



Date: September 4, 2019

Audience: NYSE, NYSE American Equities, NYSE American Options, NYSE Arca Equities, NYSE Arca Options, NYSE Chicago, NYSE National, FINRA/NYSE TRF, and Global OTC Traders

Subject: 2019 Regulation SCI BCP/DR Testing - Script and Pre-Test Reminder

On October 26, 2019, the above-listed NYSE Group SCI Entities (collectively, “NYSE”) will conduct business continuity and disaster recovery testing during the SIFMA-coordinated industry test. Market participants that meet NYSE’s criteria for designation as a required participant have been previously notified by NYSE.

In preparation for the October 26, 2019 SIFMA test, NYSE will make the Cermak Disaster Recovery (“DR”) environments available for connectivity testing on September 28, 2019 and October 5, 2019 from 8:30am to 12:00pm EDT. **Note:** NYSE Chicago maintains two “hot-hot” datacenters that are always available to NYSE Chicago members for production trading. For that reason, NYSE Chicago will not participate in the Sept 28th or Oct 5th pre-tests.

October 26 Testing Requirements/Script

Required firms are asked to participate and confirm participation (whether or not successful) by:

- Connecting to NYSE’s Cermak DR site from the firm’s Production or DR sites;
- Sending an order or quote (NYSE will route to participating exchanges during the test);
- Testing ability to receive market data; and
- Completing an NYSE RegSCI DR Test – Firm Participation Form (“Checklist”)
 - The Checklist will be provided to required participants in advance of the test and must be returned to email address at the top of the Checklist (regscitesting@nyse.com) following the conclusion of the test.
 - Upon receipt of the Checklist, NYSE will provide firms with “a confirmation of test completion” email to a contact provided by the firm on the Checklist.

October 26 Test Schedule

The planned schedule for the October 26, 2019 test will be:

8:30 AM ET	Cermak DR site available
9:00 AM ET	Pre-open session begins
9:30 AM ET	Market open
12:00 PM ET	Market close

NYSE Trading Operations support will be available during the test to resolve any issues.

Test Symbols

All symbols will be available for testing, including the following test symbols for the equities markets:

- NTEST - NYSE Listed
- ATEST - NYSE American Listed
- PTEST - NYSE Arca Listed

Global OTC test symbols are: TESTF, TESTJ & TESTX

As part of an industry-coordinated effort by SIFMA to promote concentrated activity in certain symbols for this year's test, firms are encouraged to include the following symbols as part of their test (where applicable): CSCO, F, MSFT, GE, and BAC. (OTC symbols: BFFI, QRRY, CWBK and FBPI.)

Connectivity to Cermak Data Center

Firms may connect to Cermak using an ICE Global Network (IGN, formerly known as SFTI) Point of Presence and are encouraged to use a Point of Presence other than Mahwah. Firms should reach out to their IGN representative to confirm access to an appropriate Point of Presence.

Firms should have unique sessions in Cermak for each NYSE exchange for which they are required to test. Inquiries regarding existing and new sessions should be directed to API Technical Support at connectivity@nyse.com.

Market Data

Firms are required to attest to receipt of market data, and may opt to listen to either proprietary or consolidated market data.

For detailed information and FAQs regarding DR testing, please see the [Disaster Recovery FAQs](#).

For additional information regarding this year's test, please contact NYSE Trading Operations or NYSE Relationship Management. Questions regarding connectivity to NYSE Chicago should be directed to Kevin Tyson (ktyson@chx.com; 312-663-2934) or Becky Watts (bwatts@chx.com; 312-663-2608). On October 26th, NYSE Chicago firms may call 312-663-2606 or 2111.

Contact Info:

NYSE Trading Operations	Relationship Management	Technology Member Services	Client Relationship Services
Trading@nyse.com	RMTeam@nyse.com	TMS@nyse.com	CRS@nyse.com
212-896-2830 x1	855-898-9012	212-896-2830 x2	212-896-2830 x4