



**Date:** September 11, 2020

**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:** NYSE Exchanges to Conduct Test of Alternate Datacenter Operations, including Industry-Wide 2020 Regulation SCI BCP/DR Test

NYSE, NYSE American, NYSE American Options, NYSE Arca, NYSE Arca Options, NYSE Bonds, NYSE Chicago, NYSE National, FINRA/NYSE TRF and Global OTC (collectively, "NYSE") in coordination with other major markets, will conduct a test operating from their secondary datacenter locations on Saturday, September 26, 2020. This test will exercise the industry's preparedness to operate outside of New Jersey for either disaster recovery purposes or in response to member demand should adverse tax policies be enacted by the state.

This test will also serve as the first of two connectivity tests for the upcoming October 24 Regulation SCI BCP/DR test in which 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 ("Required Participants") were notified by NYSE in April 2020. A second connectivity opportunity will be available on October 3, 2020. The test hours for all three weekends are 8:30am to 12:00pm ET and will follow the same schedule (below).

### Reg SCI BCP/DR Testing Requirements/Script (October 24)

Participating firms (including all Required Participants) must confirm participation (whether or not successful) by:

- Connecting to NYSE's Cermak DR site from the firm's Production or DR site;
- 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 [regscitesting@nyse.com](mailto: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.

### Test Schedule

The planned schedule for the October 24 test and both connectivity pre-tests 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) 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](mailto: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.

---

## Contact Info:

NYSE Trading Operations	Relationship Management	Technology Member Services	Client Relationship Services
<a href="mailto:Trading@nyse.com">Trading@nyse.com</a>	<a href="mailto:RMTeam@nyse.com">RMTeam@nyse.com</a>	<a href="mailto:TMS@nyse.com">TMS@nyse.com</a>	<a href="mailto:CRS@nyse.com">CRS@nyse.com</a>
212-896-2830 x1	855-898-9012	212-896-2830 x2	212-896-2830 x4