



Omgeo's Business Continuity Program

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.

Business Continuity Strategy

Our current strategy combines leveraging our global presence in worldwide locations and managing multiple production facilities to support client needs. Our geographic diversity is a key advantage to our ability to minimize business disruptions that could impact one of our business locations or production facilities.

A disruption at any one of our worldwide office locations or production facilities would 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 ensures our staff is prepared to execute these plans efficiently.

Please visit our [web site](#) for more information on our strategy, planning and frequently asked questions on our services.

Omgeo Services

Our primary production facilities are backed up by multiple alternate facilities which include out of region capabilities for our equity, fixed income and derivative services. Our out of region data center serves as an alternate facility in the event of a wide scale disruption which disables our dual primary data centers, as described in the Interagency Paper on Sound Practices. Procedures to transfer operations from primary to alternate facilities are tested regularly to ensure our staff is trained and our facilities are up-to-date. In the event one of our primary production facilities is rendered inoperable, fail over to an alternate facility is engineered to minimize downtime for the client and traffic is re-routed to the alternate facility.

Omgeo hosted services include the following:

Omgeo ALERTSM
Omgeo AutoMatchSM
Omgeo Central Trade ManagerSM

Omgeo CrossCheckSM
Omgeo ConnectSM
Omgeo MarketMatchSM
Omgeo OASYSSM
Omgeo OASYS GlobalSM
Omgeo ProtoCollSM
Omgeo TradeHubSM
Omgeo TradeMatchSM
Omgeo TradeSuiteSM
Omgeo Transaction ReportSM

Client Support

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.

In the event of a service disruption caused by a business continuity event, Omgeo will provide additional support from other office locations globally while resuming technical operations. Omgeo Support can be contacted by calling the Client Contact Center (CCC) phone numbers below or by accessing the Omgeo.com Client Center.

Client Connectivity

As a client, it is critical to have a business continuity plan for your own systems. A comprehensive business continuity plan will ensure minimal business interruption and will provide protection for your trade flow in the event of a disaster at your site.

To ensure access to Omgeo services, we can advise you on the connectivity options presently available. For more information, please contact your regional support center.

Regulatory Update

An integral part of our Business Continuity Program is achieving compliance with regulatory requirements. Accordingly, we adhere to the US sound practices for business continuity in the financial markets which were set forth in the interagency paper issued by the Board of Governors of the Federal Reserve, the Office of the Comptroller of the Currency and the Securities and Exchange Commission in April 2003. This interagency paper contained industry-wide business continuity guidelines to address the potential impact of a wide-scale disruption.

Our business continuity plans are consistent with the United States Securities and Exchange Commission's (SEC) guidelines, as provided by the office of Automated Review Policy (ARP). To ensure compliance, Omgeo's internal auditors and regulators conduct annual reviews of all plans as well as analyze test results following each test date.

Outside of the U.S., Omgeo continues to monitor regulatory requirements to maintain our compliance in the area of business continuity planning. Please visit our [web site](#) for more information on our regulatory response.



Omgeo Support

Australia

0011.800.7369.7090

Austria

Belgium

China

Czech Republic

Denmark

France

Germany

Hungary

Ireland

Italy

Luxembourg

Malaysia

The Netherlands

New Zealand

Norway

Poland

Portugal

Russia

Spain

Switzerland

Taiwan

United Kingdom

00.800.7369.7090

Canada

United States

877.664.3625

Finland

0800.91.8411

Hong Kong

Singapore

001.800.7369.7090

India

000.800.100.1475

Indonesia

001.803.1.002.4687

Israel

012.800.7369.7090

013.800.7369.7090

014.800.7369.7090

Japan

813.5218.6621

Pakistan

00.800.01001

(when prompted, dial 800.987.3045)

South Africa

09.800.7369.7090

South Korea

822.2076.8080

001.800.7369.7090

002.800.7369.7090

Sweden

020.79.1690

Thailand

001.999.111.11

(when prompted, dial 800.987.3045)