

4.13 Disaster Recovery; Business Continuity

4.13.1 Each Participant shall have written disaster recovery and business continuity policies and procedures in place to ensure it is able to perform certain basic operational functions in the event of a significant internal or external interruption to its operations. At a minimum, the following areas must be addressed in the Participant's policies and procedures:

- (a) the Participant must have procedures in place to allow it to continue to operate during periods of stress or to transfer accounts to another fully operational Participant with minimal disruption to the Exchange.
- (b) the Participant must perform periodic testing of disaster recovery and business continuity plans, duplication of critical systems at back up sites and periodic back-up of critical information and provide the Exchange with information regarding the foregoing upon request; and
- (c) the Participant must maintain and, at the request of the Exchange, provide accurate and complete information for its key personnel. A Participant must inform the Exchange in a timely manner whenever a change to its key personnel is made.

4.13.2 The Exchange may prescribe additional and/or alternative requirements for a Participant's compliance with this Rule.

4.14 Trading Information

The Exchange shall make public daily information on Settlement Prices, volume, open interest, and opening and closing ranges for actively traded Nodal Contracts. Such trading information will be published on the Exchange website after the market close on each Business Day.

4.15 Trade Allocation

An FCM Participant may allocate trades to Customer accounts that it represents pursuant to applicable CFTC Regulations and any requirements of the Exchange. Such trades must be allocated and recorded in accordance with CFTC Regulation 1.35(b) and the NFA's Interpretive Notice related to Compliance Rule 2-10.

4.16 Exchange Staff Services

Exchange staff (including the Nodal Help Desk) provide production support and problem management services to all market participants. In addition to this support, Exchange staff also provide critical assistance to Authorized Users. Critical assistance includes, but is not limited to, inquiries and/or actions involving

Order status and Order cancellations. Exchange liability for Exchange staff services is subject to the limitations and conditions of Rule 9.10.