



NOTICE

JULY 21, 2017

ICE CLEAR CANADA PARTICIPATION IN THE OCTOBER 14, 2017 INDUSTRY-WIDE DISASTER RECOVERY TEST

ICE Futures Canada (IFCA) and ICE Clear Canada (ICCA) will again participate in the FIA sponsored industry-wide Disaster Recovery test on **Saturday, October 14, 2017**. On this day, futures exchanges, clearinghouses, market participants, and service providers will simultaneously test connectivity and functionality between backup sites. For ICE Futures Canada and ICE Clear Canada this will involve the activation of our Atlanta backup facility.

For more information on this test, please visit the website <https://bcp.fia.org/>.

Please note that registration and test participation is mandatory for all ICE Clear Canada Clearing Participants.

Test Registration

Clearing Participants are required to register the name(s) and phone number(s) of staff who will perform the full DR testing, and staff who will perform the connectivity pre-testing, through the FIA registration portal. Upon first visiting the registration page, enter the generic username and password (provided below) into the fields under "NEW Test Registration" to gain access to the registration form. To make subsequent changes, users will enter the username and password created on their initial visit in the "EDIT Test Registration" box.

Generic log-in information:

<https://secure.fia.org/bcp/test-registration.asp>

Username: bcdr

Password: fi42o!7

IMPORTANT: While everyone has the ability to create their own username and password to access, submit and make updates to the registration form, it is important to coordinate registration within your firm to avoid duplicating efforts and duplicating registration forms.

ICE Contact Details

For support during connectivity pre-testing and on the DR Test Day, contact the ICE Help Desk at 770-738-2101. For trading system inquiries, select option 1. For clearing system inquiries, select option 2 then option 1.

General inquiries about the Disaster Recovery test should be directed to the contact persons listed at the end of this notice.

NOTICE

Connectivity Pre-Testing (Ping Test): Saturday, September 9, 2017

- Clearing Participants must conduct connectivity pre-testing on Saturday, September 9, between 09:00-12:00 EDT (08:00-11:00 CDT), to ensure that a successful connection can be made to the Atlanta backup facility.
- Please refer to the attached **Connectivity Pre-Testing Checklist** for additional instructions.
- **Clearing Participants must complete and return the attached Connectivity Pre-Testing Checklist to ICE Clear Canada. Email a scan of the checklist to iccaops@theice.com.**

Disaster Recovery Test Day: Saturday, October 14, 2017

Test Time: 09:00-12:00 EDT (08:00-11:00 CDT)

Connectivity: All trading and clearing applications (ECS, PTMS/ACT, MFT) will be accessed using production URLs and IP addresses.

PTMS <https://ptms.caclearing.theice.com/client/>
ACT <https://act.caclearing.theice.com/AllocateClaim/login.jsp>
ECS <https://ecs.caclearing.theice.com/trade/login>
MFT mft.caclearing.theice.com

Production IP addresses are listed at <https://community.theice.com/docs/DOC-12833>

Test Overview:

Please refer to the attached **DR Test Day Checklist** for a list of applications and tasks.

Clearing Participants must attempt to complete each task. All tasks must be completed to merit a successful test.

1. Trade Entry on ICE Platform: 09:00-12:00 EDT (08:00-11:00 CDT)

Clearing Participants and trading participants may enter trades on the ICE electronic trading platform for **Canola futures** on the test day from 09:00-12:00 EDT (08:00-11:00 CDT). ICE will switch the trading platform to its back-up configuration prior to the test and users will log in using their production user IDs and passwords.

Clearing Participants should ensure that trade(s) result from orders entered, either by executing those orders against other orders resting in the order book or by entering both buy and sell orders which cross.

IMPORTANT: All OTC and NGX markets will be open and live throughout the testing. NO testing is permitted in these markets. Any trades entered in these markets are valid trades and will be honoured as such.

NOTICE

2. Post Trade Management – PTMS, ACT

Test trades executed on the ICE trading platform will be sent to PTMS so that Clearing Participants can complete trade allocation and acceptance activities.

Clearing Participants will need to successfully log into PTMS and ACT from their back-up location and complete the following tasks:

- PTMS: Mark trades for give-up.
- ACT: Allocate give-ups (to any valid participant/member) and accept any outstanding claims.

3. Position & Collateral Management – ECS

Clearing Participants will need to successfully log into ECS from their back-up location. CPs may enter test banking instructions in ECS. The instructions will not be processed.

4. FIXML Trade Messaging

Test trade and give-up activity will be reflected in the FIXML real time trade feeds.

Clearing Participants should verify that messages are received for the trade activity conducted.

5. File Transfers – MFT

Clearing Participants will need to successfully log into the production MFT server and:

- Download a Match-Off file: Production Match-Off files from the Friday, October 13 trading day will be available for download in MFT on Test Day.
- Submit a PCS, GCM, or FIFO file: Clearing Participants will submit a PCS, GCM, or FIFO data file to MFT at any time between 09:00-12:00 EDT (08:00-11:00 CDT) on the DR test day. These should be the production files from the October 13 trading day.

6. Return to Production Systems

12:30-13:30 EDT (11:30-12:30 CDT):

Production Reconnections – ICE Clear Canada will re-establish production connectivity to all clearing applications.

13:30-15:30 EDT (12:30-14:30 CDT):

Verify Clearing Participant Connectivity – At the conclusion of the testing on October 14, ICE will have technical support available to verify that Clearing Participants have re-established production connectivity.

7. Complete and Submit Checklist

Clearing Participants must complete and return the attached DR Test Day Checklist upon completion of testing. Email a scan of the checklist to iccaops@theice.com.



NOTICE

Clearing Participants may request these instructions in a Microsoft Word document by emailing wenzel.lieb@theice.com.

Please ensure this information is forwarded to the appropriate individual(s) within your organization.

FOR MORE INFORMATION:

Wenzel Lieb

wenzel.lieb@theice.com

204-925-5017

Robert Yenerall

770-857-2533

robert.yenerall@theice.com

Helpdesk

770-738-2101. Select option 2 then option 1.

iccaops@theice.com

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ICE Clear Canada

Clearing Participant Connectivity Pre-Testing (Ping Test) Checklist

Saturday, September 9, 2017

Testing hours are from 09:00-12:00 EDT (08:00-11:00 CDT).

For support on the day of the ping test, contact the ICE Helpdesk: 770-738-2101 Option 2 then Option 1.

Overview: The purpose of the ping tests is to allow Clearing Participants to exercise the procedures and system changes necessary to connect to the clearing applications from their backup sites. You will see a login page and/or banner message for each application. You will not need to log in to the applications.

Please complete and sign this form and return a scanned copy by email to ICE Clear Canada, iccaops@theice.com

	Completed	Not Completed	Location (Backup or Primary)
PTMS			
Connect to Login screen https://ptms.caclearing.theice.com/client/ and select the "Launch PTMS" link.	_____	_____	_____
ACT			
Connect to Login screen https://act.caclearing.theice.com/AllocateClaim/login.jsp	_____	_____	_____
ECS			
Connect to Login screen https://ecs.caclearing.theice.com/trade/login	_____	_____	_____
FIXML trade feed/MQ channel			
Ping channel	_____	_____	_____
MFT file transfer			
Connect to mft.caclearing.theice.com using SFTP software.			
Download Match-Off File	_____	_____	_____
Upload PCS, GCM or FIFO file	_____	_____	_____

Date: _____

Clearing Participant Name: _____

CP Representative: _____

Tel. #: _____ Email: _____

Signature: _____

Clearing Participants must attempt to complete each task. For any task not successfully completed, please indicate the reason in the space below.

ICE Clear Canada Clearing Participant DR Test Day Checklist

Saturday, October 14, 2017

Testing hours are from 09:00-12:00 EDT (08:00-11:00 CDT).

For support on the day of the ping test, contact the ICE Helpdesk at 770-738-2101 (Option 1 for trading systems; option 2 then option 1 for clearing systems).

Please complete and sign this form and return a scanned copy by email to ICE Clear Canada, iccaops@theice.com

	Completed	Not Completed	Location (Backup or Primary)
ICE Platform			
Enter Trades in Canola futures _____	_____	_____	_____
PTMS			
Mark Trades for Give-Up _____ https://ptms.caclearing.theice.com/client/	_____	_____	_____
ACT			
Allocate Give-Ups _____ https://act.caclearing.theice.com/AllocateClaim/login.jsp	_____	_____	_____
ECS			
Login successful _____ https://ecs.caclearing.theice.com/trade/login	_____	_____	_____
FIXML trade feed/MQ channel			
Receive Trade Messages _____	_____	_____	_____
MFT file transfer			
Connect to mft.caclearing.theice.com using SFTP software.			
Download Match-Off File _____	_____	_____	_____
Upload PCS, GCM or FIFO file _____	_____	_____	_____

Date: _____

Clearing Participant Name: _____

CP Representative: _____

Tel. #: _____ Email: _____

Signature: _____

Clearing Participants must complete each task. All tasks must be completed to merit a successful test. For any task not successfully completed, please indicate the reason in the space below.