



CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 9 (June 5, 2017 - June 16, 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
513314273	192422103	COGNEX	10 - Common Stock	Cash Dividend	5/25/2017	6/6/2017	6/7/2017	6/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.59	N/A	N/A	N/A	10,000
513314274	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	5/25/2017	6/7/2017	6/8/2017	6/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	1.5	N/A	12628R107	10,000
513314275	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	5/25/2017	6/13/2017	6/6/2017	6/12/2017	6/14/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	232806109	10,000
513314276	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	5/25/2017	6/14/2017	6/6/2017	6/13/2017	6/15/2017	6/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	827048109	10,000
513314277	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	5/25/2017	6/9/2017	6/12/2017	6/15/2017	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**	55303J106	MGP INDGREDIENTS INC +	10 - Common Stock	Tender Offer	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/14/2017	N/A	6/15/2017	N/A	\$ 27.88	N/A	553990854	N/A	10,000
513314278	680194107	QLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	5/25/2017	6/14/2017	6/5/2017	6/13/2017	6/15/2017	6/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	680194107	10,000
513314279	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	5/25/2017	6/13/2017	6/8/2017	6/12/2017	6/14/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	\$ 8.33	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	5/25/2017	N/A	N/A	N/A	N/A	N/A	6/14/2017	N/A	N/A	6/15/2017	N/A	N/A	1.7	N/A	896095304	10,000
N/A**	43708L108	HOMER FED BANCORP INC L	10 - Common Stock	Cash Merger	5/25/2017	N/A	N/A	N/A	N/A	N/A	6/13/2017	N/A	N/A	6/14/2017	N/A	\$ 72.45	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	5/25/2017	N/A	N/A	N/A	N/A	N/A	6/12/2017	6/14/2017	6/15/2017	N/A	N/A	5.50	989991187	04014H108	10,000	
513314280	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	5/25/2017	6/8/2017	6/9/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.031	N/A	N/A	N/A	10,000
513314281	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	5/25/2017	6/9/2017	6/12/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.13	N/A	N/A	N/A	10,000
513314282	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	5/25/2017	6/14/2017	6/8/2017	6/13/2017	6/15/2017	6/16/2017	N/A	N/A	N/A	N/A	N/A	\$ 15.99	N/A	N/A	N/A	10,000
513314283	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	5/25/2017	6/12/2017	6/13/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.3698	N/A	N/A	N/A	10,000
513314284	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	5/25/2017	6/6/2017	6/7/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.777	N/A	N/A	N/A	10,000
513314285	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	5/25/2017	6/6/2017	6/7/2017	6/16/2017	N/A	N/A	N/A	6/14/2017	N/A	N/A	N/A	\$ 0.99	2.00	N/A	59160R102	10,000
513314286	108441205	BRIDGESTONCORPADR*+	110 - American Depositary Receipt	Cash Dividend	5/25/2017	6/9/2017	6/12/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.4431	N/A	N/A	N/A	10,000
513314287	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	5/25/2017	6/8/2017	6/9/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.76	N/A	N/A	N/A	10,000
513314288	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	5/25/2017	N/A	6/6/2017	6/15/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 15.68	N/A	N/A	N/A	100,000
The CA ID will be available on 6/9/17*	64966LU41	SVRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	5/25/2017	N/A	N/A	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/9/2017	\$ 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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/9/2017 Early 6/14/2017 Late	N/A	6/12/2017 Early 6/15/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499AD58	N/A	100,000
513314289	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	5/25/2017	N/A	6/9/2017	6/15/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 8.53	N/A	N/A	N/A	100,000
513314290	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% J151	540 - Collateralized Mtge Obligation or Global CMO	Principal	5/25/2017	N/A	6/8/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.341227	N/A	N/A	N/A	100,000
513314291	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% J151	540 - Collateralized Mtge Obligation or Global CMO	Interest	5/25/2017	N/A	6/8/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.874592	N/A	N/A	N/A	100,000
513314292	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% J122	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	5/25/2017	N/A	6/12/2017	6/16/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.145982	N/A	N/A	N/A	100,000
513314293	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	5/25/2017	N/A	6/6/2017	6/15/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.58732	N/A	N/A	N/A	100,000
513314294	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	5/25/2017	N/A	6/7/2017	6/15/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.17	N/A	N/A	N/A	100,000
513314295	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	5/25/2017	6/8/2017	6/9/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.81	N/A	N/A	N/A	10,000
513314296	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	5/25/2017	6/7/2017	6/8/2017	6/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.779	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/12/2017	6/14/2017	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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/9/2017	6/13/2017	6/14/2017	N/A	\$ 63.59	N/A	743992802	N/A	10,000
513314297	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	5/25/2017	N/A	6/5/2017	6/15/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.2345	N/A	N/A	N/A	10,000
N/A**	61766G100	MORGAN STANLEY GLOBAL INVT	795 - Unit Investment Trust	IVORS*****	5/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/13/2017	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 10 (June 19, 2017 - June 30, 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
513314298	192422103	COGNEX	10 - Common Stock	Cash Dividend	5/25/2017	6/21/2017	6/22/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.72	N/A	N/A	N/A	10,000
513314299	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	5/25/2017	6/23/2017	6/26/2017	6/29/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	12628R107	10,000
513314300	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	5/25/2017	6/23/2017	6/19/2017	6/22/2017	6/26/2017	6/27/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	232806109	10,000
513314301	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	5/25/2017	6/26/2017	6/20/2017	6/23/2017	6/27/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	827048109	10,000
513314302	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	5/25/2017	6/26/2017	6/27/2017	6/29/2017	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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/27/2017	N/A	6/28/2017	N/A	\$ 34.19	N/A	553991100	N/A	10,000
513314303	680194107	QLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	5/25/2017	6/27/2017	6/20/2017	6/26/2017	6/28/2017	6/29/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	680194107	10,000
513314304	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	5/25/2017	6/23/2017	6/19/2017	6/22/2017	6/26/2017	6/27/2017	N/A	N/A	N/A	N/A	N/A	\$ 12.66	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	5/25/2017	N/A	N/A	N/A	N/A	N/A	6/27/2017	N/A	N/A	6/28/2017	N/A	N/A	2.25	N/A	896095304	10,000
N/A**	43708L108	HOMER FED BANCORP INC L	10 - Common Stock	Cash Merger	5/25/2017	N/A	N/A	N/A	N/A	N/A	6/28/2017	N/A	N/A	6/29/2017	N/A	\$ 43.51	N/A	N/A	N/A	10,000
N/A**	989871101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	5/25/2017	N/A	N/A	N/A	N/A	N/A	6/23/2017	6/27/2017	6/28/2017	N/A	N/A	N/A	4.70	989991195	04014H108	10,000
513314305	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	5/25/2017	6/22/2017	6/23/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.471	N/A	N/A	N/A	10,000
513314306	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	5/25/2017	6/23/2017	6/26/2017	6/30/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.999	N/A	N/A	N/A	10,000
513314307	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	5/25/2017	6/26/2017	6/19/2017	6/23/2017	6/27/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	\$ 8.77	N/A	N/A	N/A	10,000
513314308	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	5/25/2017	6/21/2017	6/22/2017	6/27/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.5473	N/A	N/A	N/A	10,000
513314309	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	5/25/2017	6/22/2017	6/23/2017	6/29/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.555	N/A	N/A	N/A	10,000
513314310	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	5/25/2017	6/20/2017	6/21/2017	6/28/2017	N/A	N/A	N/A	6/27/2017	N/A	N/A	N/A	\$ 1.04	1.50	N/A	59160R102	10,000
513314311	108441205	BRIDGESTONCORPADR*+	110 - American Depositary Receipt	Cash Dividend	5/25/2017	6/21/2017	6/22/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.6681	N/A	N/A	N/A	10,000
513314312	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	5/25/2017	6/23/2017	6/26/2017	6/30/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.89	N/A	N/A	N/A	10,000
513314313	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	5/25/2017	N/A	6/19/2017	6/29/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 14.34	N/A	N/A	N/A	100,000
The CA ID will be available on 6/21/17*	64966L41	SVRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	5/30/2017	N/A	N/A	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/21/2017	\$ 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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/22/2017 Early 6/28/2017 Late	N/A	6/23/2017 Early 6/29/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADT6	N/A	100,000
513314314	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	5/25/2017	N/A	6/22/2017	6/29/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.77	N/A	N/A	N/A	100,000
513314315	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	5/25/2017	N/A	6/23/2017	6/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.553134	N/A	N/A	N/A	100,000
513314316	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	5/25/2017	N/A	6/23/2017	6/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.222113	N/A	N/A	N/A	100,000
513314317	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	5/25/2017	N/A	6/21/2017	6/30/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 5.277781	N/A	N/A	N/A	100,000
513314318	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	5/25/2017	N/A	6/19/2017	6/29/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.66722	N/A	N/A	N/A	100,000
513314319	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	5/25/2017	N/A	6/20/2017	6/30/2017	6/29/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.33	N/A	N/A	N/A	100,000
513314320	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	5/25/2017	6/21/2017	6/22/2017	6/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.11	N/A	N/A	N/A	10,000
513314321	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	5/25/2017	6/22/2017	6/23/2017	6/30/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.145	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/26/2017	6/28/2017	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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/27/2017	6/29/2017	6/30/2017	N/A	\$ 72.72	N/A	743992851	N/A	10,000
513314322	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	5/25/2017	N/A	6/23/2017	6/27/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.7890	N/A	N/A	N/A	10,000
N/A**	61766G118	MORGAN STANLEY GLOBAL INVT	795 - Unit Investment Trust	IVORS*****	5/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	6/27/2017	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 11 (July 3, 2017 - July 14, 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
513314323	192422103	COGNEX	10 - Common Stock	Cash Dividend	5/25/2017	7/5/2017	7/6/2017	7/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.94	N/A	N/A	N/A	10,000
513314324	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	5/25/2017	7/6/2017	7/7/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0.75	N/A	12628R107	10,000
513314325	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	5/25/2017	7/11/2017	7/5/2017	7/10/2017	7/12/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	232806109	10,000
513314326	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	5/25/2017	7/12/2017	7/3/2017	7/11/2017	7/13/2017	7/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	827048109	10,000
513314327	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	5/25/2017	7/7/2017	7/10/2017	7/12/2017	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**	55303J106	MGP INDGREDIENTS INC +	10 - Common Stock	Tender Offer	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/10/2017	N/A	7/11/2017	N/A	\$ 29.55	N/A	553993361	N/A	10,000
513314328	680194107	QLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	5/25/2017	7/10/2017	7/5/2017	7/7/2017	7/11/2017	7/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	4.0	N/A	680194107	10,000
513314329	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	5/25/2017	7/11/2017	7/5/2017	7/10/2017	7/12/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	\$ 13.33	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	5/25/2017	N/A	N/A	N/A	N/A	N/A	7/11/2017	N/A	N/A	7/12/2017	N/A	N/A	1.75	N/A	896095304	10,000
N/A**	43708L108	HOMER FED BANCORP INC L	10 - Common Stock	Cash Merger	5/25/2017	N/A	N/A	N/A	N/A	N/A	7/12/2017	N/A	N/A	7/13/2017	N/A	\$ 77.88	N/A	N/A	N/A	10,000
N/A**	989871101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	5/25/2017	N/A	N/A	N/A	N/A	N/A	7/10/2017	7/12/2017	7/13/2017	N/A	N/A	3.50	989992110	04014H108	10,000	
513314330	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	5/25/2017	7/7/2017	7/10/2017	7/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.223	N/A	N/A	N/A	10,000
513314331	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	5/25/2017	7/6/2017	7/7/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.111	N/A	N/A	N/A	10,000
513314332	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	5/25/2017	7/10/2017	7/5/2017	7/7/2017	7/11/2017	7/12/2017	N/A	N/A	N/A	N/A	N/A	\$ 11.49	N/A	N/A	N/A	10,000
513314333	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	5/25/2017	7/5/2017	7/6/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.6677	N/A	N/A	N/A	10,000
513314334	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	5/25/2017	7/10/2017	7/11/2017	7/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.041	N/A	N/A	N/A	10,000
513314335	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	5/25/2017	7/5/2017	7/6/2017	7/13/2017	N/A	N/A	N/A	7/12/2017	N/A	N/A	N/A	\$ 1.17	2.00	N/A	59160R102	10,000
513314336	108441205	BRIDGESTONCORPADR*+	110 - American Depositary Receipt	Cash Dividend	5/25/2017	7/10/2017	7/11/2017	7/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.5512	N/A	N/A	N/A	10,000
513314337	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	5/25/2017	7/5/2017	7/6/2017	7/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.41	N/A	N/A	N/A	10,000
513314338	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	5/25/2017	N/A	7/3/2017	7/13/2017	7/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 11.77	N/A	N/A	N/A	100,000
The CA ID will be available on 7/7/17*	64966L41	SVRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	5/31/2017	N/A	N/A	7/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/7/2017	\$ 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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/7/2017 Early 7/12/2017 Late	N/A	7/10/2017 Early 7/13/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499AD22	N/A	100,000
513314339	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	5/25/2017	N/A	7/3/2017	7/13/2017	7/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.711	N/A	N/A	N/A	100,000
513314340	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% J51	540 - Collateralized Mtge Obligation or Global CMO	Principal	5/25/2017	N/A	7/7/2017	7/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.798814	N/A	N/A	N/A	100,000
513314341	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% J51	540 - Collateralized Mtge Obligation or Global CMO	Interest	5/25/2017	N/A	7/7/2017	7/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.777888	N/A	N/A	N/A	100,000
513314342	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% J22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	5/25/2017	N/A	7/5/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.995231	N/A	N/A	N/A	100,000
513314343	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	5/25/2017	N/A	7/6/2017	7/14/2017	7/13/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.11331	N/A	N/A	N/A	100,000
513314344	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	5/25/2017	N/A	7/7/2017	7/13/2017	7/12/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.55	N/A	N/A	N/A	100,000
513314345	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	5/25/2017	7/5/2017	7/6/2017	7/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.22	N/A	N/A	N/A	10,000
513314346	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	5/25/2017	7/7/2017	7/10/2017	7/14/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.664	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/10/2017	7/12/2017	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	5/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/11/2017	7/13/2017	7/14/2017	N/A	\$ 34.34	N/A	743996803	N/A	10,000
513314347	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	5/25/2017	N/A	7/10/2017	7/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.7891	N/A	N/A	N/A	10,000
N/A**	28778H103	ELKHORN UNIT TR SER B	795 - Unit Investment Trust	IVORS*****	5/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/11/2017	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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