

June 2017

**FIA INDUSTRY BUSINESS CONTINUITY TEST**  
**Saturday, October 14, 2017**  
**Test Day Script**

<b>Test Component</b>	Derivatives		
<b>Exchange/Utility</b>	Canadian Derivatives Clearing Corporation (CDCC)		
<b>Test Day Contact</b>	Technical questions: <b>Technical Help Desk:</b> Toll free 1-877-588-8489 / Local 514-871-7872 MX Business questions: <b>Market Operations Department:</b> Toll free 1-866-576-8836 / Local 514-871-7877 CDCC Business questions: <b>CDCC Corporate Operations lines:</b> 514-871-3545 or 416-367-2470		
<b>Test Description</b>	<p>Firms will submit dummy orders for pre-determined products to the Montreal Exchange (MX).</p> <p>MX will validate the receipt of these orders as defined in the transaction acknowledgement protocol field below.</p> <ul style="list-style-type: none"> <li>- MX participants can use the following protocols for order entry: FIX, SAIL</li> <li>- Market data will be disseminated via the HSVF</li> <li>- Also available for testing – ATR, Drop Copy, TMS, Clearing API, FTP server</li> </ul> <p>Trade data will flow through from MX to CDCC's CDCCS (SOLA@-C component) (Connectivity – trade processing for clearing).</p> <p>Within CDCCS' Disaster Recovery (DR) environment, Clearing Members would be able to enter the system following login in, access and visualize trades.</p> <p>Please note that specific CDCC reports will be provided as of Monday, October 16, 2017 following end of day batch.</p> <p>As access to the CDCC File Transfer Protocol (FTP) / Secured FTP (sFTP) Server will be available, CDCC would request that Clearing Members attempt to access the latter in a DR-mode and advise CDCC staff if their file directory was readily accessible (Clearing Members can send an e-mail to <a href="mailto:cdccops@tmx.com">cdccops@tmx.com</a>)</p> <p>CDCC will likewise request those Clearing Members with a FIXML connection feed to please test their connectivity to this in a DR-mode, including the FIXML FTP / SFTP Server, and advise CDCC staff if everything was readily accessible (Clearing Members can send an e-mail to <a href="mailto:cdccops@tmx.com">cdccops@tmx.com</a>)</p> <p><b>NOTE:</b> Pre-test /connectivity test is scheduled for Saturday, September 9<sup>th</sup>, 2017 between 10:00 and 13:00 Eastern Time (ET)</p>		
<b>System Date</b>	Saturday, October 14, 2017		
<b>Trade Date</b>	Saturday, October 14, 2017		
<b>Projected Start/End Times</b>	<b>Pre Open</b>	<b>11:00 ET</b>	MX pre-market in DR mode, orders accepted

June 2017

	<b>Opening</b>	<b>11:15 ET</b>	Market open in DR mode and accepting trades. Trade data will flow from the MX to CDCC's SOLA-C system.
	<b>Closing</b>	<b>13:30 ET</b>	Market close. End of testing.  MX and CDCC will not delete orders and trades from the environment.  We strongly encourage all participants to clean up all backend system after testing.
	<b>Batch Process</b>	<b>14:00 ET</b>	
	<b>FTP access</b>	<b>15:00 ET</b>	MX and CDCC FTP/sFTP servers will remain available.
<b>Systems to Be Used for Testing</b>	<a href="#">CDCC's CDCCS DR environment</a>		
<b>Transaction Count</b>	Minimum of 2 Transactions		

Test Transaction	Transaction Type (Buy/Sell, Receive/Deliver, Wire, etc.)	Security Identifier (Symbol/CUSIP/ISIN)	Quantity	Price		Transaction Status (was the order successfully entered on the correct exchange)		
				Bid	Ask			
1	B/S	BAX November 2017 BAXX17	1	99.00	99.50	Success	Fail	Other
2	B/S	SXF June 2018 SXF18	1	900.00	950.00	Success	Fail	Other
3	B/S	SXO Dec 17 1000.00 Call (SXO 171215C1000.00)	1	3.50	9.50	Success	Fail	Other
4	B/S	SU Feb 18 36.00 Put (SU 180216P36.00)	1	0.50	2.00	Success	Fail	Other
5	B/S	MFC Jan 20 25.00 Call (MFC 200117C25.00)	1	1.00	3.00	Success	Fail	Other
<b>MX to provide automated Market</b>		MX will provide bids and offers for the above instruments. Participants will be able to lift or hit MX market. Firm IDs (mnemonic) representing the MX will be 901 and 902.						

June 2017

<b>Transaction Acknowledgment Protocol</b>	For each order/transaction, members will receive an order/trade confirmation through the initial order entry protocol used.  Note: receiving a rejection message implies a successful connectivity test as well.
<b>Availability of Test Day Direct dial in line</b>	(Business related questions) => CDCC Corporate Operations line <b>514-871-3545 or 416-367-2470</b>
<b>Completion of Test Acknowledgement Protocol</b>	When you have completed your testing, please let us know, either by indicating your completion on the open call or you can send an e-mail to <a href="mailto:cdccops@tmx.com">cdccops@tmx.com</a>
<b>Other Information</b>	<b>See the Utility Participant Support Questionnaire below</b>

**Contact Information for Industry Test Coordinators (list in order primary, secondary, Technical (IT), other)**

	<b>Name</b>	<b>Email address</b>	<b>Phone</b>	<b>Cell Phone</b>	<b>Fax</b>
<b>P</b>	OLIVIER LEON	<a href="mailto:OLIVIER.LEON@TMX.COM">OLIVIER.LEON@TMX.COM</a>	(514) 787-6476	(514) 451-9137	N/A
<b>S</b>	CDCC CORPORATE OPERATIONS	<a href="mailto:CDCCOPS@TMX.COM">CDCCOPS@TMX.COM</a>	(514) 871-3545 (MTL) or (416) 367-2470 (TOR)	N/A	N/A
<b>T</b>	TECHNICAL HELP DESK	<a href="mailto:DR-BCSupport@tmx.com">DR-BCSupport@tmx.com</a>	1-877-588-8489 or (514) 877-7872 (MTL)	N/A	N/A