

SATURDAY – JANUARY 1, 2000, 12 NOON CST, 1 P.M. EST:

Firm Name: _____
Name of Individual Completing Survey: _____
Title: _____
Telephone Number: _____
Email Address: _____

Note: N/A means “not applicable” – the firm does not normally use the system, link or interface.

1. Are you experiencing any material Y2K systems problems likely to negatively impact your customers or core business functions? ___ Yes ___ No

If yes, please describe the problem and how it is significantly affecting your ability to do business.

2. Are **key internal** office systems functioning normally?

- Telephones _____ Yes _____ No
- Fax machines _____ Yes _____ No
- Email _____ Yes _____ No _____ N/A
- Local Area Networks _____ Yes _____ No _____ N/A
- Intranets _____ Yes _____ No _____ N/A
- Other _____ Yes _____ No

3. Are your **key external electronic links/interfaces** operating within normal levels for the following?

- Internet connections for receiving customer orders, data transfer and other Internet-based transactions _____ Yes _____ No _____ N/A
- Clearing firms _____ Yes _____ No _____ N/A
- Data and other third party vendor links _____ Yes _____ No _____ N/A
- Contingency communication “command centers” _____ Yes _____ No _____ N/A
- All markets (domestic and foreign) _____ Yes _____ No _____ N/A

- All clearance and settlement organizations ___ Yes ___ No ___ N/A
- Major banks, fed wires, SWIFT and other money mobilization and transfer systems ___ Yes ___ No ___ N/A
- Service bureaus used by your firm ___ Yes ___ No ___ N/A
- Foreign locations and/or branches ___ Yes ___ No ___ N/A

If no to any part of questions 2 or 3, please describe the problem and how it is significantly affecting your ability to do business.

4. Are computers, mainframes, servers operating normally? ___ Yes ___ No ___ N/A

5. Are the following systems operating properly?

- Order entry ___ Yes ___ No ___ N/A
- Trading systems ___ Yes ___ No ___ N/A
- Risk management ___ Yes ___ No ___ N/A
- Front office systems ___ Yes ___ No ___ N/A
- Back office systems ___ Yes ___ No ___ N/A
- Trade processing ___ Yes ___ No ___ N/A
- Overnight batch processing ___ Yes ___ No ___ N/A
- Key records and reports available ___ Yes ___ No ___ N/A

If no to any part of questions 4 or 5, please describe the problem and how it is significantly affecting your ability to do business.

MONDAY, JANUARY 3, 2000, 9 A.M. CST, 10 A.M. EST:

Firm Name: _____
Name of Individual Completing Survey: _____
Title: _____
Telephone Number: _____
Email Address: _____

Note: N/A means "not applicable" – the firm does not normally use the system, link or interface.

1. Are you experiencing any material Y2K systems problems likely to negatively impact your customers or core business functions? ___ Yes ___ No

If yes, please describe the problem and how it is significantly affecting your ability to do business.

2. Are all mission critical trading and settlement systems up and running? ___ Yes ___ No

If no, please describe the problem and how it is significantly affecting your ability to do business.

3. Are next day records and reports available? ___ Yes ___ No
4. Have the marks on the firm's positions been properly recorded? ___ Yes ___ No
5. Did you receive the appropriate order confirmations from your markets for the previous business day? ___ Yes ___ No
6. Do the firm's books and records correctly reflect the previous business day's trading activity? ___ Yes ___ No
7. Does the firm have sufficient liquidity to meet its upcoming settlement obligations? ___ Yes ___ No
8. Have you balanced through the previous business day? ___ Yes ___ No

If no to any of questions 3 through 8, please describe the problem and how it is significantly affecting your ability to do business.

9. Are **key internal** office systems functioning normally?

- Telephones Yes No
- Fax machines Yes No
- Email Yes No N/A
- Local Area Networks Yes No N/A
- Intranets Yes No N/A
- Other Yes No

10. Are your **key external electronic links/interfaces** operating within normal levels for the following?

- Internet connections for receiving customer orders, data transfer and other Internet-based transactions Yes No N/A
- Clearing firms Yes No N/A
- Data and other third party vendor links Yes No N/A
- Contingency communication "command centers" Yes No N/A
- All markets (domestic and foreign) Yes No N/A
- All clearance and settlement organizations Yes No N/A
- Major banks, fed wires, SWIFT and other money mobilization and transfer systems Yes No N/A
- Service bureaus used by your firm Yes No N/A
- Foreign locations and/or branches Yes No N/A

If no to any part of questions 9 or 10, please describe the problem and how it is significantly affecting your ability to do business.

11. Are computers, mainframes, servers operating normally? Yes No N/A

12. Are the following systems operating properly?

- Order entry Yes No N/A
- Trading systems Yes No N/A
- Risk management Yes No N/A
- Front office systems Yes No N/A
- Back office systems Yes No N/A
- Trade processing Yes No N/A
- Overnight batch processing Yes No N/A
- Key records and reports available Yes No N/A

If no to any part of questions 11 or 12, please describe the problem and how it is significantly affecting your ability to do business.

MONDAY, JANUARY 3, 2000, 4 P.M. CST, 5 P.M. EST:

Firm Name: _____
Name of Individual Completing Survey: _____
Title: _____
Telephone Number: _____
Email Address: _____

Note: N/A means "not applicable" – the firm does not normally use the system, link or interface.

1. Are you experiencing any material Y2K systems problems likely to negatively impact your customers or core business functions? ___ Yes ___ No

If yes, please describe the problem and how it is significantly affecting your ability to do business.

2. Did you experience any material business disruptions with electronic links to customers, service bureaus, markets, clearance/settlement banks, vendors, or foreign markets/locations? ___ Yes ___ No ___ N/A
3. Are you experiencing any material operational problems in core business functions? ___ Yes ___ No
4. Are you experiencing any material financial problems in core business functions? ___ Yes ___ No

If yes to any of questions 2 through 4, please describe the problem and how it is significantly affecting your ability to do business.

5. Did you receive trades from offices? ___ Yes ___ No ___ N/A
6. Did you receive price feeds? ___ Yes ___ No ___ N/A

If no to either question 5 or 6, please describe the problem and how it is significantly affecting your ability to do business.

TUESDAY, JANUARY 4, 2000, 12 NOON CST, 1 P.M. EST:

Firm Name: _____
Name of Individual Completing Survey: _____
Title: _____
Telephone Number: _____
Email Address: _____

Note: N/A means "not applicable" – the firm does not normally use the system, link or interface.

1. Are you experiencing any material Y2K systems problems likely to negatively impact your customers or core business functions? ___ Yes ___ No

If yes, please describe the problem and how it is significantly affecting your ability to do business.

2. Are all mission critical trading and settlement systems functioning normally? ___ Yes ___ No

If no, please describe the problem and how it is significantly affecting your ability to do business.

3. Was settlement normal with organizations that the firm dealt with? ___ Yes ___ No
4. Did yesterday's transactions get processed normally? ___ Yes ___ No
5. Are you receiving payments, e.g., margin calls, from customers in the normal manner? ___ Yes ___ No
6. Did overnight processing systems work properly? ___ Yes ___ No
7. Are next day records and reports available? ___ Yes ___ No
8. Have the marks on the firm's positions been properly recorded? ___ Yes ___ No

9. Did you receive the appropriate order confirmations from your markets yesterday? Yes No
10. Were orders (proprietary and customer) executed normally? Yes No
11. Do the firm's books and records correctly reflect yesterday's trading activity? Yes No
12. Does the firm have sufficient liquidity to meet its upcoming settlement obligations? Yes No
13. Have you balanced through the previous business day? Yes No
14. Have you been able to accurately compute your segregation and secured requirements and funds on deposit? Yes No
15. Are you properly segregated? Yes No

If no to any of questions 3 through 15, please describe the problem and how it is significantly affecting your ability to do business.

16. As this is the first trading day in the year 2000 for the New York Mercantile Exchange, are you experiencing any problems specific to trades/orders on that exchange? Yes No

If yes, please describe the problem and how it is significantly affecting your ability to do business.

FOR NEW YORK MERCANTILE MEMBER FIRMS ONLY

WEDNESDAY, JANUARY 5, 2000, 12 NOON CST, 1 P.M. EST:

Firm Name: _____
Name of Individual Completing Survey: _____
Title: _____
Telephone Number: _____
Email Address: _____

Note: N/A means "not applicable" – the firm does not normally use the system, link or interface.

1. Are you experiencing any material Y2K systems problems likely to negatively impact your customers or core business functions? ___ Yes ___ No

If yes, please describe the problem and how it is significantly affecting your ability to do business.

2. Are all mission critical trading and settlement systems functioning normally? ___ Yes ___ No

If no, please describe the problem and how it is significantly affecting your ability to do business.

3. Was settlement normal with NYMEX? ___ Yes ___ No
4. Did yesterday's NYMEX transactions get processed normally? ___ Yes ___ No
5. Are you receiving payments, e.g., margin calls, from customers in the normal manner? ___ Yes ___ No
6. Did overnight processing systems work properly for NYMEX trades? ___ Yes ___ No
7. Are next day records and reports available? ___ Yes ___ No
8. Have the marks on the NYMEX positions been properly recorded? ___ Yes ___ No

9. Did you receive the appropriate order confirmations from NYMEX yesterday? Yes No
10. Were orders (proprietary and customer) executed normally at NYMEX? Yes No
11. Do the firm's books and records correctly reflect yesterday's trading activity at NYMEX? Yes No
12. Does the firm have sufficient liquidity to meet its upcoming settlement obligations? Yes No
13. Have you balanced through the previous business day? Yes No
14. Have you been able to accurately compute your segregation and secured requirements and funds on deposit? Yes No
15. Are you properly segregated? Yes No

If no to any of questions 3 through 15, please describe the problem and how it is significantly affecting your ability to do business.
