



Incident Management – What you need to know!

As part of every critical incident management process, there is a need to develop clear and precise procedures beginning with an internal assessment, risk exposure and customer impact. The purpose of the document is to provide an overall summary of TSX Equity Markets Incident Management procedures, while clearly outlining your role in the process.

1. What will remain the same and how will I be notified of a potential incident?

- Email Alerts
- Dedicated Phone lines for Trade and Order reconciliation (416) 947-4357 / 4705
- Broadcast Messages via Market Data feeds

2. What has changed?

Introduction of the External Service Recovery Conference Bridge - A dedicated ESR Bridge will be established to communicate one-way, outbound communication to stakeholders. By providing a one-way channel for updates, our goal is to keep the Market Operations phone lines open for order and trade reconciliation. The initial production alert will contain the bridge details. For your records, we will use the following:

Local	(416) 933-8665
Toll Free	1 888 402-9166
Conference ID	8694845

Introduction of the Service Recovery Assessment E-Mail - A dedicated Service Recovery Assessment (SRA email) email address and distribution list will be created to communicate with selected authorized personnel at Participating Organizations, Access Vendors and Data Vendors. The SRA email notice will request the firm's own assessment of the service interruption after a predefined period of time. We will be focusing our assessment on the following:

1. *Is your business unit able to enter and cancel orders and receive acknowledgement messages? If not, what markets are affected?*
2. *Is your business unit receiving timely market data or is there latency? If not, what markets are affected?*
3. *Is there important information you would like to tell us about the problems you are experiencing?*
4. *If we do not receive an answer in five minutes, we will assume your service has not been disrupted.*

In the event of a market wide interruption, a minimum of 15 minutes will be allotted for a Pre-Open period to allow participants the opportunity to status their open orders. Depending on the magnitude of the incident and customer feedback, the Pre-Open period can be extended.