



2016 – REG SCI BCP/DR INDUSTRY TEST: NASDAQ OPTIONS QUESTIONNAIRE

Participant:

Participant Contacts:

Market Place this questionnaire represents (pick only one): PHLX, NOM, BX Options

Q-01: Was your firm able to successfully test connectivity (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-02: If attempted, was your firm able to successfully participate in the Opening Process (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-03: Was your firm able to successfully execute orders and/or quotes as part of the BCP/DR test(y/n)? _____

Add any additional comments or requests for follow-ups:

Q-04: If applicable, was your firm able to successfully test Quote Entry (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-05: If attempted, was your firm able to successfully test Simple Order Entry (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-06: If attempted, was your firm able to successfully test Complex Order Entry (applicable only on PHLX) (y/n)? _____

Add any additional comments or requests for follow-ups:

Q-07: If attempted, was your firm able to successfully test Auction Order Entry (applicable on PHLX and BX Options) (y/n)? _____

Add any additional comments or requests for follow-ups:

With regards to the test overall, any additional comments or requests for follow-ups: