



CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 4 (March 27, 2017 - April 7, 2017)

CA ID	CUSIP	Security Description	Product Type	Event Type	Announced Date	Ex Date	Record Date	Payable Date	Due Bill Off	Due Bill Redemption Date*****	Effective Date	DTC Instruction Expiration Date	DTC Cover/Protect Expiration Date	DTC Anticipated Pay Date	Publication Date	Cash Rate	Security Rate	DTC Contra CUSIP	Disbursed CUSIP	DTC Security Positions (see note below)
512376295	192422103	COGNEX	10 - Common Stock	Cash Dividend	3/17/2017	3/28/2017	3/29/2017	4/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.39	N/A	N/A	N/A	10,000
512376296	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	3/17/2017	3/30/2017	3/31/2017	4/6/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	12628R107	10,000
512376297	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	3/17/2017	4/3/2017	3/28/2017	3/31/2017	4/4/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	232806109	10,000
512376298	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	3/17/2017	3/31/2017	3/27/2017	3/30/2017	4/3/2017	4/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	827048109	10,000
512376299	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	3/17/2017	4/3/2017	4/4/2017	4/6/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	203668116	10,000
N/A**	55303J106	MGP INDGREDIENTS INC +	10 - Common Stock	Tender Offer	3/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	4/3/2017	N/A	4/4/2017	N/A	\$ 17.50	N/A	553990615	10,000
512376300	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	3/17/2017	4/5/2017	3/27/2017	4/4/2017	4/6/2017	4/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	680194107	10,000
512376301	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	3/17/2017	4/3/2017	3/28/2017	3/31/2017	4/4/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	\$ 10.17	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	3/17/2017	N/A	N/A	N/A	N/A	N/A	3/31/2017	N/A	N/A	N/A	4/3/2017	N/A	N/A	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INC L	10 - Common Stock	Cash Merger	3/17/2017	N/A	N/A	N/A	N/A	N/A	4/4/2017	N/A	N/A	N/A	4/5/2017	N/A	\$ 25.66	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	3/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/4/2017	4/6/2017	4/7/2017	N/A	N/A	3.15	989990312	04014H108	10,000
512376302	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	3/17/2017	3/31/2017	4/3/2017	4/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.077	N/A	N/A	N/A	10,000
512376303	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	3/17/2017	3/27/2017	3/28/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.44	N/A	N/A	N/A	10,000
512376304	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	3/17/2017	4/3/2017	3/28/2017	3/31/2017	4/4/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	\$ 17.34	N/A	N/A	N/A	10,000
512376305	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	3/17/2017	4/3/2017	4/4/2017	4/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.4123	N/A	N/A	N/A	10,000
512376306	72200U209	\$ARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	3/17/2017	3/28/2017	3/29/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.227	N/A	N/A	N/A	10,000
512376307	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	3/17/2017	3/27/2017	3/28/2017	4/6/2017	N/A	N/A	N/A	4/4/2017	N/A	N/A	N/A	\$ 0.39	0.71	N/A	59160R102	10,000
512376308	108441205	BRIDGESTONECORPADR*+	110 - American Depositary Receipt	Cash Dividend	3/17/2017	3/30/2017	3/31/2017	4/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.628	N/A	N/A	N/A	10,000
512376309	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	3/17/2017	3/31/2017	4/3/2017	4/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.85	N/A	N/A	N/A	10,000
512376310	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	3/17/2017	N/A	3/28/2017	4/6/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 28.55	N/A	N/A	N/A	100,000
The CA ID will be available on 3/29/17*	64966L141	\$VRDO NEW YORK N NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	3/29/2017	N/A	N/A	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/29/2017	\$ 1,000.00	N/A	N/A	N/A	100,000
N/A**	494550AY2	CB KINDER MORGAN ENRGY D02/12/08 5.950% FA18	500 - Corporate Bond (CB) or Global Corporate Bond (GCB)	Tender Offer w/ Consent	3/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/30/2017 Early 4/4/2017 Late	N/A	3/31/2017 Early 4/5/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADM1	N/A	100,000
512376311	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	3/17/2017	N/A	3/30/2017	4/7/2017	4/6/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 47.89	N/A	N/A	N/A	100,000
512376312	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	3/17/2017	N/A	3/28/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 13.444782	N/A	N/A	N/A	100,000
512376313	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	3/17/2017	N/A	3/28/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 5.871232	N/A	N/A	N/A	100,000
512376314	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Interest	3/17/2017	N/A	3/27/2017	4/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.197781	N/A	N/A	N/A	100,000
512425071	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	3/20/2017	N/A	3/29/2017	4/6/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.79654	N/A	N/A	N/A	100,000
512376315	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	3/17/2017	N/A	3/28/2017	4/4/2017	4/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.91	N/A	N/A	N/A	100,000
512376316	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	3/17/2017	3/29/2017	3/30/2017	4/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.49	N/A	N/A	N/A	10,000
512376317	74272L208	PRIVATEBANCRP CAP TR	705 - Equity Derivative	Cash Dividend	3/17/2017	4/3/2017	4/4/2017	4/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.141	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	3/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/3/2017	4/5/2017	N/A	N/A	See RIPS event for subscription details	See RIPS event for subscription details	N/A	203668108	10,000
N/A**	74348T102	PROSPECT CAPITAL CORPORATION RR	761 - Closed End Fund	Tender Offer	3/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/4/2017	4/6/2017	4/7/2017	N/A	\$ 51.36	N/A	743990533	N/A	10,000
512376318	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	3/17/2017	3/31/2017	4/3/2017	4/6/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.1488	N/A	N/A	N/A	10,000
N/A**	46136W208	UIT INVESCO UNI BE+	795 - Unit Investment Trust	IVORS*****	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/5/2017	N/A	N/A	N/A	See IVIQ/IVOR for details	See IVIQ/IVOR for details	N/A	See IVIQ/IVOR for details	10,000

Important Considerations:	
When a field is marked N/A it will usually not be applicable for this event with the exception being where Elective Dividend Services apply in certain cases such as Tax Relief and DRIP. Participants may apply instructions in these cases but it is not mandatory that they do so	
* The CA ID will be populated and available when the announcement has been generated in DTCC's Corporate Actions systems	
** Participants testing the Voluntary and Mandatory Reorganizations events are part of the T2 Industry Test should refer to the Participant Terminal System (PTS) RIPS and Participant Browser System (PBS) Reorganizations and Redemptions functions for event level information.	
*** The DTC Contra CUSIP will be available when the event has been created in DTCC's Corporate Actions systems	
**** The DTC Disbursed CUSIP will be available when the event has been created in DTCC's Corporate Actions systems	
***** Participants testing Rights Subscriptions in the PTS PSOP and PBS Rights Subscriptions functions should refer to the event details in PTS/PBS for subscription level information	
***** Participants testing IVORS should refer to the redemption/rollover details in PTS/PBS Instructions Submission and Inquiries functions for further details	
***** Due Bill Redemption Date is the first date that Due Bills can be redeemed and should be considered allocation date. This column is not to be confused with the CA Web Due Bill Redemption Date data element which is mapped to Due Bill Off Date	



CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 5 (April 10, 2017 - April 21, 2017)

CA ID	CUSIP	Security Description	Product Type	Event Type	Announced Date	Ex Date	Record Date	Payable Date	Due Bill Off	Due Bill Redemption Date*****	Effective Date	DTC Instruction Expiration Date	DTC Cover/Protect Expiration Date	DTC Anticipated Pay Date	Publication Date	Cash Rate	Security Rate	DTC Contra CUSIP	Disbursed CUSIP	DTC Security Positions
512376319	192422103	COGNEX	10 - Common Stock	Cash Dividend	3/17/2017	4/11/2017	4/12/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.74	N/A	N/A	N/A	10,000
512376320	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	3/17/2017	4/13/2017	4/13/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	3.0	N/A	12628R107	10,000
512376321	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	3/17/2017	4/19/2017	4/11/2017	4/18/2017	4/20/2017	4/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	232806109	10,000
512376322	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	3/17/2017	4/18/2017	4/12/2017	4/17/2017	4/19/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.5	N/A	827048109	10,000
512376323	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	3/17/2017	4/12/2017	4/13/2017	4/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	203668116	10,000
N/A**	553031106	MGP INDGREDIENTS INC +	10 - Common Stock	Tender Offer	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/18/2017	N/A	4/19/2017	N/A	\$ 18.36	N/A	553990623	N/A	10,000
512376324	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	3/17/2017	4/17/2017	4/12/2017	4/14/2017	4/18/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	680194107	10,000
512376325	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	3/17/2017	4/17/2017	4/12/2017	4/14/2017	4/18/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	\$ 11.11	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	3/17/2017	N/A	N/A	N/A	N/A	N/A	4/17/2017	N/A	N/A	4/18/2017	N/A	N/A	2.5	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INCL	10 - Common Stock	Cash Merger	3/17/2017	N/A	N/A	N/A	N/A	N/A	4/18/2017	N/A	N/A	4/19/2017	N/A	\$ 31.49	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/18/2017	4/20/2017	4/21/2017	N/A	N/A	4.11	989990619	04014H108	10,000
512376326	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	3/17/2017	4/10/2017	4/11/2017	4/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.845	N/A	N/A	N/A	10,000
512376327	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	3/17/2017	4/12/2017	4/13/2017	4/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.71	N/A	N/A	N/A	10,000
512376328	318672607	PDF FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	3/17/2017	4/18/2017	4/12/2017	4/17/2017	4/19/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	\$ 19.56	N/A	N/A	N/A	10,000
512376329	376536207	PDF GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	3/17/2017	4/17/2017	4/18/2017	4/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.5347	N/A	N/A	N/A	10,000
512376330	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	3/17/2017	4/18/2017	4/19/2017	4/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.369	N/A	N/A	N/A	10,000
512376331	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	3/17/2017	4/10/2017	4/11/2017	4/20/2017	N/A	N/A	N/A	4/19/2017	N/A	N/A	N/A	\$ 0.41	0.67	N/A	59160R102	10,000
512376332	108441205	BRIDGESTONECORPADR**	110 - American Depositary Receipt	Cash Dividend	3/17/2017	4/11/2017	4/12/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.5871	N/A	N/A	N/A	10,000
512376333	47103U100	ETF JANUS DRETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	3/17/2017	4/12/2017	4/13/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.41	N/A	N/A	N/A	10,000
512376334	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	3/17/2017	N/A	4/11/2017	4/20/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 27.10	N/A	N/A	N/A	100,000
The CA ID will be available on 4/12/17*	64966LU41	SVRDO NEW YORK N NY NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	4/12/2017	N/A	N/A	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/12/2017	\$ 1,000.00	N/A	N/A	N/A	100,000
N/A**	494550AY2	CB KINDER MORGAN ENRGY D02/12/08 5.950% FA18	500 - Corporate Bond (CB) or Global Corporate Bond (GCB)	Tender Offer w/ Consent	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/13/2017 Early 4/20/2017 Late	N/A	4/17/2017 Early 4/21/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADN9	N/A	100,000
512376335	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	3/17/2017	N/A	4/10/2017	4/19/2017	4/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 41.87	N/A	N/A	N/A	100,000
512376336	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJS1	540 - Collateralized Mtge Obligation or Global CMO	Principal	3/17/2017	N/A	4/11/2017	4/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 13.444782	N/A	N/A	N/A	100,000
512376337	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJS1	540 - Collateralized Mtge Obligation or Global CMO	Interest	3/17/2017	N/A	4/11/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.566931	N/A	N/A	N/A	100,000
512376370	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	3/17/2017	N/A	4/11/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.225511	N/A	N/A	N/A	100,000
512376339	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	3/17/2017	N/A	4/13/2017	4/21/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.11778	N/A	N/A	N/A	100,000
512376371	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	3/17/2017	N/A	4/11/2017	4/20/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.11	N/A	N/A	N/A	100,000
512376340	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	3/17/2017	4/11/2017	4/12/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.31	N/A	N/A	N/A	10,000
512376341	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	3/17/2017	4/12/2017	4/13/2017	4/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.227	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/18/2017	4/20/2017	N/A	N/A	See RIPS event for subscription details	See RIPS event for subscription details	N/A	203668108	10,000
N/A**	74348T102	PROSPECT CAPITAL CORPORATION RR	761 - Closed End Fund	Tender Offer	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/17/2017	4/19/2017	4/20/2017	N/A	\$ 41.99	N/A	743990764	N/A	10,000
512376342	67076B103	UIT NUVEEN UNIT INVNT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	3/17/2017	N/A	4/13/2017	4/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.2559	N/A	N/A	N/A	10,000
N/A**	46136W216	UIT INVESCO UNI BE+	795 - Unit Investment Trust	IVORS*****	3/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/19/2017	N/A	N/A	N/A	See IVIQ/IVOR for details	See IVIQ/IVOR for details	N/A	See IVIQ/IVOR for details	10,000

Important Considerations:
 *When a field is marked N/A it will usually not be applicable for this event with the exception being where Elective Dividend Services apply in certain cases such as Tax Relief and DRIP. Participants may apply instructions in these cases but it is not mandatory that they do so
 ** The CA ID will be populated and available when the announcement has been generated in DTCC's Corporate Actions systems
 *** Participants testing the Voluntary and Mandatory Reorganizations events are part of the T2 Industry Test should refer to the Participant Terminal System (PTS) RIPS and Participant Browser System (PBS) Reorganizations and Redemptions functions for event level information.
 **** The DTC Contra CUSIP will be available when the event has been created in DTCC's Corporate Actions systems
 ***** The DTC Disbursed CUSIP will be available when the event has been created in DTCC's Corporate Actions systems
 ***** Participants testing Rights Subscriptions in the PTS PSOP and PBS Rights Subscriptions functions should refer to the event details in PTS/PBS for subscription level information
 ***** Participants testing IVORS should refer to the redemption/rollover details in PTS/PBS Instructions Submission and Inquiries functions for further details
 ***** Due Bill Redemption Date is the first date that Due Bills can be redeemed and should be considered allocation date. This column is not to be confused with the CA Web Due Bill Redemption Date data element which is mapped to Due Bill Off Date



CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 6 (April 24, 2017 - May 5, 2017) - AMENDED - See Cells Highlighted in Yellow

CA ID	CUSIP	Security Description	Product Type	Event Type	Announced Date	Ex Date	Record Date	Payable Date	Due Bill Off	Due Bill Redemption Date*****	Effective Date	DTC Instruction Expiration Date	DTC Cover/Protect Expiration Date	DTC Anticipated Pay Date	Publication Date	Cash Rate	Security Rate	DTC Contra CUSIP	Disbursed CUSIP	DTC Security Positions
512376345	192422103	COGNEX	10 - Common Stock	Cash Dividend	3/17/2017	4/25/2017	4/26/2017	5/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.49	N/A	N/A	N/A	10,000
512376346	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	3/17/2017	4/27/2017	5/1/2017	5/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	12628R107	10,000
512376347	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	3/17/2017	4/28/2017	4/24/2017	4/27/2017	5/2/2017	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	232806109	10,000
512376348	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	3/17/2017	5/2/2017	4/26/2017	5/1/2017	5/3/2017	5/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	827048109	10,000
512376349	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	3/17/2017	4/26/2017	4/27/2017	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	203668116	10,000
N/A**	553031106	MGP INDGREDIENTS INC +	10 - Common Stock	Tender Offer	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/3/2017	N/A	5/4/2017	N/A	\$ 20.51	N/A	553990649	N/A	10,000
512376350	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	3/17/2017	5/3/2017	4/25/2017	5/2/2017	5/4/2017	5/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	680194107	10,000
512376351	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	3/17/2017	5/3/2017	4/26/2017	5/2/2017	5/4/2017	5/5/2017	N/A	N/A	N/A	N/A	N/A	\$ 12.56	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	3/17/2017	N/A	N/A	N/A	N/A	N/A	5/2/2017	N/A	N/A	5/3/2017	N/A	N/A	1.3	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INCL	10 - Common Stock	Cash Merger	3/17/2017	N/A	N/A	N/A	N/A	N/A	5/1/2017	N/A	N/A	5/2/2017	N/A	\$ 56.79	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/2/2017	5/4/2017	5/5/2017	N/A	N/A	4.11	989990866	04014H108	10,000
512376352	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	3/17/2017	4/28/2017	5/1/2017	5/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.111	N/A	N/A	N/A	10,000
512376353	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	3/17/2017	4/27/2017	4/28/2017	5/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.81	N/A	N/A	N/A	10,000
512376354	318672607	FPD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	3/17/2017	5/3/2017	4/25/2017	5/2/2017	5/4/2017	5/5/2017	N/A	N/A	N/A	N/A	N/A	\$ 20.21	N/A	N/A	N/A	10,000
512376355	376536207	FPD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	3/17/2017	5/1/2017	5/2/2017	5/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.6001	N/A	N/A	N/A	10,000
512376356	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	3/17/2017	4/25/2017	4/26/2017	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.431	N/A	N/A	N/A	10,000
512376357	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	3/17/2017	4/25/2017	4/26/2017	5/3/2017	N/A	N/A	N/A	5/2/2017	N/A	N/A	N/A	\$ 1.05	0.77	N/A	59160R102	10,000
512376358	108441205	BRIDGESTONECORPADR**	110 - American Depositary Receipt	Cash Dividend	3/17/2017	4/28/2017	5/1/2017	5/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.5871	N/A	N/A	N/A	10,000
512376359	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	3/17/2017	4/27/2017	4/28/2017	5/5/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.79	N/A	N/A	N/A	10,000
512376360	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	3/17/2017	N/A	4/25/2017	5/3/2017	5/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 22.35	N/A	N/A	N/A	100,000
The CA ID will be available on 4/26/17*	64966LU41	SVRDO NEW YORK N NY NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	4/26/2017	N/A	N/A	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/26/2017	\$ 1,000.00	N/A	N/A	N/A	100,000
N/A**	494550AY2	CB KINDER MORGAN ENRGY D02/12/08 5.950% FA18	500 - Corporate Bond (CB) or Global Corporate Bond (GCB)	Tender Offer w/ Consent	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	4/28/2017 Early 5/3/2017 Late	N/A	5/2/2017 Early 5/4/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADP4	N/A	100,000
512376361	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	3/17/2017	N/A	4/24/2017	5/2/2017	5/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 38.61	N/A	N/A	N/A	100,000
512376362	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	3/17/2017	N/A	4/25/2017	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 11.741221	N/A	N/A	N/A	100,000
512376363	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	3/17/2017	N/A	4/25/2017	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.778812	N/A	N/A	N/A	100,000
512376364	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	3/17/2017	N/A	4/26/2017	5/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.997741	N/A	N/A	N/A	100,000
512376365	83162CLK7	GOVT SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	3/17/2017	N/A	4/25/2017	5/3/2017	5/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.00013	N/A	N/A	N/A	100,000
512376366	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	3/17/2017	N/A	4/24/2017	5/2/2017	5/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.98	N/A	N/A	N/A	100,000
512376367	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	3/17/2017	4/25/2017	4/26/2017	5/3/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.79	N/A	N/A	N/A	10,000
512376368	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	3/17/2017	4/24/2017	4/25/2017	5/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.991	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/2/2017	5/4/2017	N/A	N/A	See RIPS event for subscription details	See RIPS event for subscription details	N/A	203668108	10,000
N/A**	74348T102	PROSPECT CAPITAL CORPORATION RR	761 - Closed End Fund	Tender Offer	3/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/2/2017	5/4/2017	5/5/2017	N/A	\$ 37.41	N/A	743991069	N/A	10,000
512376369	67076B103	UIT NUVEEN UNIT INVNT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	3/17/2017	N/A	4/28/2017	5/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.3331	N/A	N/A	N/A	10,000
N/A**	46136W224	UIT INVESCO UNI BE+	795 - Unit Investment Trust	IVORS*****	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/3/2017	N/A	N/A	N/A	See IVIQ/IVOR for details	See IVIQ/IVOR for details	N/A	See IVIQ/IVOR for details	10,000

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CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 7 (May 8, 2017 - May 19, 2017)

CA ID	CUSIP	Security Description	Product Type	Event Type	Announced Date	Ex Date	Record Date	Payable Date	Due Bill Off	Due Bill Redemption Date*****	Effective Date	DTC Instruction Expiration Date	DTC Cover/Protect Expiration Date	DTC Anticipated Pay Date	Publication Date	Cash Rate	Security Rate	DTC Contra CUSIP	Disbursed CUSIP	DTC Security Positions
512425046	192422103	COGNEX	10 - Common Stock	Cash Dividend	3/20/2017	5/9/2017	5/10/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.31	N/A	N/A	N/A	10,000
512425047	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	3/20/2017	5/11/2017	5/12/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	12628R107	10,000
512425048	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	3/20/2017	5/17/2017	5/9/2017	5/16/2017	5/18/2017	5/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	232806109	10,000
512425049	458665304	INTERFACE INC-	10 - Common Stock	Spin Off	3/20/2017	5/15/2017	5/8/2017	5/12/2017	5/16/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	827048109	10,000
512425050	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	3/20/2017	5/8/2017	5/9/2017	5/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	203668116	10,000
N/A**	55303J106	MGP INGREDIENTS INC +	10 - Common Stock	Tender Offer	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/18/2017	N/A	5/19/2017	N/A	\$ 17.61	N/A	553990656	N/A	10,000
512425051	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	3/20/2017	5/12/2017	5/9/2017	5/11/2017	5/15/2017	5/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	680194107	10,000
512425052	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	3/20/2017	5/11/2017	5/9/2017	5/10/2017	5/12/2017	5/15/2017	N/A	N/A	N/A	N/A	N/A	\$ 10.78	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	3/20/2017	N/A	N/A	N/A	N/A	N/A	5/15/2017	N/A	N/A	5/16/2017	N/A	N/A	1.7	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INC L	10 - Common Stock	Cash Merger	3/20/2017	N/A	N/A	N/A	N/A	N/A	5/17/2017	N/A	N/A	5/18/2017	N/A	\$ 47.88	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/16/2017	5/18/2017	5/19/2017	N/A	N/A	3.55	989990932	04014H108	10,000
512425053	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	3/20/2017	5/10/2017	5/11/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.001	N/A	N/A	N/A	10,000
512425054	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	3/20/2017	5/11/2017	5/12/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.65	N/A	N/A	N/A	10,000
512425055	318672607	PFDFIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	3/20/2017	5/11/2017	5/8/2017	5/10/2017	5/12/2017	5/15/2017	N/A	N/A	N/A	N/A	N/A	\$ 18.74	N/A	N/A	N/A	10,000
512425056	376536207	PFDFGLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	3/20/2017	5/9/2017	5/10/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.3512	N/A	N/A	N/A	10,000
512425057	72200U209	\$ARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	3/20/2017	5/15/2017	5/16/2017	5/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.559	N/A	N/A	N/A	10,000
512425058	59160R102	ADR METRO AG F	110 - American Depository Receipt	Optional Dividend	3/20/2017	5/8/2017	5/9/2017	5/18/2017	N/A	N/A	N/A	5/17/2017	N/A	N/A	N/A	\$ 0.99	1.00	N/A	59160R102	10,000
512425059	108441205	BRIDGESTONECORPADR**	110 - American Depository Receipt	Cash Dividend	3/20/2017	5/16/2017	5/17/2017	5/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.6647	N/A	N/A	N/A	10,000
512425060	47103U100	ETF JANUS DETROIT STR BE<	110 - Exchange Traded Funds	Cash Dividend	3/20/2017	5/12/2017	5/15/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.71	N/A	N/A	N/A	10,000
512425061	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	3/20/2017	N/A	5/10/2017	5/18/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 19.63	N/A	N/A	N/A	100,000
The CA ID will be available on 5/9/17**	64966LU41	\$VRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	5/9/2017	N/A	N/A	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/9/2017	\$ 1,000.00	N/A	N/A	N/A	100,000
N/A**	494550AY2	CB KINDER MORGAN ENRGY D02/12/08 5.950% FA18	500 - Corporate Bond (CB) or Global Corporate Bond (GCB)	Tender Offer w/ Consent	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/12/2017 Early 5/17/2017 Late	N/A	5/15/2017 Early 5/18/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADQ2	N/A	100,000
512425062	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	3/20/2017	N/A	5/9/2017	5/19/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 29.17	N/A	N/A	N/A	100,000
512425063	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	3/20/2017	N/A	5/10/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 10.817745	N/A	N/A	N/A	100,000
512425064	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	3/20/2017	N/A	5/10/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.000154	N/A	N/A	N/A	100,000
512425065	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	3/20/2017	N/A	5/8/2017	5/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.017785	N/A	N/A	N/A	100,000
512425066	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	3/20/2017	N/A	5/9/2017	5/18/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.77881	N/A	N/A	N/A	100,000
512425067	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	3/20/2017	N/A	5/10/2017	5/19/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.07	N/A	N/A	N/A	100,000
512425068	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	3/20/2017	5/9/2017	5/10/2017	5/19/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.11	N/A	N/A	N/A	10,000
512425069	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	3/20/2017	5/10/2017	5/11/2017	5/17/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.556	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/16/2017	5/18/2017	N/A	N/A	See RIPS event for subscription details	See RIPS event for subscription details	N/A	203668108	10,000
N/A**	74348T102	PROSPECT CAPITAL CORPORATION RR	761 - Closed End Fund	Tender Offer	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/16/2017	5/18/2017	5/19/2017	N/A	\$ 41.99	N/A	743991515	N/A	10,000
512425070	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	3/20/2017	N/A	5/12/2017	5/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.8741	N/A	N/A	N/A	10,000
N/A**	46136W232	UIT INVECO UNI BE+	795 - Unit Investment Trust	IVORS*****	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/17/2017	N/A	N/A	N/A	See IVIQ/IVOR for details	See IVIQ/IVOR for details	N/A	See IVIQ/IVOR for details	10,000

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CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 8 (May 22, 2017 - June 2, 2017)

CA ID	CUSIP	Security Description	Product Type	Event Type	Announced Date	Ex Date	Record Date	Payable Date	Due Bill Off	Due Bill Redemption Date*****	Effective Date	DTC Instruction Expiration Date	DTC Cover/Protect Expiration Date	DTC Anticipated Pay Date	Publication Date	Cash Rate	Security Rate	DTC Contra CUSIP	Disbursed CUSIP	DTC Security Positions
512425072	192422103	COGNEX	10 - Common Stock	Cash Dividend	3/20/2017	5/23/2017	5/24/2017	5/30/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.48	N/A	N/A	N/A	10,000
512425073	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	3/20/2017	5/25/2017	5/26/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	12628R107	10,000
512425074	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	3/20/2017	5/30/2017	5/23/2017	5/26/2017	5/31/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	232806109	10,000
512425075	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	3/20/2017	5/31/2017	5/24/2017	5/30/2017	6/1/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	827048109	10,000
512425076	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	3/20/2017	5/22/2017	5/23/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	203668116	10,000
N/A**	55303106	MGP INDGREDIENTS INC +	10 - Common Stock	Tender Offer	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/31/2017	N/A	6/1/2017	N/A	\$ 24.86	N/A	553990821	N/A	10,000
512425077	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	3/20/2017	5/31/2017	5/24/2017	5/30/2017	6/1/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	680194107	10,000
512425078	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	3/20/2017	5/30/2017	5/23/2017	5/26/2017	5/31/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	\$ 12.73	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	3/20/2017	N/A	N/A	N/A	N/A	N/A	5/30/2017	N/A	N/A	5/31/2017	N/A	N/A	2.3	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INCL	10 - Common Stock	Cash Merger	3/20/2017	N/A	N/A	N/A	N/A	N/A	6/1/2017	N/A	N/A	6/2/2017	N/A	\$ 53.06	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/30/2017	6/1/2017	6/2/2017	N/A	N/A	4.24	989990981	04014H108	10,000
512425079	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	3/20/2017	5/22/2017	5/23/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.997	N/A	N/A	N/A	10,000
512425080	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	3/20/2017	5/25/2017	5/26/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.77	N/A	N/A	N/A	10,000
512425081	318672607	FPD FIRST BANCORP P RR	20 - Preferred Stock	Cash Dividend	3/20/2017	5/31/2017	5/24/2017	5/30/2017	6/1/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	\$ 17.93	N/A	N/A	N/A	10,000
512425082	376536207	FPD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	3/20/2017	5/24/2017	5/25/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.2158	N/A	N/A	N/A	10,000
512425083	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	3/20/2017	5/30/2017	5/31/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.888	N/A	N/A	N/A	10,000
512425084	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	3/20/2017	5/22/2017	5/23/2017	6/1/2017	N/A	N/A	N/A	5/31/2017	N/A	N/A	N/A	\$ 1.79	1.15	N/A	59160R102	10,000
512425085	108441205	BRIDGESTONECORPADR**	110 - American Depositary Receipt	Cash Dividend	3/20/2017	5/24/2017	5/25/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.3597	N/A	N/A	N/A	10,000
512425086	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	3/20/2017	5/25/2017	5/26/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.54	N/A	N/A	N/A	10,000
512425087	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	3/20/2017	N/A	5/24/2017	6/1/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 20.09	N/A	N/A	N/A	100,000
The CA ID will be available on 5/24/17*	64966LU41	SVRDO NEW YORK N NY NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	5/24/2017	N/A	N/A	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/24/2017	\$ 1,000.00	N/A	N/A	N/A	100,000
N/A**	494550AY2	CB KINDER MORGAN ENRGY D02/12/08 5.950% FA18	500 - Corporate Bond (CB) or Global Corporate Bond (GCB)	Tender Offer w/ Consent	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/30/2017 Early 6/1/2017 Late	N/A	5/31/2017 Early 6/2/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADRO	N/A	100,000
512425088	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	3/20/2017	N/A	5/23/2017	6/1/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 17.89	N/A	N/A	N/A	100,000
512425089	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	3/20/2017	N/A	5/26/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 9.653287	N/A	N/A	N/A	100,000
512425090	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	3/20/2017	N/A	5/26/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.666733	N/A	N/A	N/A	100,000
512425091	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	3/20/2017	N/A	5/24/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.999741	N/A	N/A	N/A	100,000
512425092	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	3/20/2017	N/A	5/25/2017	6/1/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.22378	N/A	N/A	N/A	100,000
512425093	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	3/20/2017	N/A	5/26/2017	6/2/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.44	N/A	N/A	N/A	100,000
512425094	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	3/20/2017	5/24/2017	5/25/2017	6/1/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.19	N/A	N/A	N/A	10,000
512425095	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	3/20/2017	5/25/2017	5/26/2017	6/2/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.646	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/30/2017	6/1/2017	N/A	N/A	See RIPS event for subscription details	See RIPS event for subscription details	N/A	203668108	10,000
N/A**	74348T102	PROSPECT CAPITAL CORPORATION RR	761 - Closed End Fund	Tender Offer	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/30/2017	6/1/2017	6/2/2017	N/A	\$ 55.79	N/A	743992257	N/A	10,000
512425096	67076B103	UIT NUVEEN UNIT INVNT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	3/20/2017	N/A	5/26/2017	5/31/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.7739	N/A	N/A	N/A	10,000
N/A**	00773A623	UIT ADVISORS DISCIPLI	795 - Unit Investment Trust	IVORS*****	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	5/30/2017	N/A	N/A	N/A	See IVIQ/IVOR for details	See IVIQ/IVOR for details	N/A	See IVIQ/IVOR for details	10,000

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