

SUNGARD®

Availability Services

***Investment Dealers Association
Business Continuity Compliance
By-Law 17.19 Presentation***

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SunGard Availability Services***

Agenda

- IDA BY-Law 17-19 General Overview
- IDA By-Law 17-19 Business Continuity Compliance Requirements Overview
- Compliancy Roadmap – Where Do We Start?
- About SunGard
- Information Availability & BC Awareness Slides
- SunGard Availability Methodology & Key BCP Slides
- SunGard BC Compliancy Solution Offerings
- Q&A

By-Law 17-19 General Overview

- The Association's rules require that all Member firms have the appropriate financial and operational safeguards in place to protect customer assets.
- Given the complex interdependencies of the markets, there is a potential for a sudden business disruption to cascade into a significant market-wide crisis.
- The resilience of the securities industry and the financial sector as a whole in the event of a market-wide disruption is contingent upon the rapid recovery and resumption of many critical activities that support financial markets (48hr client access).
- Objective is to standardize industry practices where necessary or desirable for investor protection.
- In Contrast with NASD Rule 3510 compliance requirements.

By-Law 17-19 Business Continuity Compliance Requirements Overview

- Establish & Maintain a BC Plan
- Regular BC Plan Updates
- Annual Review & Testing of BC Plan
- Association Required Annual Review Performed by a Qualified Third Party

Compliance Roadmap: Where Do We Start?

- Conduct Business Impact Assessment
- Develop a BC Plan Based Upon Assessment
- Annual Testing of BC Plan
- Regular Updates of BC Plan
- Maintenance Process for BC Plan
- Independent Third Party Audit (as required)

SunGard Overview

- SunGard is the pioneer of Information Availability solutions with over 27 years of experience and leadership in business continuity.
- Financially Strong - Annual revenues of over \$3 billion, traded on the NYSE and a member of the S&P 500.
- Experience & Expertise – 1,800 disasters supported; 150,000 tests completed, 11,000 BIA's completed; 30,000 availability plans written.
- Vendor Neutral – Experience with best of breed technology. Unbiased approach.
- Core Competency – Specialists in Information Availability.

SUNGARD FACTS

- Global organization, NYSE, 3B revenue
- 70 facilities worldwide
- 30 different platforms supported
- Over 20,000 end-user recovery positions
- 100% recovery success rate
- 4 million square feet of hardened facilities
- Supported by 25,000 miles of global network
- Over 350,000 hours of consulting annually
- Assist with approximately 8,800 tests annually
- 50 Mobile Facilities strategically located throughout North America with 14,000 square feet of conditioned space

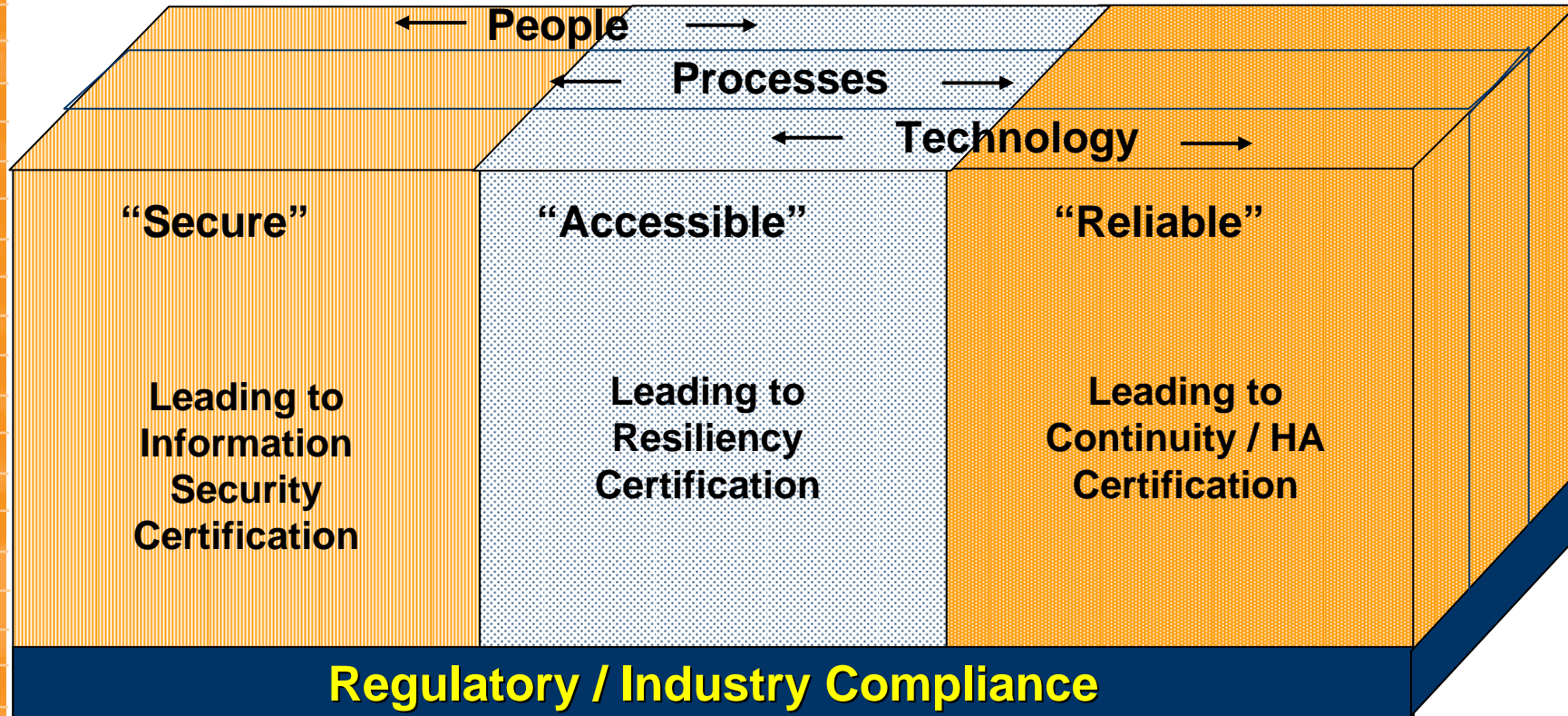


SunGard Centers - North America



- Atlanta – 2 sites
- Boston
- Calgary**
- Charlotte
- Chicago – 2 sites
- Cleveland
- Dallas – 2 sites
- Denver
- Detroit
- Hawaii
- Indianapolis
- Kansas City
- Los Angeles
- Long Island City
- Mexico City
- Montreal**
- New Jersey – 3 sites
- Orlando
- Philadelphia
- Pittsburgh
- Quebec**
- San Francisco
- Scottsdale
- Seattle
- St. Louis
- St. Paul
- Toronto – 2 sites**
- Warminster
- Washington D.C.

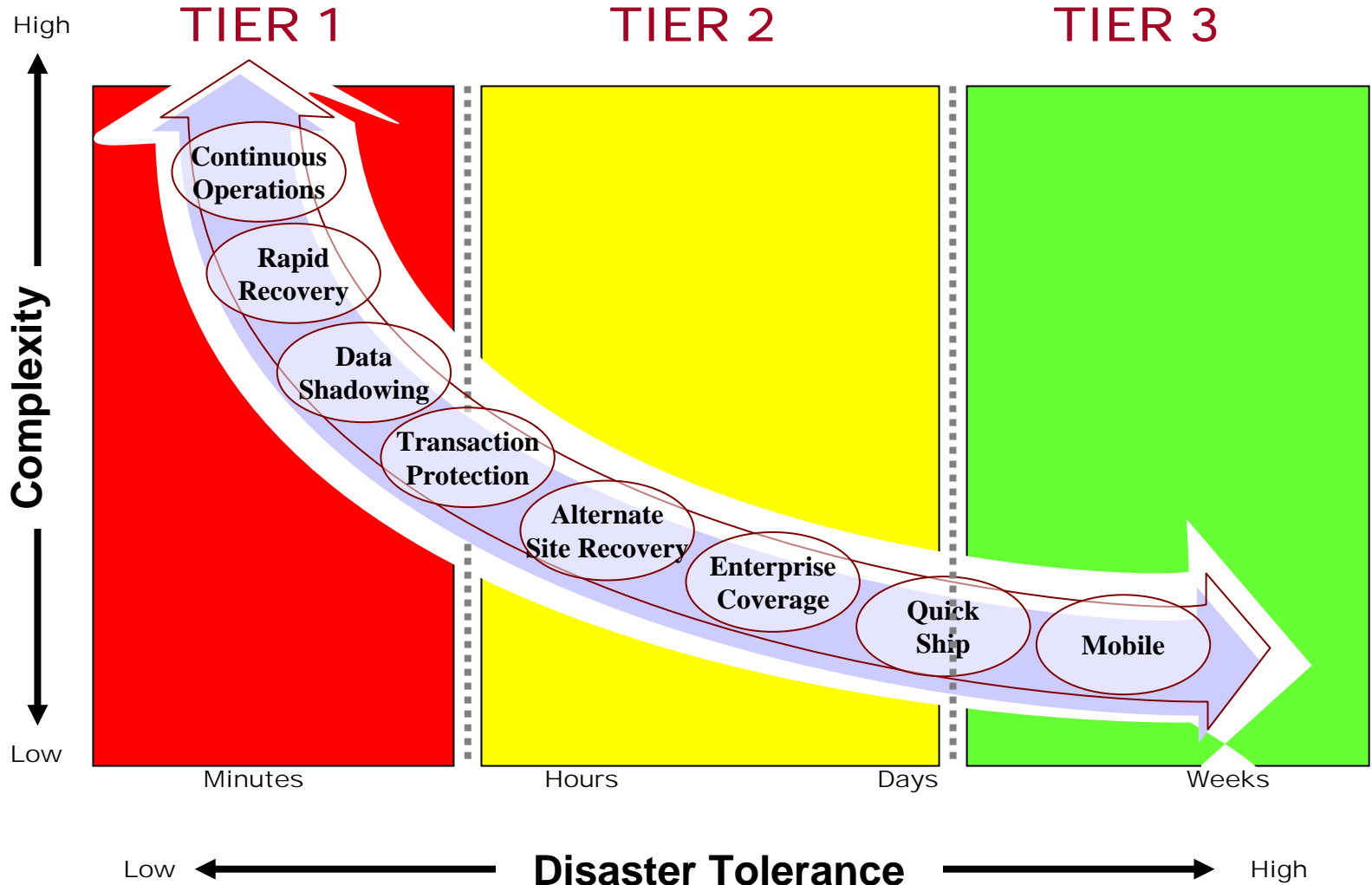
Information Availability



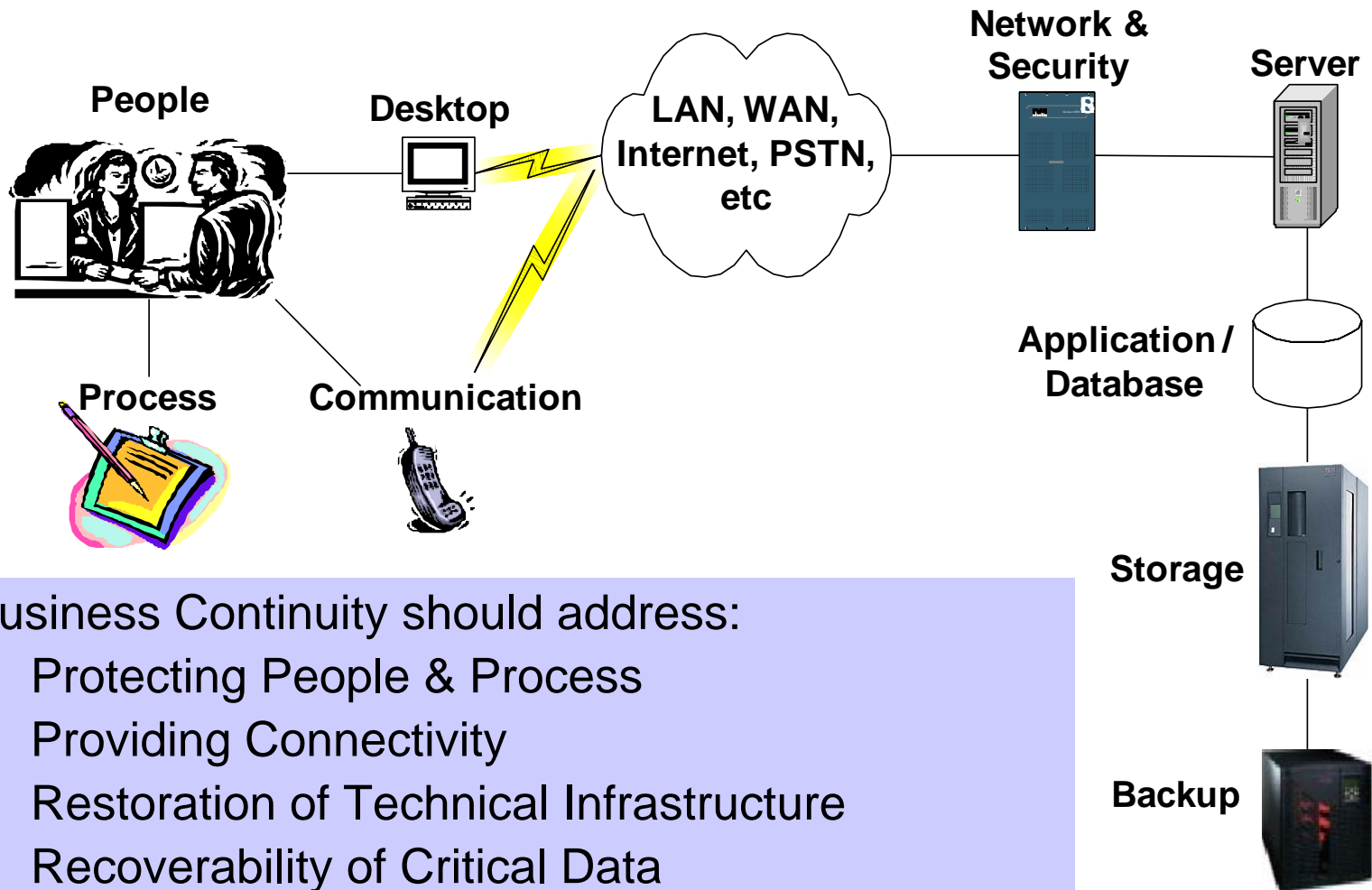
Protecting People & Process

- Understanding Business Risks, Impacts and Drivers
- Effective Crisis Management and Communication Plans
- Developing, Testing and Maintaining Business Continuity Plans
- Revisiting Business Processes and associated Recovery Strategies

Business Continuity - Tiered Approach



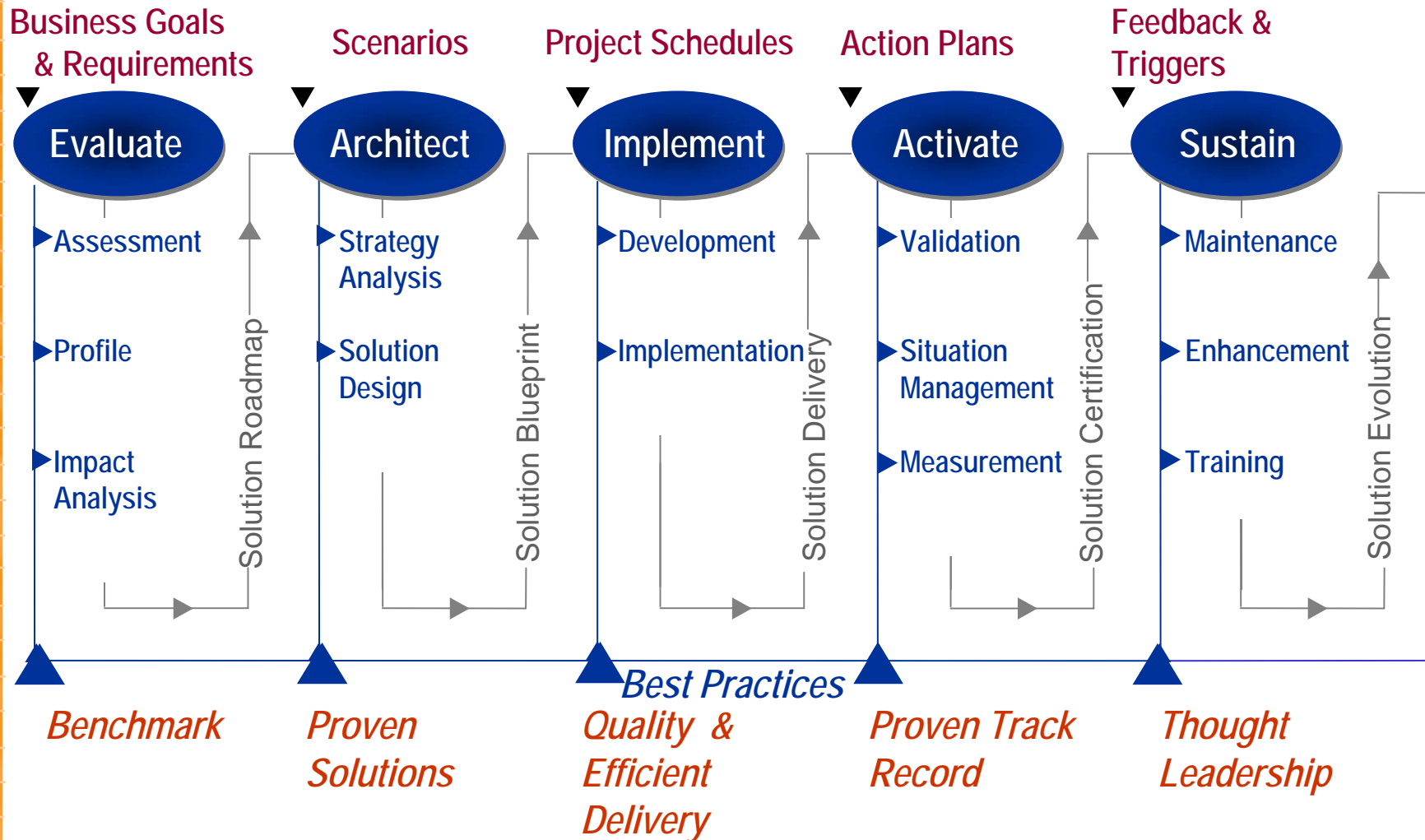
Business Continuity Resiliency



Business Continuity should address:

- Protecting People & Process
- Providing Connectivity
- Restoration of Technical Infrastructure
- Recoverability of Critical Data

SunGard Availability Methodology



Key BC Program Components

Executive BC Program sponsorship and signoff

- Program not a project
- Senior Management, Business and IT buy-in and input
- Formal signoff from all stakeholders

Understand Business Requirements

- Key business drivers and risks
- Financial and operational impacts
- Availability requirements and recovery timeframes
- Vital Record and Data loss tolerances
- Reliance on Critical Partner, Vendor and other 3rd parties

Key BC Program Components

Effective Solution Design

- Consider Availability, Security and Recovery requirements
- Mitigate risk through resiliency, redundancy and business recovery planning

Validate BC Program Capabilities

- Testing involves Senior Management, Business and IT
- Define clear business objectives and metrics for success
- Exercises should address crisis walkthroughs, manual procedures, systems recovery, business process resumption, single points of failure and data synchronization

Key BC Program Components

Program Sustainability

- Education and Awareness for all employees
- Address BC into new products and services
- Define and Implement Change Management process
- Regular reviews of business requirements, solution components and documentation

SunGard's BC Compliance Solution Offering

- Business Impact Assessment/Technology Profile
- Business Continuity Plan Development
- Data Backup & Recovery Program
- Alternate Communications Solution
- Alternate Work Area Solution
- BCP Repository (BC Plan, Vital Records)
- BCP Maintenance (Update Process)
- Conduct Independent Third Party Audit Requirement (as required)

Questions???



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