

Identification of the persons conducting the testing, including information as to their qualifications and independence;

e. A description of Applicant's emergency procedures, including a copy of its written plan for business continuity and disaster recovery and a description of how Applicant will coordinate its business continuity and disaster recovery plan (including testing) with those of its clearing members and providers of essential services such as telecommunications, power and water; and

f. A description of how Applicant will report exceptional events and planned changes to the Commission as required by §§ 39.18(g) and 39.18(h).

EXHIBIT J — REPORTING

• Attach as **Exhibit J**, documents that demonstrate compliance with the reporting requirements set forth in § 39.19 of the Commission's regulations including but not limited to:

a. How Applicant will make available to Commission staff all the information Commission staff need in order to carry out effective oversight. This must include a discussion of what will be made available on a routine basis, how often it will be made available, and the method of its transmission. The same items must be addressed for information it will make available on a non-routine basis and what events would precipitate the generation of such data or information. Applicant must also address the manner in which any information will be made available to clearing members, customers, market participants and/or the general public. If not part of an initial application, Applicant must provide a representation that it will provide the following when initially generated or when content changes occur:

- (1) A list of current members/market participants;
- (2) A list of all products currently eligible for clearing;
- (3) The initial margin collection schedule;
- (4) Information on any disciplinary actions (such as suspensions, etc.);
- (5) Information concerning any physical or other emergencies;
- (6) All information concerning any default by a member and the impact of the default on Applicant's financial resources;
- (7) A copy of any examination/evaluation/compliance report of any regulatory body other than the Commission that oversees Applicant;
- (8) A copy of any internal examination/evaluation/compliance reports such as, but not limited to, those related to stress testing and systems testing;
- (9) Key personnel that have particular knowledge of the market(s) for which Applicant clears and any changes in those personnel, especially those to be contacted in case of market volatility or to respond to inquiries and emergencies;
- (10) Copies of audited financial statements of Applicant; and
- (11) Information regarding counterparties and their positions, stress test results, internal governance, legal proceedings, and other clearing activities.

b. Forms or templates to be used to satisfy the daily, quarterly, annual, and event-specific reporting requirements specified in § 39.19(c) of the Commission's regulations.

EXHIBIT K — RECORDKEEPING