###### http://dms.theocc.com/dsweb/Get/Document-505497/OCC_logo_greenweb.jpg

Technical Specifications Form

EXTERNAL TEST ENVIRONMENT

Please note that it is OCC’s policy to connect

only non-production external party environments to External Test.

**RECIPIENT FIRM NAME:**

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## External Party Contact Information – Real-Time / MQ Series

|  |  |  |  |
| --- | --- | --- | --- |
| **Firm Name** |  | | |
| Address |  | | |
| City |  | State/Zip |  |
| **Primary Network Contact** |  | | |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Alt. Network Contact** |  | | |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |

## External Party Contact Information – NDM / Batch Push

|  |  |  |  |
| --- | --- | --- | --- |
| **Firm Name** |  | | |
| Address |  | | |
| City |  | State/Zip |  |
| **Primary Network Contact** |  | | |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Alt. Network Contact** |  | | |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |

## External Party Contact Information – SFTP / Batch Upload and Pull

|  |  |  |  |
| --- | --- | --- | --- |
| **Firm Name** |  | | |
| Address |  | | |
| City |  | State/Zip | - |
| **Primary Network Contact** |  | | |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |
| **Alt. Network Contact** |  | | |
| Phone/ext. |  | Fax # |  |
| Email |  | Hours | - |

## OCC Contact Information

##### The Options Clearing Corporation

###### One North Wacker, Suite #500

###### Chicago, Illinois 60606-2807

|  |  |  |  |
| --- | --- | --- | --- |
| **Primary Technical** | Ari Silverman | Phone # | 312-322-2886 |
| Email | asilverman@theocc.com | Hours | 0700-1600 |
| **Alternate Technical** | Kenneth Baker | Phone # | 312-322-4511 |
| Email | kbaker@theocc.com | Hours | 0700-1600 |
| **External Test** | John Kobos | Phone # | 312-322-4060 |
| Email | jkobos@theocc.com | Hours | 0700-1600 |
| **Member Services** | Member Help Desk | Phone # | 800-621-6072 |
| Email | memberservices@theocc.com | Hours | 0600-2200 |

**OCC Use Only**

**Initial Date:**

**Initial Transfer Mechanism MQ \_\_\_ NDM \_\_\_ SFTP \_\_\_**

**Second Transfer Mechanism MQ \_\_\_ NDM \_\_\_ SFTP \_\_\_**

**Member Services Contact:**

|  |  |  |
| --- | --- | --- |
| **Update** | **Initials** | **Summary of Update** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## WebSphere MQ Connectivity Data – Real Time Trade/Post Trade Messaging (Inbound)

This section should be completed if the Member wishes to send Real Time Messages to OCC.

### WebSphere MQ Information External Test Environment – at OCC

**Queue Manager:** OCCB2BE

**TCP/IP ADDRESS:** 198.133.169.122

**Port:** 1425

***(The following 2 items will be determined by OCC after connectivity has been established)***

|  |  |
| --- | --- |
| Input Queue | TBD |
| Output Queue | TBD |
| NATed IP Address |  |
| Audit File Name |  |

### WebSphere MQ Information External Test Environment – OCC and External Party

***(The following 2 items will be determined by consensus between OCC and External Party)***

|  |  |
| --- | --- |
| Sender Channel | TBD |
| Receiver Channel | TBD |

### WebSphere MQ Information External Test Environment - External Party

|  |  |
| --- | --- |
| Queue Manager |  |
| TCP/IP Address |  |
| Port |  |
| Output Queue |  |

## WebSphere MQ Connectivity Data – Real Time DDS Messaging (Outbound)

This section should be completed if the External Party intends to receive Real Time messages.

### WebSphere MQ Information External Test Environment – at OCC

**Queue Manager:** ORTQMGR

**TCP/IP ADDRESS:** 198.133.169.122

**Port:** 1414

**(The following 2 items will be determined by OCC after connectivity has been established)**

|  |  |
| --- | --- |
| Input Queue |  |
| Output Queue |  |
| NATed IP Address |  |
| Audit File Name |  |

### WebSphere MQ Information External Test Environment – OCC and External Party

**(The following 2 items will be determined by consensus between OCC and External Party)**

|  |  |
| --- | --- |
| Sender Channel |  |
| Receiver Channel |  |

### WebSphere MQ Information External Test Environment – External Party

|  |  |
| --- | --- |
| Queue Manager |  |
| TCP/IP Address |  |
| Port |  |
| Input Queue |  |

## Batch Transmission Connectivity Data – NDM Push (Inbound / Outbound)

This section should be completed if the testing partner plans on sending/receiving batch data files via a direct push to/from OCC and their respective system.

#### General System Info – External Party

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Site Location |  | | | | |
| Time Zone |  | | | | |
| Operating System  (select one with **X**) | Unix | Windows | Linux | MVS/M7 | Other |
| OS Release |  | | | | |

#### Details – External Party

|  |  |
| --- | --- |
| **Source Node Name/IP Address**  **(Node name & IP address of host at client site from where data is to be pushed to OCC)** | Node Name: |
| IP Address: |
| NAT’d IP address (Filled in by OCC Network Svcs) |
| **Target Login ID and Password**  *(This is the login id and password required to connect to the target host. Once provided, it is encrypted in OCC database)* | Login ID: |
| Password: |

#### OCC Technical Details

|  |  |
| --- | --- |
| **Node name of the Connect:Direct** | oappc3v |
| **IP address of the OCC host** | 198.133.169.120 |
| **Port number used on the OCC's host** | 1364 |
| **INBOUND (External Party to OCC)** | |
| **Userid to connect to OCC's server (SNODEID)**  No password needed | <username> |
| **Directories**  \* There are several External Test environments, each with a unique sub-directory for inbound files | /occ/exttest/clients/<username>/input/ext0  /occ/exttest/clients/<username>/input/ext1  /occ/exttest/clients/<username>/input/ext2  /occ/exttest/clients/<username>/input/ext3  /occ/exttest/clients/<username>/input/ext4  /occ/exttest/clients/<username>/input/ext5 |
| **OUTBOUND (OCC to External Party)** | |
| **OCC's source node names**  *(The actual hosts which can send the files from OCC to the customer.)* | **oappc3v** |
| **Local userid on OCC's host systems**  *(This specifies the local user id initiating the send.)*  \* There are several External Test environments, each with a unique userid. External parties should enable all IDs as they can change across testing efforts. | **occext0**  **occext1**  **occext2**  **occext3**  **occext4**  **occext5** |

Please note that while there is a single connection point for External Test there are several unique External Test environments. **When sending inbound transmissions the user will need to specify the specific environment in the directory path.** The External Test environment will be provided per testing effort.

## Batch Transmission Connectivity Data – SFTP Upload (Inbound) / Download (Outbound)

This section should only be completed if the testing partner plans on sending/receiving Batch data file transmissions via an SFTP upload/download.

#### General System Info – External Party

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Site Location |  | | | | | | |
| Time Zone |  | | | | | | |
| Operating System  (select one with **X**) | Unix | Windows | | Linux | | MVS/M7 | Other |
| OS Release |  | | | | | | |
| Connectivity Type  (select one with **X**) | Internet | | Private | |  | | |

#### Details – External Party

|  |  |
| --- | --- |
| **Platform on which SFTP would run**  *(Which platform is being used by the recipient?)* |  |
| **Node Name of the SFTP machine**  *(Host name of the machine where FTP+ runs)* |  |
| **IP address of the SFTP machine**  *(Please list only specific, non-sequential IP addresses)* |  |
| **SSH Public Key Name**  *(SSH Public Key must be sent to OCC technical staff)* |  |

#### 

#### OCC Technical Details

|  |  |
| --- | --- |
| **IP address of the OCC host (ddstest.theocc.com)** | 198.133.169.199 |
| **Port number used on the OCC's host** | 10022 |
| **Userid to connect to OCC's server** | <username> |
| **OCC's home directory for the user** | / |
| **OCC’s inbound directories for the user**  \* There are several External Test environments, each with a unique sub-directory for data files | /input/ext0  /input/ext1  /input/ext2  /input/ext3  /input/ext4  /input/ext5 |
| **OCC’s outbound data directories for the user**  \* There are several External Test environments, each with a unique sub-directory for data files | /data/ext0  /data/ext1  /data/ext2  /data/ext3  /data/ext4  /data/ext5 |

\* Please note that while there is a single connection point for External Test there are several unique External Test environments. **After connecting to the server and prior to sending inbound transmissions** **the user will need to change to the applicable input/environment directory**. The External Test environment will be provided per testing effort.