

July 2018

**FIA INDUSTRY BUSINESS CONTINUITY TEST**  
**Saturday, October 13, 2018**  
**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 CDCS (SOLA®-C component) (Connectivity – trade processing for clearing).</p> <p>Within CDCS’ 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 15, 2018 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 8<sup>th</sup>, 2018 between 11:00 and 13:00 Eastern Time (ET)</p>		
<b>System Date</b>	Saturday, October 13, 2018		
<b>Trade Date</b>	Saturday, October 13, 2018		
<b>Projected Start/End Times</b>	<b>Pre Open</b>	<b>11:00 ET</b>	MX pre-market in DR mode, orders accepted

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	<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>	CDCC's CDCS DR environment		
<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	Success	Fail	Other
1	B/S	BAX November 2018 BAXX18	1	97.50	98.50	Success	Fail	Other
2	B/S	SXF June 2019 SXF19	1	900.00	1050.00	Success	Fail	Other
3	B/S	SXO Mar 19 950.00 Call (SXO 190315P950.00)	1	20.00	35.00	Success	Fail	Other
4	B/S	SU Jan 19 50.00 Put (SU 190118P50.00)	1	0.50	2.00	Success	Fail	Other
5	B/S	MFC Jan 20 25.00 Call (MFC 200117C25.00)	1	.50	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.						

<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.
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<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>	See the Utility Participant Support Questionnaire below

**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>	ANA MAY	<a href="mailto:ANA.MAY@TMX.COM">ANA.MAY@TMX.COM</a>	(416) 365-8418	N/A	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