

Technical Specifications Form

SIFMA/RegSCI Industry Testing (DR) Information

**RECIPIENT FIRM NAME:**

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# DR Recipient Contact Information – Business Resources/Coordinator

|  |  |
| --- | --- |
| **Firm Name** |  |
| Address |  |
| City |  | State/Zip |  |
| **DR Primary Business Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **DR Alt. Business Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **DR Prod Support #** |  | Hours | - |
| Email |  | Fax # |  |
| **DR Data Ctr. #** |  | Hours | - |
| **DR NOC/Data Ctr. #** |  | Hours | - |

# DR Recipient Contact Information – Real-Time / MQ Series

|  |  |
| --- | --- |
| **Firm Name** |  |
| Address |  |
| City |  | State/Zip |  |
| **Primary Network Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Alt. Network Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Prod Support #** |  | Hours | - |
| Email |  | Fax # |  |
| **Data Ctr. #** |  | Hours | - |
| **NOC/Data Ctr. #** |  | Hours | - |

# DR Recipient Contact Information – NDM / Batch Push

|  |  |
| --- | --- |
| **Firm Name** |  |
| Address |  |
| City |  | State/Zip |  |
| **Primary Network Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Alt. Network Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Prod Support #** |  | Hours | - |
| Email |  | Fax # |  |
| **Data Ctr. #** |  | Hours | - |
| **NOC/Data Ctr. #** |  | Hours | - |

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# DR Recipient Contact Information – SFTP / Batch Upload

|  |  |
| --- | --- |
| **Firm Name** |  |
| Address |  |
| City |  | State/Zip | - |
| **Primary Network Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Alt. Network Contact** |  |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Prod Support #** |  | Hours | - |
| Email |  | Fax # |  |
| **Data Ctr. #** |  | Hours | - |
| **NOC/Data Ctr. #** |  | Hours | - |

# OCC Contact Information

##### Options Clearing Corporation

###### One North Wacker, Suite #500

###### Chicago, Illinois 60606-2807

|  |  |  |  |
| --- | --- | --- | --- |
| **DR Primary Tech Contact** | Ari Silverman | Phone # | 312-322-2886 |
| Email | asilverman@theocc.com | Hours | 0700-1600 |
| **DR Primary Business Contact** | Karen Glad | Phone # | 312-322-2041 |
| Email | kglad@theocc.com | Hours | 0700-1600 |
| **DR Alternate Business Contact** | John Kobos | Phone # | 312-322-4060 |
| Email | jkobos@theocc.com | Hours | 0700-1600 |

**OCC Use Only**

**Firm Intends to use the following on 10/15/16:**

**\_\_\_ Production**

**\_\_\_ DR Site**

**\_\_\_ Alternate Site**

|  |  |  |
| --- | --- | --- |
| **Update** | **Initials** | **Summary of Update** |
|  |  |  |

# WebSphere MQ Connectivity Data – Real Time Messaging (Inbound to OCC)

***This section should include all existing Production Queue Managers and any additional IP/Port information relevant to DR or Alternate sites that may differ from Production setups for those Queue Managers. This information is specific to SIFMA/RegSCI Industry Testing efforts.***

## WebSphere MQ Information Production Environment – at OCC

**Queue Manager:** OCCB2BP

**TCP/IP ADDRESS:** 198.133.169.224

**Port:** 1413

|  |  |  |  |
| --- | --- | --- | --- |
| **Channel** | **Queue Manager** | **DR IP Address** | **DR Port** |
|   |   |   |  |
|   |   |   |  |
|   |   |   |  |
|   |   |   |  |
|   |   |   |  |
|   |   |   |  |

# WebSphere MQ Connectivity Data – Real Time Messaging (Outbound to Firm)

***This section should be completed if the DDS Recipient intends to receive Real Time messages.***

## WebSphere MQ Information Production Environment – at OCC

**Queue Manager:** OCCBV2P3

**TCP/IP ADDRESS:** 198.133.169.224

**Port:** 1414

|  |  |  |  |
| --- | --- | --- | --- |
| **Channel** | **Queue Manager** | **DR IP Address** | **DR Port** |
|   |   |   |  |
|   |   |   |  |
|   |   |   |  |
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|   |   |   |  |
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# Batch Transmission Connectivity Data - PUSH

***This section should include any details on NDM push connectivity that will be different when operating in DR mode or from an alternate site. This information is specific to SIFMA/RegSCI Industry Testing efforts.***

**DDS Sender Details**

***Should be completed if different than Production setup information***

|  |  |
| --- | --- |
| **Node Name** | **DR IP Address** |
|   |  |
|   |  |
|   |  |
|   |  |
|   |  |
|   |  |

**OCC Technical Details**

|  |  |
| --- | --- |
| **NODE NAME OF CONNECT:DIRECT** | **PAPPC1** |
| **IP ADDRESS OF THE OCC HOST** | **198.133.169.191** |
| **PORT NUMBER USED ON OCC HOST** | **1364** |

# Batch Transmission Connectivity Data – SFTP

***This section should be completed if the SFTP setup for DR or an alternate site is different than the current Production setup. This information is specific to SIFMA/RegSCI Industry Testing efforts.***

**DDS Recipient Details**

|  |  |
| --- | --- |
| **User Name** | **DR IP Address** |
|   |  |
|   |  |
|   |  |
|   |  |

**OCC Technical Details**

|  |  |
| --- | --- |
| **IP ADDRESS OF OCC HOST** | **198.133.169.198** |
| **PORT NUMBER USED ON OCC HOST** | **10022** |