

IIROC NOTICE

Administrative Notice General

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Contact:
Maysar Al-Samadi
Vice President, Professional Standards
416 943-6902
malsamadi@iiroc.ca

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Industry testing of business continuity plans

Following successful industry-wide tests of their respective business continuity plans (BCPs) in September of 2007 and 2011, IIROC's Dealer Members have agreed to conduct similar BCP tests on a bi-annual basis going forward.

Toward this end, IIROC has scheduled the next industry test for **October 5, 2013** where we will be testing the scenario of inaccessibility of Members' data centers where business transactions are processed.

We are working to ensure the participation of all of the major service providers, including Alpha, Belzberg, Bourse de Montreal, Broadridge BPS, Broadridge Dataphile, CDCC, CDS, CanDeal, Cannex, Chi-x Canada ATS Ltd., CNSX Markets Inc., Fidessa, FundSERV, IBM Canada, IRESS, ITS, Omega ATS, TriAct, TSX and TSX-V.

IIROC will share the results of the test with all participating Dealer Members and service providers. Dealer Members should note that while the test will be conducted on a voluntary basis, IIROC strongly urges all Dealer Members to participate in this test, as it represents a



valuable opportunity for Dealer Members to supplement their respective mandatory annual BCP tests required under IIROC regulation.

IIROC thanks its Dealer Members and the service providers in advance for their valued cooperation with respect to this important undertaking which represents a unique opportunity for the Canadian Dealer community to demonstrate its ability to recover from a significant disruptive event.

A Working Group is being formed to oversee the preparation for the test.

Questions or comments may be directed to Maysar Al-Samadi.