

## Regulatory Circular RG14-008

**Date:** January 16, 2014

**To:** Trading Permit Holders

**From:** Business Development and Systems Divisions

**RE:** Back-Up Data Center Testing on January 25, 2014

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### Updates Regulatory Circular RG14-001

This circular updates and provides clarification on certain information contained in RG14-001 regarding mandatory back-up data center testing to be held on Saturday, January 25, 2014.

#### Details are as follows:

- Per CBOE Rule 6.23A(f), participation in this test is required by all CBOE Trading Permit Holders (TPHs) required to connect to CBOE's back-up data center.
- TPH firms will initially connect to the CBOE primary data center, at NY4.
- At a non-preannounced time, CBOE will switch trading functions to its back-up datacenter, at 400 S. LaSalle. At that time, CBOE will announce, through standard communication channels such as SendWordNow and the CBOE System Status Page, to participating TPH firms that CBOE's primary datacenter is unavailable and that TPH firms should switch connections to the CBOE back-up datacenter.
- Assuming the TPH firm was initially successful in logging in to the CBOE primary datacenter, a switch by the TPH firm to connect to the CBOE back-up datacenter will constitute "successful" participation in the test.
- A login by a TPH firm to the CBOE primary datacenter and an attempt to login to the CBOE back-up datacenter will constitute participation in the test.
- Following the test, participating TPHs will be required to provide information to the CBOE identifying the elapsed time between CBOE's announcement of the failure of its primary datacenter and the TPH's connectivity to CBOE's back-up datacenter.
- TPH firms are very strongly encouraged, but not required, to test the following both before and after the CBOE switch from the primary to the back-up datacenter.
  - Entry of quotes (Market-Makers only), orders and cancel requests
  - Receipt of cancel report messages
  - Receipt of fill report messages
  - Receipt of Market-Maker Trade Notifications (MMTNs)
  - Connectivity and logins to other back-up systems, including:
    - Class Appointments
    - CTMI (Continuous Trade Match web-based interface)
    - CTM RTC (Real-Time Connection for trade match drop copies)
    - Flex
    - Market Replay
    - Risk Controls

After the test, firms are encouraged to supply documentation of this additional testing to the CBOE.



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The January 25th DR test script is available on the API systems website at <https://systems.cboe.com/>. Please refer to [Regulatory Circular RG14-001](#) for further details on the mandatory back-up data center test. Except as modified by this circular, the information in Regulatory Circular RG14-001 remains in effect.

**Additional Information:**

Please contact the API Group at [api@cboe.com](mailto:api@cboe.com) or (312) 786-7300 or the CBOE Help Desk at [helpdesk@cboe.com](mailto:helpdesk@cboe.com) or (866) 728-2263 for additional information.