

## Client Advisory

Subject: FAQ -- Pandemic Preparations

March 11, 2020

ICE Data Services continues to monitor the COVID-2019 coronavirus. This document presents responses to the most common questions we have received regarding our Pandemic Planning and Business Continuity Plans.

**1. Does your organization have a pandemic plan that addresses a long-term event that can respond to and recover from mass absenteeism events, such as the COVID-19?**

Intercontinental Exchange has an established preparedness process to address impact to facilities and exchanges from events such as the spread of COVID-19.

**2. In the event of mass absenteeism, have you developed a plan on potentially scaling back “non-critical” services that may be provided?**

Our Business Continuity planning covers a variety of scenarios including mass absenteeism and pandemics. Our ICE Business Continuity Overview document that accompanies this Advisory outlines various aspects of our planning around events including mass absenteeism.

**3. As part of the pandemic plan, does your organization have strategies that include transferring work and work remote capabilities?**

Remote work and alternative locations are both included in our Business Continuity plan.

**4. Have those strategies been tested as part of the ongoing COVID-19 threat or in the past 6 months?**

ICE Data Services' Business Continuity Program standards call for business unit plans (including data center recovery plans) to be tested at least annually and some are tested more frequently. ICE Data Pricing & Reference Data has conducted various tests in 2019 in accordance with its business continuity planning requirements. As part of our continuity testing program, ICE participated in the annual SIFMA-sponsored industry test in October 2019.

Testing scenarios and scope may vary. Applications, middleware, databases, data and voice network, desktop, and alternate data center components of our systems and infrastructure are included in various levels of testing, as well as alternate workplace recovery and Pandemic plans. Business Continuity Program standards call for test results and follow-up items to be documented and used to guide resolution, and plan updates and maintenance.

*This document contains information that is confidential and proprietary property and/or trade secrets of Intercontinental Exchange, Inc. and/or its affiliates, is not to be published, reproduced, copied, disclosed, or used without the express written consent of Intercontinental Exchange, Inc. and/or its affiliates. The information contained herein is, to the knowledge of Intercontinental Exchange, Inc. and/or its affiliates, current as of the date hereof, but is subject to change, without notice. The information contained herein is for informational purposes only, does not constitute representations or warranties by Intercontinental Exchange, Inc. and/or its affiliates, and does not alter the terms of any agreements that may from time to time exist between Intercontinental Exchange, Inc. and/or its affiliates and its clients or their affiliates relating to any of the products or services described herein. Nothing herein is intended to constitute legal, tax, accounting, or other professional advice. Clients should consult with an attorney, tax, or accounting professional regarding any specific legal, tax or accounting situation. Evaluated pricing (including fixed income evaluations, evaluated curves, and model-based curves), continuous evaluated pricing, end-of-day evaluations, and Fair Value Information Services related to securities are provided in the US through ICE Data Pricing & Reference Data, LLC and internationally through ICE Data Services entities in Europe and Asia Pacific.*

**5. Has your organization taken precautions to mitigate the spread of COVID-19?**

ICE Data Services has taken precautions to mitigate the spread of COVID-19 to its employees, such as restricting travel to areas identified by the CDC as watch areas.

**6. For employees that may have had exposure, have steps within your organization been taken to quarantine them for a specific duration?**

Currently, if an employee or someone in their household has traveled to China, Italy, Japan, or South Korea, they must self-quarantine and be symptom free for 14 days before returning to the office.

**7. Is there currently an impact to any of your organization's locations?**

ICE Data Services delivers services from various offices throughout the world. As a precautionary measure, ICE has activated its business continuity plan across its global offices. If you have questions concerning your services please contact your client representative.

**8. Have steps been taken to address any potential impacts from a pandemic perspective, associated with fourth-parties that support your operations? If so, what is being done to ensure your fourth-parties can continue to support the contractual obligations to you as a customer?**

ICE's Vendor Management Program is a corporate level program driven by a standard policy and governed by corporate level committees, which is designed to build and strengthen the relationship with our third parties. Business Continuity, Legal, Information Security, Operations, Insurance, Accounting, Controls and Third Party Management risks are reviewed. All critical Tier 1 vendors travel through the full Vendor Management Lifecycle annually. Please also refer to the ICE Business Continuity Overview that accompanies this Advisory.

We will continue to monitor developments and will provide additional information for clients as circumstances warrant.

Please contact your ICE Data Services Client Service representative if you have any questions or comments regarding this advisory.

If you have questions about this advisory notice, please contact your relevant Client Support Group, details listed below.

Region	Contact	Telephone	Email (All Regions)
USA	Challenge Inquiry - NA	+1-770-999-4501 Option 2, Sub-Option 2	ChallengeInquiry@theice.com
EMEA	Challenge Inquiry - EMEA	+44-203-948-6501 Option 2, Sub-Option 2	EMEACheckInquiry@theice.com
Australia Hong Kong Singapore Japan	PRD Support - APAC	+613-9071-4592 Option 2 +85230188279 Option 2 +656-817-6211 Option 2 +81345208110 Option 2	APACPRDSupport@theice.com
After Hour Support	PRD Support EMEA (24 x 7)	+44-203-948-6501 Option 2, Sub-Option 1	EMEAPRDSupport@theice.com

*This document contains information that is confidential and proprietary property and/or trade secrets of Intercontinental Exchange, Inc. and/or its affiliates, is not to be published, reproduced, copied, disclosed, or used without the express written consent of Intercontinental Exchange, Inc. and/or its affiliates. The information contained herein is, to the knowledge of Intercontinental Exchange, Inc. and/or its affiliates, current as of the date hereof, but is subject to change, without notice. The information contained herein is for informational purposes only, does not constitute representations or warranties by Intercontinental Exchange, Inc. and/or its affiliates, and does not alter the terms of any agreements that may from time to time exist between Intercontinental Exchange, Inc. and/or its affiliates and its clients or their affiliates relating to any of the products or services described herein. Nothing herein is intended to constitute legal, tax, accounting, or other professional advice. Clients should consult with an attorney, tax, or accounting professional regarding any specific legal, tax or accounting situation. Evaluated pricing (including fixed income evaluations, evaluated curves, and model-based curves), continuous evaluated pricing, end-of-day evaluations, and Fair Value Information Services related to securities are provided in the US through ICE Data Pricing & Reference Data, LLC and internationally through ICE Data Services entities in Europe and Asia Pacific.*