



CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 3 (March 13, 2017 - March 24, 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)
512183286	192422103	COGNEX	10 - Common Stock	Cash Dividend	3/7/2017	3/14/2017	3/15/2017	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.25	N/A	N/A	N/A	10,000
512183287	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	3/7/2017	3/15/2017	3/16/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	1.4	N/A	12628R107	10,000
512183288	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	3/7/2017	3/17/2017	3/14/2017	3/16/2017	3/20/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	2	N/A	232806109	10,000
512183289	458665304	INTERFACE INC+	10 - Common Stock	Spin Off	3/7/2017	3/20/2017	3/15/2017	3/17/2017	3/21/2017	3/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	827048109	10,000
512183290	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	3/7/2017	3/14/2017	3/15/2017	3/21/2017	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	3/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/17/2017	N/A	3/20/2017	N/A	\$ 23.50	N/A	553990607	N/A	10,000
512183291	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	3/7/2017	3/16/2017	3/13/2017	3/15/2017	3/17/2017	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	680194107	10,000
512183292	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	3/7/2017	3/17/2017	3/14/2017	3/16/2017	3/20/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	\$ 5.78	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	3/8/2017	N/A	N/A	N/A	N/A	N/A	3/20/2017	N/A	N/A	3/21/2017	N/A	N/A	2.0	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INCL	10 - Common Stock	Cash Merger	3/8/2017	N/A	N/A	N/A	N/A	N/A	3/16/2017	N/A	N/A	3/17/2017	N/A	\$ 19.55	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	3/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/20/2017	3/22/2017	3/23/2017	N/A	2.75	989990288	04014H108	10,000	
512183293	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	3/7/2017	3/20/2017	3/21/2017	3/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.997	N/A	N/A	N/A	10,000
512183294	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	3/7/2017	3/17/2017	3/20/2017	3/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.33	N/A	N/A	N/A	10,000
512183295	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	3/7/2017	3/17/2017	3/14/2017	3/16/2017	3/20/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	\$ 15.59	N/A	N/A	N/A	10,000
512183296	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	3/7/2017	3/20/2017	3/21/2017	3/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.3658	N/A	N/A	N/A	10,000
512183297	72200U209	SARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	3/7/2017	3/14/2017	3/15/2017	3/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.118	N/A	N/A	N/A	10,000
512183298	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	3/7/2017	3/14/2017	3/15/2017	3/23/2017	N/A	N/A	N/A	3/22/2017	N/A	N/A	N/A	\$ 0.46	0.55	N/A	59160R102	10,000
512183299	108441205	BRIDGESTONECORPADR*+	110 - American Depositary Receipt	Cash Dividend	3/7/2017	3/14/2017	3/15/2017	3/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.7788	N/A	N/A	N/A	10,000
512183300	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	3/7/2017	3/15/2017	3/16/2017	3/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.97	N/A	N/A	N/A	10,000
512183301	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	3/7/2017	N/A	3/14/2017	3/23/2017	3/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 27.44	N/A	N/A	N/A	100,000
The CA ID will be available on 3/15/17*	64966LU41	SVRDO NEW YORK N NY NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	3/15/2017	N/A	N/A	3/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/15/2017	\$ 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	3/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/16/2017 (Early) 3/22/2017 (Late)	N/A	3/20/2017 (Early) 3/23/2017 (Late)	N/A	\$1000 + \$30 Consent Fee	N/A	49499ADL3	N/A	100,000
512183302	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	3/7/2017	N/A	3/14/2017	3/24/2017	3/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 55.23	N/A	N/A	N/A	100,000
512183303	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	3/7/2017	N/A	3/15/2017	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 14.533772	N/A	N/A	N/A	100,000
512183304	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	3/7/2017	N/A	3/15/2017	3/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.498881	N/A	N/A	N/A	100,000
512183310	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Final Payout	3/7/2017	N/A	N/A	3/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.667821	N/A	N/A	N/A	100,000
512183305	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	3/7/2017	N/A	3/17/2017	3/23/2017	3/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.11152	N/A	N/A	N/A	100,000
512183306	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	3/7/2017	N/A	3/13/2017	3/22/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.23	N/A	N/A	N/A	100,000
512183307	29364P202	ENERGY NEW ORLEANS INC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	3/7/2017	3/16/2017	3/17/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.59	N/A	N/A	N/A	10,000
512183308	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	3/7/2017	3/15/2017	3/16/2017	3/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.189	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	3/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/20/2017	3/22/2017	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	3/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/16/2017	3/20/2017	3/21/2017	N/A	\$ 40.33	N/A	743990335	N/A	10,000
512183309	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	3/7/2017	3/17/2017	3/20/2017	3/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.7770	N/A	N/A	N/A	10,000
N/A**	46136W158	UIT INVESCO UNI BE+	795 - Unit Investment Trust	IVORS*****	3/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	3/20/2017	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

Please Note

Beginning Test Cycle 2, all DTC Clients are automatically assigned 100,000 shares in Corporate Action test CUSIPs that are fixed income security types, and 10,000 shares in all other (non-Fixed income security types) Corporate Action test CUSIPs. DTC will refresh these security positions at the beginning of each T+2 test cycle.