



Technical Notice

13-006

TO: Montréal Exchange Participants
FROM: Participant Connectivity Coordinator
SUBJECT: **MX Participation in the SIFMA, FIA and IIROC Business Continuity (BC) 2013 Tests details**
DATE: July 25, 2013

The Montréal Exchange (MX) will be participating in the aligned Futures Industry Association's (FIA), Securities Industry and Financial Markets Association (SIFMA) and the Investment Industry Regulatory Organization of Canada (IIROC) BC test on **Saturday, October 5, 2013**, including the pre-connectivity test held on **Saturday, September 7, 2013**.

During the FIA, SIFMA and IIROC tests, MX Participants will be able to connect to the MX Production network (IP & ports) from their Disaster Recovery (DR) environment. MX will redirect participants to the MX DR environment in a seamless fashion. As part of the simulation, MX will shutdown the primary Markham location (Production site known as MCC) and switch over to the back-up location in Toronto (DR site known as TCF). Participants must be in a position to maintain their connectivity to the MX from TCF or to any of our Points Of Presence (POPs) as the MX will ensure connectivity. MX POPs are located in Chicago, London, and New York.

TMX Group's (TMX) recovery team will be utilizing TMX's alternate backup facility to recover critical business processes. MX Participants will be able to verify connectivity and send/receive messages. Participants will not be required to make network, DNS, or IP changes in order to connect to the MX DR site during the FIA, SIFMA and IIROC BC and pre-connectivity tests.

Tests Registration

MX Participants are expected to officially register on the FIA website
<http://www.futuresindustry.org/disaster/dr-test-registration.asp>

and/or via the SIFMA website
<http://www.sifma.org/services/bcp/industry-testing/>

and/or consult the following IIROC notice of information regarding the Industry test
http://www.iiroc.ca/Documents/2012/605ebc86-e09f-43d5-8885-8a97a6b03445_en.pdf

Pre-Connectivity information

SIFMA-FIA	Pre-Connectivity Test
Date	September 7, 2013
MX Participants Start Time	10:00 AM
MX Participants End Time	1:00 PM

MX Participants will be required to connect to the MX Production environment via the MX Production network using Production credentials regardless of their environment. The purpose of this test is to establish connectivity. As stated in TMX Information Technology (IT) policy, 'ping' testing is not permitted, therefore all MX Participants will need to connect to MX systems in order to test connectivity.

MX Participants can test connectivity with the following services:

SAIL	FIX	STAMP	ATR
Drop Copy	TMS	Clearing API	HSVF
FTP server (EOD reports)	LOPR		

As long as testing is conducted between 10:00am and 1:00pm, no scheduling timeframe is required. The Technical Help Desk (THD) and TMX IT Group support staff will be available to assist. Participants are required to advise THD by phone or email once they have successfully connected.

Test day information

	Date/Time	Assignment/ Comments
Exercise Date	October 5, 2013	
Pre-Opening	9:00 am EDT	MX will accept orders but no trades will result from these orders. Orders must be entered as of the October 5, 2013 Trade Date (day orders only).
Opening	9:30 am EDT	Orders can trade. The trade data will flow through the MX too CDCC's SOLA ® Clearing system
Closing	1:00 pm EDT	Market will close

Test symbols

Test Transaction	Transaction Type (Buy/Sell, Receive/Deliver, Wire, etc.)	Security Identifier (Symbol/CUSIP/ISIN)	Quantity	Bid / Ask price from MX
1	B/S	BAX March 14 (BAXH14)	1	98.80 - 99.95
2	B/S	BB Jan 14 21 Call (BB 140118C21.00)	1	4.15 – 4.95
3	B/S	SXO DC 14 760.000 Put (SXO 141219P760.00)	1	42.00 – 55.00
MX to provide an Automated Market		MX will provide automated market volumes for bids/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.		

MX Participants can test with the following services:

SAIL	FIX	STAMP	ATR
Drop Copy	TMS	Clearing API	HSVF
FTP server (EOD reports)	LOPR		

Participants can conduct their tests between 9:00am and 1:00pm as no scheduling timeframe is required. If required, the Technical Help Desk (THD) and TMX Group IT support staff will be available to assist.

Once successfully completed, please send an email to DR-BCSupport@m-x.ca with the following:

Participation to: FIA and/or SIFMA and/or IIROC
Firm name and ID: ABC / BDM004
Application tested: ATR, TMS, HSVF etc.
Successful trade on: BAX, BB or SXO
Comments: Describe any issues you may have encountered during the test, including how they were resolved or if further investigation is required.

This will help MX to compile test results and reporting to the three industry associations.

Contact Information during the Pre-test and Test days

Technical Help Desk	Market Operations Department Test day only
Toll free 1-877-588-8489	Toll free 1-866-576-8836
Local 514-871-7872	Local 514-871-7877
DR-BCSupport@m-x.ca	

For additional information on this notice, please contact Edwige Poupart, Head of Client Services, MX Financial Markets at 514-871-3590 or at epoupart@m-x.ca.

We thank you for your cooperation.

Participant Connectivity Coordinator