



Date: September 9, 2016
Audience: NYSE & NYSE MKT Traders
Subject: NYSE and NYSE MKT Equity Emergency Procedures and New DR Plans

Background:

NYSE Group maintains a primary datacenter in Mahwah, NJ and a disaster recovery (“DR”) datacenter in Chicago, IL (“Cermak”). The Mahwah datacenter houses the production environments for NYSE, NYSE MKT and NYSE Arca. A redundant instance of NYSE Arca is installed in the Cermak DR datacenter.

Current DR Solution “Print as P”:

NYSE and NYSE MKT Rule 49 allows the Exchange to designate NYSE Arca to disseminate on its behalf, the official opening, re-opening, and closing trades and notifications of regulatory halts, trading pauses, resumptions and short sale price tests in NYSE-listed and NYSE MKT-listed securities. Such information would be disseminated with the N (NYSE) or A (NYSE MKT) modifiers by the SIP. Intraday trading of NYSE-listed and NYSE MKT-listed securities on NYSE Arca would follow NYSE Arca trading rules and would be disseminated as quotes and trades of NYSE Arca, i.e., Print as P.

If NYSE and NYSE MKT invokes its DR plan under Rule 49, members will be instructed to direct their NYSE and NYSE MKT orders to NYSE Arca, either at the primary or DR datacenter.

Reg SCI Test Dates:

- September 17 – Optional Preparatory [Regulation SCI BCP/DR Testing](#) using current Print as P plan via NYSE Arca gateways.
- October 15 – Mandatory [Regulation SCI BCP/DR Testing](#) using current Print as P plan via NYSE Arca gateways.

New Planned DR Solution:

Subject to SEC rule approval, the Exchange will be implementing a new [planned DR solution](#) in the Cermak datacenter. Under this DR plan, a redundant instance of NYSE and NYSE MKT will be installed in Cermak, eliminating any dependency on NYSE Arca in the case of a DR event. All trading on the Exchange would follow NYSE and NYSE MKT trading rules, and all quotes and trades, including the opening, re-opening, and closing trades and regulatory messages, would be disseminated with the N (for NYSE) or A (for NYSE MKT) modifiers by the SIP.



If the DR plan is invoked, Floor-based trading will not be available and order entry methods and order types unique to Floor brokers and Designated Market Makers will not be available. If the Exchange is operating from the Cermak datacenter, opening, re-opening, and closing auctions will follow the previously communicated [BCP trading logic](#).

NYSE and NYSE MKT members seeking to participate in the DR facility, including Floor brokers and DMMs, will need to connect to the Exchange's new DR instance in Cermak using NYSE [FIX](#) or [UTPDirect](#) protocols.

Planned DR Test Dates:

Beginning mid-September, a series of testing opportunities will be made available for firms to test connectivity, send order flow and receive market data at the Cermak data center under the Exchange's revised DR plan. In conjunction with industry-wide testing, there will also be opportunities to test the current DR plan.

Additional details regarding these tests will be communicated in a subsequent trader update. The Exchange anticipates conducting the following tests:

- Week of September 19 – connectivity testing to new NYSE DR FIX, UTP Direct and Drop Copy Gateways
- November 5 and 19 – Subject to rule approval, mandatory full production testing opportunities for planned DR Solution via NYSE gateways

Technical Details for Planned DR Solution:

1. Order Entry and Drop Copy Gateways
 - NYSE CCG FIX and NYSE UTPDirect order entry and drop copy gateway sessions will be utilized
 - Exchange DR sessions will use existing production SenderCompIDs with new destination IPs
 - New IPs will be provided in early September in a separate communication
 - Cermak DR Sessions will be provided free of charge
2. Proprietary Market Data and NYXData Products
 - XDP Integrated and XDP Imbalances real-time feeds will be available on the production multicast channels, published from new source IPs
 - Other real-time data products, including OpenBook Ultra, will not be available
 - New destination IPs will be provided for request servers, using same production multicast channels and ClientIDs on Request Server login



XDP IPs	
Multicast A	162.68.196.0/25
Multicast B	162.68.196.128/25
Request Primary	162.68.193.3:1069
Request Backup	162.68.193.4:1069

- Request servers will be available for connectivity in late September
- Data will be broadcast on multicast channels from the new source IPs during the weekend testing opportunities in late October
- There will be no changes to historical data and other NYXData products, but under certain DR scenarios their production may be delayed or unavailable

3. Post Trade and Clearing

- Outputs via Managed File Transfer (MFT) will be available via existing URLs and FTP logins
- Blue Sheet submissions will be supported via NDM via a new destination IP provided in a separate communication
- Merged Order Log output will not be available
- The On-line Comparison System (OCS) and its associated outputs will not be available

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