



Frequently Asked Questions

BUSINESS CONTINUITY

For Omgeo ALERTSM, Omgeo AutoMatchSM, Omgeo ConnectSM, Omgeo CrossCheckSM, Omgeo CTMSM, Omgeo MarketMatchSM, Omgeo OASYSSM, Omgeo OASYS GlobalSM, Omgeo ProtoCollSM and Omgeo Transaction ReportSM

Omgeo is committed to providing highly reliable and available solutions to our clients. One of the ways in which we support this commitment is through a comprehensive Business Continuity Program that enables Omgeo to respond to and recover from a business disruption. Our mission is to resume normal business and client support operations with minimal service impact on our clients, in the shortest time possible.

1. What is Omgeo's overall business continuity strategy?

Our business continuity strategy combines managing multiple production and alternate facilities, including out of region capabilities, and leveraging our global presence to support client needs. Our geographic diversity is a key advantage in our ability to minimize business disruptions that could have an impact on one of our office locations.

A disruption at any one of our production facilities or office locations will immediately prompt our senior management to activate our crisis management process to ensure that services to our clients are resumed as quickly as possible. All areas of the company have documented continuity plans to guide them in executing the steps necessary to minimize the impact of a disruption on our clients. Regular testing of these plans ensures our staff is prepared to execute these plans efficiently.

2. Which services are covered by Omgeo's continuity plans?

Omgeo's business continuity planning includes systems configurations and procedures to ensure clients can continue to access Omgeo services and execute transactions. Services covered by this plan include Omgeo ALERT, Omgeo Connect, Omgeo CrossCheck, Omgeo CTM, Omgeo MarketMatch, Omgeo OASYS, Omgeo OASYS Global, Omgeo ProtoColl and Omgeo Transaction Report. Omgeo AutoMatch, a client-side add-on module to Omgeo OASYS Global and local matching service, is covered indirectly by the business continuity plan, i.e., an Omgeo AutoMatch client will be able to continue to use Omgeo AutoMatch once Omgeo OASYS Global is back online.

3. How does Omgeo ensure optimum reliability and availability of its services?

Omgeo maintains a highly reliable and available service architecture at all levels of the infrastructure. Our applications are hosted within the world-class data centers of The Depository Trust & Clearing Corporation (DTCC) and leverage DTCC's systems management infrastructure. DTCC provides sophisticated data center management,

including ambient environmental control, air quality, power and fire suppression capabilities. Each operational system contains redundant components to prevent the system from failing as well as dual monitoring systems to actively check the health of each individual component.

Omgeo mitigates risk to the production processing environments at 2 distinct levels:

1) By providing production environments configured for ultra High Availability (HA)

2) By providing robust, fully configured and tested disaster recovery (DR) processing environments at alternate and out of region locations.

At the system level, Omgeo has provided redundant systems for every component. During production operation, a failure of one of these components will not result in any outage. Service will continue transparently on the remaining available components in the event of individual component outages.

At the data center level, we've extended HA configuration across dual primary databases. Processing survives system failures at one location by continuing on the surviving components at the other data center.

In addition, Omgeo has established out of region recovery which serves as a backup for our critical services in the event that neither primary data center is operational. Should such an event occur, services will failover to our remote data center (RDC).

4. What type of recovery procedures are in place to activate the alternate site?

The application code, infrastructure configuration and trade database are split between dual primary data centers, ensuring that systems are always production ready. The failure of individual components or systems will not result in any outage. Service will continue transparently on the remaining available components in the event of individual component outages.

Should a complete failure of a data center occur, a reboot of the applications may be required. The fail-over and recovery process involves four steps: (1) the networks are disabled to prevent accidental delivery of trade data to the failed environment; (2) the fully synchronized databases at the alternate location are brought online, restarted, and checked for data integrity; (3) the applications are restarted to utilize the live databases; and (4) the networks are re-enabled to establish connectivity from the clients.

Client networks are load-balanced across the dual primary data centers so no network fail-over procedures are required to activate the recovery site. Similarly, all operations systems are kept live and are actively managing the host and network infrastructure even prior to the disruption, so no recovery procedures are required to enable operations at the alternate site.

5. What types of disruptions would precipitate a recovery of production operation to Omgeo's alternate data center?

Omgeo's business continuity plans are developed to address impact to operations versus individual disasters. Therefore, they cover a wide array of disruptions including fires, explosions, floods, earthquakes, other natural or man-made disasters and various device failures.



6. In the event that Omgeo's main production facilities are fully disabled, what measures are in place to ensure access to Omgeo's services?

Client access networks are load balanced between both primary data centers, ensuring clients have live access to Omgeo's systems at both sites. Omgeo's proven configuration design and recovery procedures maintain service to clients without disruption to trade confirmation, settlement and notification workflows.

In addition, the networks are extended to our out of region data center (RDC). Client access networks are automatically forwarded to the RDC as part of the failover process.

7. How will clients access the out of region data center?

Omgeo's remote data center (RDC) serves as the backup for our services in the event that neither of the primary data centers is operational. If a disruption were to disable both primary data center locations, services will failover to the RDC. Clients can continue to leverage Omgeo's services while disruptions at the primary data centers are resolved.

The following products have out of region failover capability: Omgeo ALERT, Omgeo CTM, Omgeo Connect, Omgeo OASYS, Omgeo OASYS Global, Omgeo MarketMatch, Omgeo AutoMatch, Omgeo SID, Omgeo TradeHub, Omgeo Transaction Report, Omgeo TradeMatch and Omgeo TradeSuite.

8. Does Omgeo's Business Continuity Program support client dial-up configurations? What about a leased line connection or an internet connection?

Omgeo's business continuity plans support the dial-up, leased line, and internet connectivity options in use by clients today. All clients should consider their own disaster recovery needs, and configure their systems appropriately to utilize their own back up network configurations. No further intervention by the client should be necessary. For more information on Omgeo's business continuity connectivity options, please contact your regional support center.

9. Will Omgeo's business continuity capabilities support both workstation and direct service applications?

Yes. Client-side applications, including both workstation and direct, will continue to function as before.

10. In the event of a disruption, how long will it take for fail-over to occur? What impact will business continuity have on system availability?

Omgeo's business continuity plan establishes recovery time objectives (RTO) for our services from the time of a disruption. Omgeo CTM and Omgeo TradeSuite have an RTO of 2 hours and core services a 4 hour RTO. Core services include Omgeo ALERT, Omgeo AutoMatch, Omgeo Connect, Omgeo MarketMatch, Omgeo OASYS, Omgeo OASYS Global and Omgeo Transaction Report.

The systems configuration and recovery procedures are designed to have little impact on our clients' business with Omgeo. Connectivity to Omgeo's services and application processing is seamlessly load balanced at the dual primary sites.

Trade processing will continue without disruption despite the impact to individual systems caused by most incidents. In the event of a significant service disruption at one site, however, Omgeo's recovery plan imposes minimal downtime during which systems are failed-over manually to the alternate production facility. Certain transactions in progress on the disrupted component may need to be restarted in order for processing for those particular operations to complete, however in nearly all cases recovery will be transparent to clients. In the rare instance where recovery is not transparent, trade messages may need to be resent. Once recovery is complete and service is restored online, clients will be able to continue their business with Omgeo's transaction and information services.

11. Should clients prepare a back-up business resumption environment for their Omgeo service?

Yes. It is critical to have a secondary installation of your Omgeo service in the event that a localized service disruption occurs. A secondary installation will allow for continued service in the event of hardware failure, etc. Omgeo customer support staff is available to help you prepare your primary and secondary installations.

12. Does Omgeo conduct tests of its recovery site and recovery process?

Yes. Omgeo conducts recovery exercises twice annually. Recovery procedures have been designed and tested to resume full operations within the recovery time objective (RTO) of two hours for Omgeo CTM and Omgeo TradeSuite and four hours for core services. These tests are used to maintain Omgeo's recovery competencies and to improve the recovery process.

13. What types of client support services will Omgeo provide in the event of a disruption at the primary data center?

Omgeo will provide additional support from other office locations globally while resuming technical operations. Support services include a Client Support Center toll-free phone number and the omgeo.com client center to facilitate communication between clients and our support staff.

14. Will client support services be available in the event of a disruption at an Omgeo business office?

Yes. Client Contact Centers, based across two of our existing offices, provide service twenty-four by six, allowing us to support clients across multiple time zones and geographic areas. Omgeo will re-direct calls in the event a disruption disables our ability to handle calls at any one of our Client Contact Centers, enabling Omgeo to provide seamless, best-of-class client support operations.