, October 14, 2017 |
| | 8:00 a.m. – 2:00 p.m. Central Time |
| | Markets will open at 8:30 a.m. Central Time |
| | Markets will close at 9:30 a.m. Central Time |

Registration

In order to facilitate testing on test day, please register through the FIA test registration portal <https://secure.fia.org/bcp/test-registration.asp>. This will register you for both the Connectivity Test (September 9, 2017) and the Disaster Recovery Test (October 14, 2017).

Connectivity Test Session

Saturday, September 9, 2017

Prior to Disaster Recovery testing, in order for customers to confirm that they are able to access OneChicago's Disaster Recovery site, customers are required to test connectivity to the following IP addresses (end-users should assure that the specific application ports for their Production sessions are tested in conjunction with the Disaster Recovery IP). Please note that customers will need to revert back to their Production settings after the full Disaster Recovery test on Saturday, October 14, 2017.

FIA DR Test

Saturday, October 14, 2017

Objectives

- Testing the ability to conduct critical business functions (order entry through settlement) from alternate/back-up facilities simultaneously
- Testing disaster recovery capabilities between customers and OneChicago
- Testing the connectivity between customers and OneChicago's DR site beyond basic connectivity testing activities
- Testing end-to-end processing between customers and OneChicago; including connectivity, submitting trades, calculating settlement prices and the dissemination of OneChicago Real-time Market Data (OCTP)

Testing Guidelines

- Please use the IPs provided in the table on the previous page of this notice for information regarding targeting Disaster Recovery systems. Applications that connect to OneChicago should be migrated to the IPs above for DR Testing
- All products will be available for order entry and trade reporting
- In order to satisfy the Disaster Recovery testing requirements one of the following must be completed:
 - Submit and/or accept a bilaterally negotiated transaction
 - Enter a bid or offer and execute a transaction on the Central Limit Order Book (CLOB)

Day of Testing Contact Information

BCDR Help Desk

312-883-3411

bcdrtesting@onechicago.com

Schedule

| Time (CT) | Activity | Description |
|------------|--------------------------------|--|
| 5:00 a.m. | Application Gateways Available | OneChicago Disaster Recovery applications are available for connections |
| 6:00 a.m. | Product Catalog | OneChicago Ticker Plant will disseminate a product catalog stream for the products as of Friday's trade date over main channel |
| 6:30 a.m. | Exchange Summary | OneChicago Ticker Plant will disseminate the SOD exchange summary message over the main channel |
| 8:30 a.m. | Exchange Mock Trading Cycle | OneChicago Products Open |
| 9:30 a.m. | Mock Trading Complete | OneChicago Products Close |
| 9:45 a.m. | Exchange Summary | OneChicago Ticker Plant will disseminate the EOD exchange summary message over the main channel |
| 10:00 a.m. | EOD Processing at the OCC | Customers should receive DDS messages and see OneChicago trading activity in OCC's Encore |
| 1:00 p.m. | Application Gateways Shutdown | OneChicago Disaster Recovery applications are no longer available for connections |