



IEX

2017 Regulation SCI BCP/DR Testing

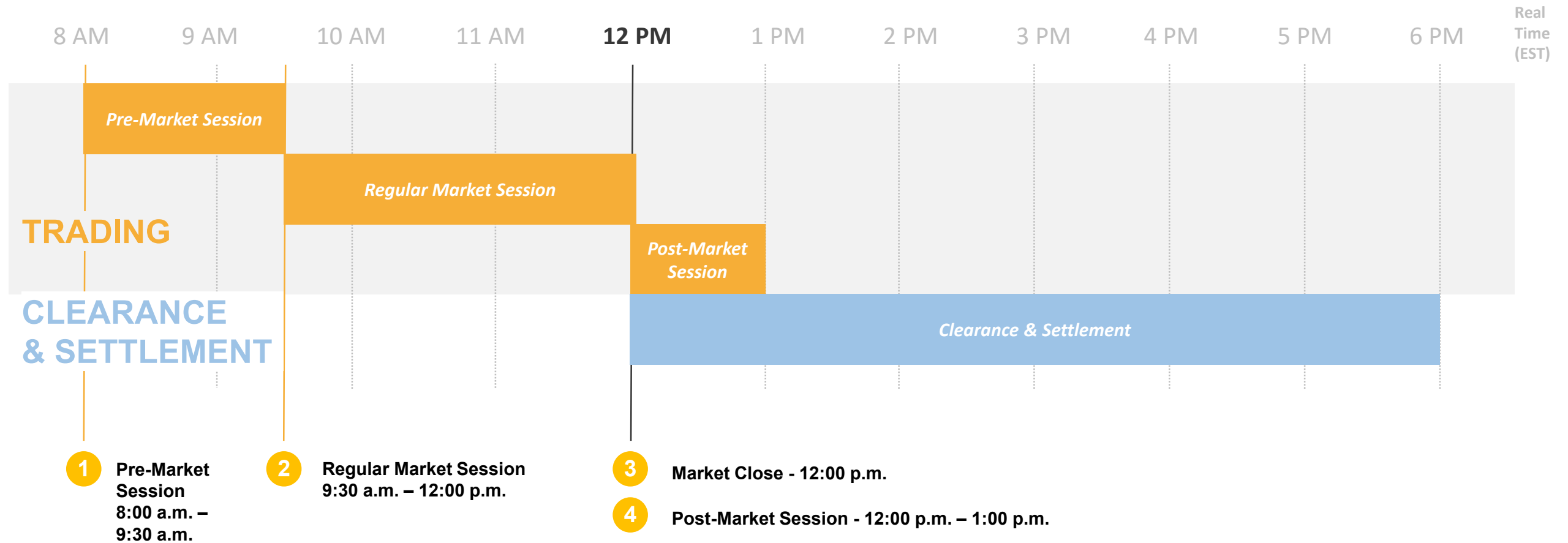
October 14, 2017



OVERVIEW

- Regulation SCI (“Reg SCI”) requires that each SCI entity designate members/participants (participating members) to take part in the annually scheduled Business Continuity and Disaster Recovery Plan test.
- The objective of the 2017 test is that SCI entities conduct an initial functional and performance testing of BC/DR plans with participating members to exercise and verify the ability to operate through a business continuity and/or disaster recovery event using backup sites, recovery facilities and backup communication capabilities.
- IEX will conduct testing of its Business Continuity and Disaster Recovery Plans during the planned SIFMA-coordinated industry-wide test on **Saturday, October 14, 2017**.
- Pursuant to [IEX Rule 2.250](#), Members that met the standards described in [Regulatory Information Circular 2017-0002](#) during the first quarter of 2017 have been designated as mandatory participants in this test.
- Specifically, IEX designates Investors Exchange **Members that accounted for three (3) percent or more of executed volume on IEX, during the first quarter of 2017**, as required to connect to IEX’s backup system in Chicago and participate in functional and performance testing of such system on October 14, 2017.
- All such designated firms have been notified of their requirement to participate.
- IEX encourages all members of the Exchange to participate in testing and welcomes any firms to contact IEX Market Operations to establish connectivity to the Disaster Recovery ("DR") environment for this BCP/DR test.

EXPECTED TIMELINE





TEST OUTLINE – IEX

- IEX will open for pre-market trading at 08:00AM on **Saturday, October 14, 2017** from the DR facility located at the Equinix (CH4) data center, 350 E. Cermak Road, Chicago, IL;
 - **Pre-Market Session:** 8:00 a.m. – 9:30 a.m. ET
 - **Regular Market Session:** 9:30 a.m. – 12:00 p.m. ET
 - **Post-Market Session:** 12:00 p.m. – 1:00 p.m. ET
- All symbols will be enabled for order entry and quoting
- IEX will;
 - Connect to destination DR facilities for exchange routing, clearing and market data publication to SIPs
 - Receive and verify messages
 - Conduct trade matching
 - Conduct order routing
 - Transmit matched trades to DTCC



TEST OUTLINE – PARTICIPATING MEMBERS

- Participating Members can conduct the test from their primary or DR environments
 - Connectivity testing from backup sites is encouraged
- When FIX connectivity is established, heartbeat receipt will be proof of connectivity
- Member gateways will be open for order, cancel, report and drop copy service over DR connections
 - Where Members connect to IEX via multiple MPIDs, Members will be expected to connect via all such MPIDs
- All symbols will be enabled for all functionality on the exchange:
 - IEX requests that firms minimally test with “suggested symbols” listed on slide 6
- The IEX Market Operations Desk will be manned during the test timeframe;
 - marketops@iextrading.com
 - [646.343.2300](tel:646.343.2300)
 - Upon completion of your testing, please email marketops@iextrading.com to confirm completion



PARTICIPANT TEST SCRIPT - IEX 2017 BC/DR TEST - 10/14/17

Company Name _____	MPID(s) Tested _____
Sender Comp ID _____	Port _____

Member Connectivity	Pass/Fail
FIX Order Entry and Execution	
Drop Copy	
Market Data: UTP	
Market Data: CTA	

Test Transaction #		Side	Order Type	TIF	Symbol	Expected Result	Successful (Y/N)	Notes
1	1.1	B	Limit	Day	Insert Suggested Symbol	Ack		
	1.2	S	Market	IOC	Insert Suggested Symbol	Fill/Cancel		
2	2.1	B	Routable	Day	Insert Suggested Symbol	Ack		Not required for firms not permissioned for routing
	2.2	S	Routable	IOC	Insert Suggested Symbol	Fill/Cancel		Not required for firms not permissioned for routing

#	Suggested* List of Symbols	Exchange	Production/Test
1	CSCO	NASDAQ	Prod
2	F	NYSE	Prod
3	MSFT	NASDAQ	Prod
4	GE	NYSE	Prod
5	BAC	NYSE	Prod
6	ZBZX	BATS	Test
7	ZTEST	BATS	Test
8	ZVZZT	BATS	Test
9	ZWZZT	BATS	Test
10	ZJZZT	NASDAQ	Test
11	ZVZZC	NASDAQ	Test
12	ZXYZ.A	NASDAQ	Test
13	ZXZZT	NASDAQ	Test
14	NTEST Z (NTEST.Z Comstock)	NYSE	Test
15	ATEST Z (ATEST.Z Comstock)	AMEX	Test
16	PTEST Z (PTEST.Z Comstock)	ARCA	Test
17	ZIEXT	IEX	Test
18	ZEXIT	IEX	Test
19	ZXIET	IEX	Test

*Testing is NOT limited to the production symbols listed. All symbols will be enabled for order entry and quoting



CONTACTS

IEX Market Operations:

marketops@iextrading.com

[646.343.2300](tel:646.343.2300)

IEX Technology Operations:

sre@iextrading.com

[646.343.2200](tel:646.343.2200)