



**LOPR Firm  
Testing and Implementation Plan**

Version	Date	Author	Changes Made
1.0	8/6/2009	OCC	Initial Version – Approved by LOPR Working Group
1.1	9/2/2009	OCC	Additional Phase 1 Testing details and schedule for September included
1.2	10/27/2009	OCC	Added October and November testing schedules to the Plan
1.3	11/12/2009	OCC	Modified November testing schedule
1.4	11/30/2009	OCC	Added December testing schedule
1.5	1/6/2010	OCC	Added January testing schedule

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## 1 LOPR Testing Overview

In anticipation of the LOPR implementation, the OCC, LOPR Firms and the self regulating organizations (SROs) will participate in several testing and implementation activities beginning in August 2009 and ending in January 2010. During this time period, three distinct testing activities will be conducted. First firms and exchanges must connect to OCC's External Test environment for a pre-test checkout. Next, firms must provide LOPR test data to OCC's External Test environment to ensure format compatibility and limited functionality capability. Once steps 1 and 2 have been completed to the satisfaction of the individual firm and OCC, firms can graduate to nightly submissions to OCC's production environment. In the nightly environment, OCC will pass LOPR outbound data to the SROs for further validation. The SROs have mandated that all firms have been validated and begin nightly production processing by November 23, 2009. Throughout the entire testing period, each entity has required activities and responsibilities.

OCC will be responsible for:

- Production and test environments at the appropriate times.
- Providing OCC connectivity with firms to each environment.
- Running multiple test cycles in External Test environment with outbound error reports sent back to firms.
- Providing a production environment for LOPR firms and SROs beginning October 1, 2009.
- Providing notification of firm promotion to parallel environment as well periodic External Test statistics and summary of testing to SROs.

Firms will be responsible for:

- Setting up connectivity to OCC's test and production environments.
- Preparing test and production data.
- Participating in and evaluating testing results.
- Reviewing their error reports and making appropriate modifications.
- Once promoted, providing nightly submission to OCC production environment.

SROs are responsible for:

- Evaluating firm LOPR results and notifying firms of issues with their input.
- The compliance of firms in participating in the prescribed testing and implementation events.
- Notifying OCC to wipe out a firms LOPR data in the production parallel environment and coordinating with the firms to restart their LOPR history.

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## 2 Testing Goals

The overall goal of the External Test is to ensure adequate preparation for processing LOPR data by LOPR firms, SROs, and the OCC prior to the scheduled implementation.

Specifically,

- OCC will validate that LOPR firms can send data to OCC's test environment via the defined transmission protocol.
- OCC will validate that entities submitting LOPR data adhere to the proper data format.
- OCC will ensure that it distributes LOPR reject messages.
- OCC will generate the end of day LOPR DDS files (Position Maintenance Report messages) and make available/send to LOPR firms.
- Entities sending LOPR submissions are responsible for all test case creation and validation.
- OCC will assist with data validation by means of reject reports, data exports or similar data transport on a limited ad-hoc basis as requested by firms.
- OCC will generate the Rejected LOPR Submission DDS messages and make available/send to LOPR firms.
- OCC will generate the Rejected In Concert Group Submission and Rejected LOPR reports (when such submissions exist) and make the reports available for OCC LOPR firms.

OCC will assist the LOPR firms in the validation of test cases, not the creation of test case scenarios.

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## 3 Communications Plan

OCC will monitor and report on the progress of the LOPR External Test on a regular basis (interval to be determined later) to the SROs. This will include:

- A listing of organizations that have successfully submitted LOPR data
- A listing of any organization that has determined that its testing is complete

OCC will notify all known active test participants of any system availability issues which may impact the processing of any LOPR data.

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## 4 Test Schedule

The details below outline the proposed testing schedule which is to run from Tuesday, August 11th, through Thursday, November 19<sup>th</sup>.

### **Phase 1 – Connectivity, data format and limited cycle testing in OCC External Test Environment**

8/11/2009 - 11/19/09

LOPR firms send files to OCC External Test environment via the transmission protocol that will be used in production. OCC will validate successful receipt and processing of files. OCC will provide reject records, reports and batch DDS to LOPR firms sending data, as well as feedback.

LOPR firms must successfully complete connectivity and validation testing prior to beginning phase 2 nightly submissions in the OCC Production environment.

The External Test environment will roll through business dates to accommodate testing of various effective date scenarios. A schedule of business dates and cycling frequency will be published prior to each month of testing. Please note that the frequency of the cycling may change throughout the Phase 1 testing period as multiple testing efforts may be supported in addition to LOPR testing.

Firms must set their LOPR Submission business date to match the business date used by the OCC External Test environment.

### **Phase 2 – Nightly Submissions in OCC Production Environment**

10/1/2009 –

OCC will support nightly submissions of firm LOPR data and outbound data transmissions to SROs in its new LOPR system starting October 1, 2009 and thereafter.

11/23/2009 – 1/19/2010

All LOPR firms are expected to have begun nightly transmission of their production LOPRs to the OCC production environment. No additional OCC validation/connectivity services are planned during this phase. OCC will run the system in a production manner.

11/23/2009 – 1/8/2010

SRO's will conduct a Quality Assurance Review of the new LOPR data coming from OCC according to the 17D2 LOPR Allocation Method.

Each SRO will report Pass-Fail info back to the LOPR Working Group and LOPR Firms.

#### 4.1 Phase 1 Testing – Sept, Oct, Nov, Dec, Jan Calendars

The September schedule will cycle through a single day schedule; each cycle will begin on the Activity Date matching the Calendar date.

The table below provides a high level schedule of Activity/Trade dates, ENCORE availability and DDS publishing. All times are in ET. Please make note of the below additional timing restrictions:

- The External Test environment will be open for inbound transmissions on the applicable calendar dates beginning at 9 AM ET / 8 AM CT
- The deadline for **all input transmissions is 3 PM ET / 2 PM CT** on the applicable calendar dates. Transmissions received after the input deadline will not be processed.
- Batch DDS will be made available by the OCC by 7 PM ET / 6 PM CT on the specified calendar dates unless otherwise noted

Monday	Tuesday	Wednesday	Thursday	Friday
Aug 31 Test Window Closed	<sup>1</sup> Activity Date: 09/01 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>2</sup> Activity Date: 09/02 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>3</sup> Activity Date: 09/03 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>4</sup> Test Window Closed
<sup>7</sup> Test Window Closed (Labor Day)	<sup>8</sup> Activity Date: 09/08 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>9</sup> Activity Date: 09/09 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>10</sup> Activity Date: 09/10 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>11</sup> Test Window Closed
<sup>14</sup> Activity Date: 09/14 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>15</sup> Activity Date: 09/15 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>16</sup> Activity Date: 09/16 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>17</sup> Activity Date: 09/17 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>18</sup> Test Window Closed
<sup>21</sup> Activity Date: 09/21 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>22</sup> Activity Date: 09/22 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>23</sup> Activity Date: 09/23 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>24</sup> Activity Date: 09/24 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>25</sup> Test Window Closed
<sup>28</sup> Activity Date: 09/28 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>29</sup> Activity Date: 09/29 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	<sup>30</sup> Activity Date: 09/30 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	Oct 1 Test Window Closed	Oct 2 Test Window Closed

**Phase 1 Testing – October Calendar**

The October schedule will cycle through two types of schedules, some where an Activity Date is executed over a single Calendar Date and several where a single Activity Date is executed over multiple Calendar Dates.

The below table provides a high level schedule of Activity/Trade dates, ENCORE availability and DDS publishing. All times are in ET. Please pay special attention to the Activity Date and Test Window timings as they vary across testing dates.

- The External Test environment will be open for inbound transmissions on the applicable calendar dates beginning at 9 AM ET / 8 AM ET
- **Input transmissions are due prior to the Test Window closes** on any given test date. Transmissions received after the input deadline will not be processed until the following test date.
- Batch DDS will be made available by the OCC on the specified calendar dates/times

Monday	Tuesday	Wednesday	Thursday	Friday
5 Test Window Closed	6 Test Window Closed	7 Test Window Closed	8 Activity Date: 10/08 Test Window Open 9:00a – 3:00p Batch DDS: 7:00p	9 Test Window Closed
12 Activity Date: 10/13 Test Window Open 9:00a – 3:00p	13 Activity Date: 10/13 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	14 Activity Date: 10/14 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	15 Activity Date: 10/16 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	16 Test Window Closed
19 Activity Date: 10/20 Test Window Open 9:00a – 3:00p	20 Activity Date: 10/20 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	21 Activity Date: 10/22 Test Window Open 9:00a – 3:00p	22 Activity Date: 10/22 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	23 Test Window Closed
26 Activity Date: 10/26 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	27 Activity Date: 10/27 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	28 Activity Date: 10/29 Test Window Open 9:00a – 3:00p	29 Activity Date: 10/29 Test Window Open 9:00a – 1:00p Batch DDS: 3:00p	30 Test Window Closed

All files must contain business dates within the below available dates. Files containing business dates not on the below list will be rejected as these dates are not valid in the OCC External Test system.

**Available Business Dates**

- 10/08/2009
- 10/13/2009
- 10/14/2009
- 10/16/2009
- 10/20/2009
- 10/22/2009
- 10/26/2009
- 10/27/2009
- 10/29/2009

The following is an excerpt from section 4.1 of the LOPR Testing and Implementation Plan

**Phase 1 Testing – November Calendar**

The November schedule will cycle through business dates matching the calendar dates, with the exception of when the environment is unavailable for maintenance.

The below table provides a high level schedule of Activity/Trade dates, ENCORE availability and DDS publishing. All times are in ET. Please pay special attention to the Activity Dates available as files containing mismatched dates will result in rejected transactions.

- The External Test environment will be open for inbound transmissions on the applicable calendar dates beginning at 9 AM ET / 8 AM CT
- **Input transmissions are due prior to 12:00 PM ET / 11:00 AM CT.** Transmissions received after the input deadline will need to be resent on the next test date.
- Batch DDS will be made available by the OCC on the specified calendar dates/times with an EXT1 qualifier, for example “EXT1.lopr\_YYYY-MM-DD.xml”.

Monday	Tuesday	Wednesday	Thursday	Friday
2	3	4	5	6
Activity Date: 11/02 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/03 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/04 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/05 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/06 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p
9	10	11	12	13
Activity Date: 11/09 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/10 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/11 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/12 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/13 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p
16	17	18	19	20
Activity Date: 11/16 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/17 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/18 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/19 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/20 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p
23	24	25	26	27
<b>ENVIRONMENT CLOSED FOR UPGRADES</b>			Test Window Closed	Test Window Closed

All files must contain business dates within the below available dates. Files containing business dates not on the below list will be rejected as these dates are not valid in the OCC External Test system.

Available Business Dates

- 11/02/2009
- 11/03/2009
- 11/04/2009
- 11/05/2009
- 11/06/2009
- 11/09/2009
- 11/10/2009
- 11/11/2009
- 11/12/2009
- 11/13/2009
- 11/16/2009
- 11/17/2009
- 11/18/2009
- 11/19/2009
- 11/20/2009

## Phase 1 Testing – December Calendar

The December schedule will cycle through business dates matching the calendar dates, with the exception of when the environment is unavailable for maintenance.

The below table provides a high level schedule of Activity/Trade dates, ENCORE availability and DDS publishing. All times are in ET. Please pay special attention to the Activity Dates available as files containing mismatched dates will result in rejected transactions.

- The External Test environment will be open for inbound transmissions on the applicable calendar dates beginning at 9 AM ET / 8 AM CT
- **Input transmissions are due prior to 12:00 PM ET / 11:00 AM CT.** Transmissions received after the input deadline will need to be resent on the next test date.
- Batch DDS will be made available by the OCC on the specified calendar dates/times with an EXT1 qualifier, for example “EXT1.lopr\_YYYY-MM-DD.xml”.

Monday	Tuesday	Wednesday	Thursday	Friday
	1	2	3	4
	Activity Date: 12/01 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/02 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/03 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/04 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p
7	8	9	10	11
Activity Date: 12/07 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/08 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/09 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/10 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/11 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p
14	15	16	17	18
Activity Date: 12/14 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/15 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/16 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/17 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/18 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p
21	22	23	24	25
Test Window Closed	Test Window Closed	Test Window Closed	Test Window Closed	Test Window Closed
28	29	30	31	
Activity Date: 12/28 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 11/29 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/30 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	Activity Date: 12/31 Test Window Open: 9:00a – 12:00p Batch DDS: 7:00p	

All files must contain business dates within the below available dates. Files containing business dates not on the below list will be rejected as these dates are not valid in the OCC External Test system.

Available Business Dates

- 12/01/2009
- 12/02/2009
- 12/03/2009
- 12/04/2009
- 12/07/2009
- 12/08/2009
- 12/09/2009
- 12/10/2009
- 12/11/2009
- 12/14/2009
- 12/15/2009
- 12/16/2009
- 12/17/2009
- 12/18/2009
- 12/28/2009
- 12/29/2009
- 12/30/2009

## Phase 1 Testing – January Calendar

The January schedule will cycle through business dates matching the calendar dates, with the exception of when the environment is unavailable for maintenance. **Please note! Testing will run through Friday, January 22<sup>nd</sup> only.**

The below table provides a high level schedule of Activity/Trade dates, ENCORE availability and DDS publishing. All times are in ET. Please pay special attention to the Activity Dates available as files containing mismatched dates will result in rejected transactions.

- The External Test environment will be open for inbound transmissions on the applicable calendar dates beginning at 9 AM ET / 8 AM CT
- **Input transmissions are due prior to 12:00 PM ET / 11:00 AM CT.** Transmissions received after the input deadline will need to be resent on the next test date.
- Batch DDS will be made available by the OCC on the specified calendar dates/times with an EXT1 qualifier, for example “EXT1.lopr\_YYYY-MM-DD.xml”.

Monday	Tuesday	Wednesday	Thursday	Friday
Jan 4	5	6	7	8
Activity Date: 01/04	Activity Date: 01/05	Activity Date: 01/06	Activity Date: 01/07	Activity Date: 01/08
Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p
Batch DDS: 9:00p	Batch DDS: 9:00p	Batch DDS: 9:00p	Batch DDS: 9:00p	Batch DDS: 9:00p
11	12	13	14	15
Activity Date: 1/11	Activity Date: 1/12	Activity Date: 1/13	Activity Date: 1/14	Activity Date: 1/15
Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p
18	19	20	21	22
OCC Holiday	<b>Activity Date: 01/15</b>	Activity Date: 01/20	Activity Date: 01/21	Activity Date: 01/22
Test Window Closed	Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p	Test Window :9a –12p
	Batch DDS: 9:00p	Batch DDS: 9:00p	Batch DDS: 9:00p	Batch DDS: 9:00p

**PLEASE NOTE: During the week of January 11–15, please contact Bill Raczky (312-322-4340) immediately upon sending your test file to OCC. During this week, OCC has some additional internal steps required to process test files.**

**If additional LOPR testing is required after January 22, 2010 please contact your OCC representative to coordinate.**

All files must contain business dates within the below available dates. Files containing business dates not on the below list will be rejected as these dates are not valid in the OCC External Test system.

### Available Business Dates

- 01/04/2010
- 01/05/2010
- 01/06/2010
- 01/07/2010
- 01/08/2010
- 01/11/2010
- 01/12/2010
- 01/13/2010
- 01/14/2020
- 01/15/2010
- 01/20/2010
- 01/21/2010
- 01/22/2010

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## 5 Test Data

Throughput Phase 1 Testing the External Test environment will contain recent production data as identified below:

- September testing will be restored from production as of Start of Day Monday, August 31<sup>st</sup>
- October testing will be restored from production at a TBD date
- November testing will be restored from production at a TBD date

### 5.1 LOPR Data

Both External Test and production environments will begin with no LOPR data. Only Add submissions will build the LOPR inventory. Each submitter is responsible to add enough data to facilitate all planned test scenarios.

During Phase 1 Testing, LOPR positions will roll forward, reflecting any applicable activity as generated by inbound transmissions as well as regular position purging.

Upon implementation, planned for January 19, 2010, the existing LOPR parallel database will contain preexisting LOPR data built during the Phase 2 to production. Firms and SROs must use the Phase 2 period to wipe out erroneous data and start fresh if needed. SROs will be able to request that OCC erase a firm's entire LOPR database and ask the firm to restart its LOPR reporting from scratch during Phase 2. Firms are responsible for building their LOPR records; OCC will not be performing the conversion of any SIAC data.

### 5.2 Products / Contracts

The list below details the range of possible products to be submitted as LOPR:

- Exchange listed options
- OTC options – not validated against OCC's master files; OCC has no OTC option masterfile
- Hedge instruments – equities and futures (futures are validated against OCC's stock futures master file)
- Warrants – stock index and currency

All testing in Phase 1 against OCC's master file should operate within production products/series active through the identified production restore dates. The OCC will not be creating test contracts for Phase 1 Testing.

There currently are no LOPRs on warrants. Use the following warrant test symbols for submitting LOPRs on warrants to OCC's test environment.

#### Index Warrant

Symbol: EATWS

Name: ISG Canoli Index American style Call Warrant

#### Currency Warrant

Symbol: EATUWS

Name: ISG Canoli Index American style Call Warrant USD/EURO

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## 6 OCC Input Processing

OCC will validate the submissions process through its LOPR system. Various messages can only be produced if certain data conditions are met, such as rejected submissions. Since OCC has left the testing scenarios in the hands of the submitting firms, OCC cannot guarantee the creation of reject messages/reports will be available at any given time.

During Phase 1 Testing there are several ways that a submitting firm can send test data to OCC:

- NDM/Connect:Direct
  - Transmit dataset: EOCN.TRN.LP200.NDMREC.xxxx.FXML
- FTP+
  - Transmit dataset: lopr\_xxxx.xml
  - Please ensure that FTP+ files are transmitted to the External Test directory and not Production

For those testing partners that send inbound post trade files to the OCC currently, 'xxxx' will follow the same naming convention as production, for example CM00019 or sb00092. If the LOPR positions will be the first inbound file a testing partner will send to the OCC, please work with your Clearing Member representative to confirm the full file name.

If there are any issues with the formatting or the expected results of a test transaction, please work with your Clearing Member representative.

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## 7 Suggested Submitter Test Activities

The OCC recommends that all LOPR Firms test all applicable business scenarios they would expect to execute in production for LOPR Submissions. LOPR Firms should also test using the transmission protocol they plan to use in production.

When testing, LOPR Firms should confirm that the file contains the appropriate activity accurately in their systems prior to submission to the OCC.

Suggested test scenarios include (not all inclusive):

- Add a new LOPR for each product type the firm expects to report in Production
- Modify the quantity of an existing LOPR
- Add a New LOPR and include applicable Hedge Segment.
- Delete an existing LOPR for a closed position and an existing LOPR for correction purposes
- In Concert Group Add (for firms with accounts acting In Concert)
- In Concert Group Delete (for firms with accounts acting In Concert)
- Other sample LOPR data conditions are detailed in appendices of the Reference Guide for LOPR Firms.

In addition to the above, LOPR Firms should analyze any rejects and execute standard LOPR reconciliation and/or balancing necessary to verify accurate processing.

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## 8 OCC Outputs to SROs and LOPR Firms

### 8.1 DDS Test Files (FIXML messages)

#### 8.1.1 Phase 1 Testing

Batch DDS subscriptions will be setup for each testing partner upon request once connectivity to the External Test environment is established. Only the LOPR end of day snapshot and rejected DDS transmissions will be available during LOPR Phase 1 testing; all other DDS transmissions will be disabled.

Batch files will be produced per the schedule and can be retrieved as follows:

- FTP+ firms will find the files in their test directory.
- NDM/Connect:Direct users should contact your Clearing Member representative to coordinate the file push

Batch DDS files will be available for approximately two weeks after being produced. Please be sure to pull or coordinate the push for any files that you may want prior to then.

#### 8.1.2 Phase 2 Testing

- Batch files will be produced in the nightly production parallel and can be retrieved in the same manner as production DDS files.

### 8.2 OCC Print Image Reports

Reports will be produced in the External Test environment. The Rejected LOPR Submissions and Rejected In Concert Group core reports will be made available upon request.

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## 9 Connectivity

Prior to testing, each submitting firm will need to connect the environment they plan to test with to the OCC External Test environment via the below available mechanisms. The External Test environment is separate from Production and requires different connectivity, as outlined below. For testing partners without existing production connectivity, please plan to start connectivity 2-3 weeks prior to the expected start of any testing activity in the External Test environment.

#### Inbound LOPR Messages

- Via NDM/Connect:Direct can be sent to the Training region (EOCN.TRN)
- Via FTP+ will require connectivity to the External Test environment

! Please complete the Ext Test Inbound Tech Spec Form for inbound FTP+ connectivity. This form is not required for NDM/Connect:Direct connectivity.

#### Outbound Batch DDS

- Via NDM/Connect:Direct will require connectivity to the External Test environment
- Via FTP+ will require connectivity to the External Test environment

! Please complete the Ext Test Outbound Tech Spec Form for outbound NDM/Connect:Direct or FTP+ connectivity

Once connectivity has been established, OCC will work to identify and complete the necessary setup.

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## 10 Contacts

### OCC External Test Group Primary Contact

Bill Raczyk                    [braczyk@theoec.com](mailto:braczyk@theoec.com)                    (312) 322-4340

### Member Services

Main Contact                    [memberservices@theoec.com](mailto:memberservices@theoec.com)                    (800) 621-6072  
(800) 424-7320 within Canada

### BOX Regulation

Joe Dalton                    [joe.dalton@bostonstock.com](mailto:joe.dalton@bostonstock.com)                    (617) 235-2317

Bruce Goodhue                    [Bruce.Goodhue@bostonstock.com](mailto:Bruce.Goodhue@bostonstock.com)                    (617) 235-2022

### ISE

Ron Veith                    [rveith@ise.com](mailto:rveith@ise.com)                    (212) 897-8130

### FINRA

Gary Grey                    [Gary.Grey@finra.org](mailto:Gary.Grey@finra.org)                    (212) 858-4329

Max Tourtelot                    [max.tourtelot@finra.org](mailto:max.tourtelot@finra.org)                    (212) 858-4013

### NYSE AMEX, NYSE ARCA

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## 11 Implementation

Implementation from a LOPR Firm perspective is scheduled for Nov 23, 2009. At that time, all LOPR Firms should have added all production LOPRs to OCC's production environment and supply LOPR updates to OCC on a daily basis.

Implementation from the SRO perspective is planned for Jan 19, 2010. At that time the OCC production environment will be considered production for the SROs. All firms should continue to send daily LOPR updates to this environment. SROs will communicate with firms on the ability for them to stop supplying LOPR data to SIAC.