



INVESTMENT DEALERS
ASSOCIATION OF CANADA

ASSOCIATION CANADIENNE DES
COURTIERS EN VALEURS MOBILIÈRES

Protecting Your Business

Business Continuity/Disaster Recovery Planning

An Example

Robert Haberman

Senior Product Manager

BCP/DRP

TELUS BUSINESS SOLUTIONS

Maurizio (Maurice) Sigismondo,

Senior Solution Architect

Professional Services Solutions

SunGard Availability Services

SUNGARD[®] | Keeping People
Availability Services | and Information
Connected.[™]



What would happen if....

- **One day you went to work and discovered that your office had been destroyed by a fire.**
 - Where would you go ?
 - Would you be able to recover key files ?
 - Would you be able to contact:
 - your customers ?
 - your staff ?
 - your senior management team?

How would you get your business on it's feet ?

Step 1: Activate The BCP

- **In consultation with Senior Management, the BCP officer will declare an emergency and activate the Business Continuity Plan.**
 - This includes contacting the Primary Response Team.
- **The Primary Response Team (PRT) will then proceed to the Recovery Site and activate it.**

Step 2: Activate The Communications Plan

- **The PRT will activate the Communications component of the BCP.**
 - Staff members are contacted and advised of the situation.
 - Designated staff are advised to report to the recovery site.
 - Other staff are directed to their pre-determined roles / responsibilities.
 - Designated contacts within the IDA and other counterparties are advised of the situation, and that the Business Continuity Plan has been activated.
 - The “Customer Contact” section of the plan is executed.
 - Key customers are contacted and advised of the situation and that their investments are secure.
 - As / where required, a media communications plan is enacted.

Step 3: Contact 3rd Party Vendors

- **The PRT will contact appropriate 3rd party vendors for contracted support (as required).**
- **This will include :**
 - Telephone company
 - Internet Service Provider
 - Co-location / hosting provider
 - Managed Services Provider
 - Service Bureau(s) as required
 - Disaster Recovery Service Providers

Step 4: Contact Appropriate Counterparties

- **The PRT will contact appropriate counterparties as / where required, including:**
 - IDA
 - Carrying (or Introducing) Brokers
 - Primary Banks / Lenders
 - Secondary Banks / Lenders
 - Regulatory agencies in jurisdiction
 - Institutional customers
 - Other broker-dealers

Step 5: Commence Systems Recovery

- **Designated systems support staff start recovering primary and secondary systems:**
 - Required emergency hardware is requisitioned from 3rd party supplier(s) and delivered to the recovery site.
 - For example, SunGard or IBM
 - Current data is retrieved from off-site, secure location and transported to recovery site.
 - Once hardware is delivered to the recovery site, support staff can commence bringing the systems online.

Required emergency s/w application licenses should be accounted for *in advance*.

Step 7: Activate HR Plan

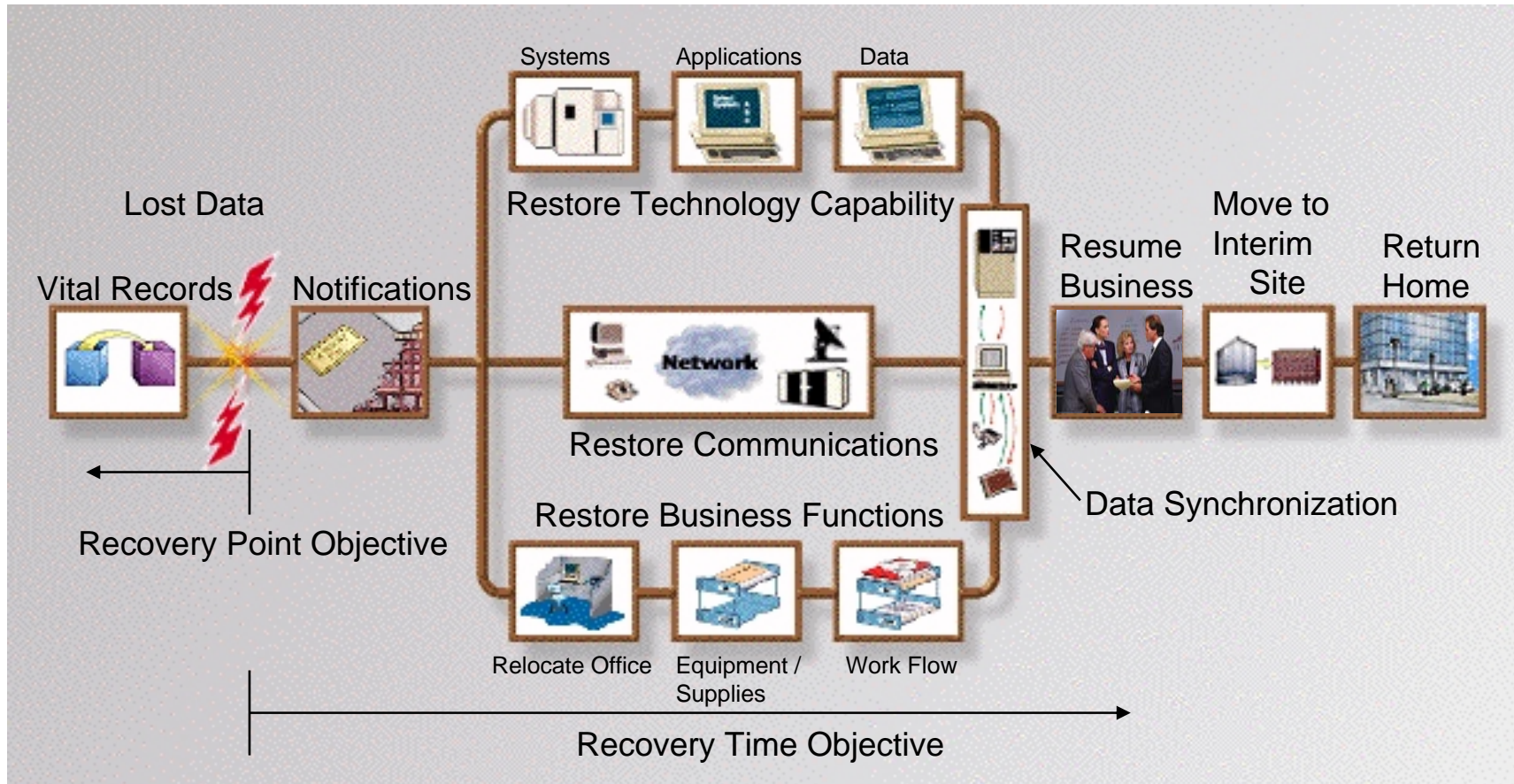
- **In activating the HR Plan, the firm is ensuring that the employees have the financial / physical / emotional support needed to keep functioning in extreme circumstances.**
 - Grief counseling.
 - Pay advances / loans.
 - Alternate transport to / from recovery site.
 - Catering at the recovery site.
 - Etc.

Step 8: Deactivation

- **Once the disruption has passed, and primary business facilities are re-established, the process is reversed:**
 - Customers are contacted and advised of the firm's status.
 - Recovery computer systems are backed-up and re-established on the firm's primary hardware platforms.
 - 3RD party vendors are advised and commence returning services to the primary business site.
 - When appropriate, telephone line are cut-over from the recovery site, to the primary site.
 - Counterparties are advised.

A full review of what worked and what did not is required.

Recovery Timeline



What would happen if....

Any
Questions
?