



Update: Bats 2016 Disaster Recovery Data Center Test Plan

Overview

In coordination with other market centers and in support of Regulation SCI requirements, Bats BYX Exchange, BZX Exchange, EDGA Exchange, EDGX Exchange, BZX Options Exchange and EDGX Options Exchange will be participating in the annual SIFMA BCP test on Saturday, October 15, 2016.

Member Participation Requirements

As required by Regulation SCI, certain Members of each Bats trading platform will have mandatory participation requirements in an annual DR test. Bats will be leveraging the annual industry-wide SIFMA BCP test to fulfill this requirement.

Within fifteen (15) calendar days following the end of each quarter, Bats will provide notice to qualifying Members that will have a mandatory DR testing participation requirement. Members that qualify for mandatory participation prior to Q4 of 2016 will be expected to participate in the SIFMA BCP test. Required participants will be expected to submit a meaningful amount of orders to the DR site during the test and the expected level of order activity will be coordinated between the Exchange and the Member.

Non-qualifying Members are also encouraged to participate, but will have no registration or volume requirements.

Test Schedule

Secondary site ports in Chicago are available for telnet testing at any time.

The expected weekend test schedule (*subject to adjustment with notice*) will be as follows:

- 8:30 AM ET – Connectivity to the Chicago DR site will begin to be made available
- 9:00 AM ET – Pre-open trading session begins
- 9:30 AM ET – Regular market trading session open
- 10:15 AM ET – IPO using test symbol ZBZX
- 12:00 PM ET – Regular market trading session close
- 1:00 PM ET – After-market trading session close

Weekend Test Script

All symbols will be made available for order entry and Bats systems will start up within Chicago.

Members with connectivity to the secondary site will be allowed to connect, submit orders, and receive market data for the duration of the test. Per normal weekend test standards, the trade date for all transactions on all exchange messaging (e.g. order acknowledgements, execution reports, drop and market data) during this test will be the actual date (10/15/2016). The following functionality will be tested and verified during the DR test:

- Pre-open trading session
- Member connectivity
- Regular market trading session open
- IPO functionality (using test symbol ZBZX)
- Trade activity
- Market data dissemination
- Order routing
- Clearing
 - The Options Clearing Corporation (OCC) currently plans to accept clearing records from the Exchanges with the Saturday trade date. Bats will submit real-time clearing records for transactions in series accepted for processing by the OCC. Once the OCC receives the trade records, they will trigger a trade date change to 10/13/2016 for processing. At the conclusion of test the OCC will purge all transactions dated 10/13/2016 and 10/15/2016.
 - While Bats will be testing DR to DR connectivity between its Exchanges and National Securities Clearing Corporation (NSCC), transaction based testing will be reserved for the 2017 test.
- Regular market trading session close
- After-market trading session

For each Member port in the primary data center there is an analogous port in the secondary data center that is ready for connection. Secondary data center port information can be found within the [Bats Member Web Portal](#).

Technical Support

The Bats Trade Desk (913.815.7001) and NOC (913.815.7005) will be available for support for the duration of all weekend test opportunities as well as during normal business hours.

More Information

Please contact the Bats Trade Desk or your [Director of Sales](#) with any questions. We appreciate your continued support of Bats and look forward to earning more of your business.

Bats Trade Desk

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