



**BOX**  
BOSTON OPTIONS EXCHANGE

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## Technical Notice

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09-016

**TO:** BOX Participants

**FROM:** Participant Connectivity Coordinator

**SUBJECT:** October 24, 2009 Securities Industry and Financial Markets Association (SIFMA) Business Continuity Test ("SIFMA Test").

**DATE:** October 20, 2009

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**This notice is intended for BOX Options Participants taking part in the October 24, 2009 SIFMA Test.**

The October 24, 2009 SIFMA Test allows Options Participants to connect to the BOX production network (IP & ports) from the Options Participant's Disaster Recovery environment. BOX will redirect the Options Participant to the BOX Disaster Recovery environment.

### 1. Expectations for the SIFMA Test

Options Participants will submit orders and quotes to BOX for pre-determined instruments. BOX will validate the receipt of these orders and quotes by sending an acknowledgment for each order/quote and trade/reject.

Options Participants should test using the same IP/port as in their production environment. BOX will simulate an incident with the New Jersey POP. Options Participants will need to connect to BOX through either the Chicago or New York POP.

Options Participants should test their connectivity to BOX **but not before 10:00 a.m. ET.**

**Note:** Options Participant receipt of an order acknowledgement, trade notification and/or a reject message from BOX implies a successful test.

### 2. Test Registration and Preparation

BOX has obtained the list of registered Options Participants from SIFMA.

### 3. SIFMA Testing Activities

BOX will operate on a coordinated basis with SIFMA, the Options Clearing Corporation ("OCC") and other exchanges. BOX encourages Options Participants to operate as if it were a normal business day during the testing.

- **Preopening**
  - BOX will not support a Preopening Phase.
  - **Do NOT connect to BOX prior to 10:00 ET.**

- **Continuous Trading (10:00 a.m. ET – 3:00 p.m. ET)**
  - BOX will open groups at 10:00 a.m. ET.
  - Options Participants should submit a minimum of two orders/quotes.
  - The test instruments used will be Motorola (MOT) and Boeing (BA) puts/calls.
  - BOX will process trades and send execution/fill reports back to Options Participants.
  - BOX will interact with the OCC via the Encore MQ channel.
- **Post Trading**
  - BOX will submit end of day trade files to the OCC via Intracs.

#### 4. Environment Settings and Configurations

It will be necessary for Options Participants to connect to the BOX production environment via the BOX production network and using production credentials, regardless of the BOX Participant’s environment.

Options Participants will need to connect to BOX via the Chicago or New York POP.

#### 5. Test Day Support Resources

Please contact BOX Level 2 Support at (514) 871-4949, selecting option 2, extension 369, or by e-mail at [BOXTESTING@bostonoptions.com](mailto:BOXTESTING@bostonoptions.com), if issues arise during testing.

BOX will also participate on the SIFMA Command Center Conference Bridge.

#### 6. Data

Options Participants must use a trade date of Saturday, October 24, 2009.

Instrument	Transaction Type (Buy/Sell)	Security Identifier (Symbol/ISIN)	Quantity	Price
1	Buy/Sell	MOT AB Jan 10 Call 10	10	0.70
2	Buy/Sell	BA MU Jan 10 Put 20	5	2.50

#### 7. Post Testing

Please email BOX indicating your completion to [BOXTESTING@bostonoptions.com](mailto:BOXTESTING@bostonoptions.com).

The BOX environment will be available for “normal” production operations on Sunday, October 25, 2009 at 10:00 a.m. ET.

#### 8. Success Criteria

A two-way communication between an Options Participant and BOX constitutes a successful test connection. This includes submission of all designated test transactions and receipt of order acknowledgements, trade notification and/or reject messages from BOX.

Options Participants should maintain documentation of all successful test interactions.

**BOX will not maintain test results for Options Participants, nor will BOX certify the results of the SIFMA test.**

**Contact**

Please contact the Market Operation Center at (866) 768-8845 or by email at [BOXMOC@bostonoptions.com](mailto:BOXMOC@bostonoptions.com) if you require assistance or any additional information regarding this Technical Notice.

Thank you,  
BOX Participant Connectivity Coordinator