



CORPORATE ACTION (CA) TEST EVENTS FOR T+2 TEST CYCLE 12 (July 17, 2017 - July 28, 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	
513820534	192422103	COGNEX	10 - Common Stock	Cash Dividend	7/7/2017	7/19/2017	7/20/2017	7/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.79	N/A	N/A	N/A	10,000	
513820535	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	7/7/2017	7/18/2017	7/19/2017	7/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0.66	N/A	N/A	12628R107	10,000
513820536	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	7/7/2017	7/24/2017	7/18/2017	7/21/2017	7/25/2017	7/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	N/A	232806109	10,000
513820537	458665304	INTERFACE INC-	10 - Common Stock	Spin Off	7/7/2017	7/25/2017	7/17/2017	7/24/2017	7/26/2017	7/27/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	N/A	827048109	10,000
513820538	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	7/7/2017	7/21/2017	7/24/2017	7/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	N/A	203668116	10,000
N/A**	55303J106	MGP INGREDIENTS INC +	10 - Common Stock	Tender Offer	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/25/2017	N/A	7/26/2017	N/A	\$ 34.34	N/A	553993387	N/A	10,000	
513820539	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	7/7/2017	7/26/2017	7/20/2017	7/25/2017	7/27/2017	7/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	N/A	680194107	10,000
513820540	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	7/7/2017	7/24/2017	7/18/2017	7/21/2017	7/25/2017	7/26/2017	N/A	N/A	N/A	N/A	N/A	\$ 24.34	N/A	N/A	N/A	10,000	
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	7/7/2017	N/A	N/A	N/A	N/A	N/A	7/20/2017	N/A	N/A	7/21/2017	N/A	N/A	2.11	N/A	896095304	10,000	
N/A**	43708L108	HOME FED BANCORP INC L	10 - Common Stock	Cash Merger	7/7/2017	N/A	N/A	N/A	N/A	N/A	7/21/2017	N/A	N/A	7/25/2017	N/A	\$ 58.33	N/A	N/A	N/A	10,000	
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	7/7/2017	N/A	N/A	N/A	N/A	N/A	7/24/2017	7/26/2017	7/27/2017	N/A	N/A	3.33	989992334	04014H108	10,000		
513820541	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	7/7/2017	7/24/2017	7/25/2017	7/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.441	N/A	N/A	N/A	10,000	
513820543	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	7/7/2017	7/20/2017	7/24/2017	7/27/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.333	N/A	N/A	N/A	10,000	
513820544	318672607	PF D FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	7/7/2017	7/21/2017	7/17/2017	7/20/2017	7/24/2017	7/25/2017	N/A	N/A	N/A	N/A	N/A	\$ 12.99	N/A	N/A	N/A	10,000	
513820545	376536207	PF D GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	7/7/2017	7/20/2017	7/21/2017	7/27/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.0517	N/A	N/A	N/A	10,000	
513820546	72200U209	\$ARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	7/7/2017	7/19/2017	7/20/2017	7/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.258	N/A	N/A	N/A	10,000	
513820547	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	7/7/2017	7/19/2017	7/20/2017	7/27/2017	N/A	N/A	N/A	7/26/2017	N/A	N/A	N/A	\$ 2.14	1.50	N/A	59160R102	10,000	
513820548	108441205	BRIDGESTONECORPADR**	110 - American Depositary Receipt	Cash Dividend	7/7/2017	7/21/2017	7/24/2017	7/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.7712	N/A	N/A	N/A	10,000	
513820549	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	7/7/2017	7/24/2017	7/25/2017	7/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.59	N/A	N/A	N/A	10,000	
513820551	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	7/7/2017	N/A	7/17/2017	7/26/2017	7/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 17.50	N/A	N/A	N/A	100,000	
The CA ID will be available on 7/18/17*	64966LU41	\$VRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	7/18/2017	N/A	N/A	7/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/18/2017	\$ 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	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/21/2017 Early 7/27/2017 Late	N/A	7/24/2017 Early 7/28/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499AE6	N/A	100,000	
513820552	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	7/7/2017	N/A	7/18/2017	7/27/2017	7/26/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 10.376	N/A	N/A	N/A	100,000	
513820553	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% J51	540 - Collateralized Mtge Obligation or Global CMO	Principal	7/7/2017	N/A	7/19/2017	7/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 8.779812	N/A	N/A	N/A	100,000	
513820554	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% J51	540 - Collateralized Mtge Obligation or Global CMO	Interest	7/7/2017	N/A	7/19/2017	7/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.314789	N/A	N/A	N/A	100,000	
513820555	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% J22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	7/7/2017	N/A	7/21/2017	7/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.291435	N/A	N/A	N/A	100,000	
513820556	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	7/7/2017	N/A	7/17/2017	7/25/2017	7/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.34571	N/A	N/A	N/A	100,000	
513820557	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	7/7/2017	N/A	7/18/2017	7/26/2017	7/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.81	N/A	N/A	N/A	100,000	
513820558	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	7/7/2017	7/18/2017	7/19/2017	7/20/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.14	N/A	N/A	N/A	10,000	
513820559	7427L2L08	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	7/7/2017	7/19/2017	7/20/2017	7/28/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.456	N/A	N/A	N/A	10,000	
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/24/2017	7/26/2017	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	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/25/2017	7/27/2017	7/28/2017	N/A	\$ 36.27	N/A	743996787	N/A	10,000	
513820560	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	7/7/2017	N/A	7/17/2017	7/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.9997	N/A	N/A	N/A	10,000	
N/A**	28778H111	ELKHORN UNIT TR SER 8	795 - Unit Investment Trust	IVORS*****	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	7/24/2017	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 13 (July 31, 2017 - August 11, 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
513820561	192422103	COGNEX	10 - Common Stock	Cash Dividend	7/7/2017	8/2/2017	8/3/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.87	N/A	N/A	N/A	10,000
513820562	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	7/7/2017	8/4/2017	8/7/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0.75	N/A	12628R107	10,000
513820563	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	7/7/2017	8/7/2017	8/1/2017	8/4/2017	8/8/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	232806109	10,000
513820564	458665304	INTERFACE INC-	10 - Common Stock	Spin Off	7/7/2017	8/8/2017	7/31/2017	8/7/2017	8/9/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	827048109	10,000
513820565	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	7/7/2017	7/31/2017	8/1/2017	8/7/2017	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 INGREDIENTS INC +	10 - Common Stock	Tender Offer	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/10/2017	N/A	8/11/2017	N/A	\$ 23.71	N/A	553993395	N/A	10,000
513820566	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	7/7/2017	8/9/2017	8/2/2017	8/8/2017	8/10/2017	8/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	680194107	10,000
513820567	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	7/7/2017	8/7/2017	8/1/2017	8/4/2017	8/8/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	\$ 17.34	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	7/7/2017	N/A	N/A	N/A	N/A	N/A	8/9/2017	N/A	N/A	8/10/2017	N/A	N/A	1.56	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INC L	10 - Common Stock	Cash Merger	7/7/2017	N/A	N/A	N/A	N/A	N/A	8/4/2017	N/A	N/A	8/7/2017	N/A	\$ 49.00	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/8/2017	8/10/2017	8/11/2017	N/A	N/A	4.44	989992342	04014H108	10,000
513820568	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	7/7/2017	8/4/2017	8/7/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.697	N/A	N/A	N/A	10,000
513820569	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	7/7/2017	8/7/2017	8/8/2017	8/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.995	N/A	N/A	N/A	10,000
513820570	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	7/7/2017	8/8/2017	7/31/2017	8/7/2017	8/9/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	\$ 15.01	N/A	N/A	N/A	10,000
513820571	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	7/7/2017	8/2/2017	8/3/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.1113	N/A	N/A	N/A	10,000
513820572	72200U209	\$ARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	7/7/2017	7/31/2017	8/1/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.333	N/A	N/A	N/A	10,000
513820573	59160R102	ADR METRO AG F	110 - American Depositary Receipt	Optional Dividend	7/7/2017	8/3/2017	8/4/2017	8/11/2017	N/A	N/A	N/A	8/10/2017	N/A	N/A	N/A	\$ 1.95	2.17	N/A	59160R102	10,000
513820574	108441205	BRIDGESTONECORPADR**+	110 - American Depositary Receipt	Cash Dividend	7/7/2017	8/4/2017	8/7/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.8419	N/A	N/A	N/A	10,000
513820575	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	7/7/2017	8/2/2017	8/3/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.61	N/A	N/A	N/A	10,000
513820576	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	7/7/2017	N/A	8/1/2017	8/10/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 10.62	N/A	N/A	N/A	100,000
The CA ID will be available on 8/3/17**	64966LU41	\$VRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	8/3/2017	N/A	N/A	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/3/2017	\$ 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	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/4/2017 Early 8/10/2017 Late	N/A	8/7/2017 Early 8/11/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499AEB4	N/A	100,000
513820577	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	7/7/2017	N/A	8/1/2017	8/9/2017	8/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 9.773	N/A	N/A	N/A	100,000
513820578	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	7/7/2017	N/A	8/3/2017	8/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.533137	N/A	N/A	N/A	100,000
513820579	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	7/7/2017	N/A	8/3/2017	8/11/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.794663	N/A	N/A	N/A	100,000
513820580	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	7/7/2017	N/A	8/7/2017	8/8/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 5.459971	N/A	N/A	N/A	100,000
513820581	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	7/7/2017	N/A	8/2/2017	8/7/2017	8/4/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.12399	N/A	N/A	N/A	100,000
513820582	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	7/7/2017	N/A	8/2/2017	8/11/2017	8/10/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.77	N/A	N/A	N/A	100,000
513820583	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	7/7/2017	8/4/2017	8/7/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.17	N/A	N/A	N/A	10,000
513820584	7427L2L08	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	7/7/2017	8/3/2017	8/4/2017	8/9/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 5.173	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/8/2017	8/10/2017	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	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/7/2017	8/9/2017	8/10/2017	N/A	\$ 24.31	N/A	743996837	N/A	10,000
513820585	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	7/7/2017	N/A	8/3/2017	8/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.0113	N/A	N/A	N/A	10,000
N/A**	28778H129	ELKHORN UNIT TR SER 8	795 - Unit Investment Trust	IVORS*****	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/7/2017	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 14 (August 14, 2017 - August 25, 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
513820586	192422103	COGNEX	10 - Common Stock	Cash Dividend	7/7/2017	8/16/2017	8/17/2017	8/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.61	N/A	N/A	N/A	10,000
513820587	12628R107	CSB BANCORP INC (OHIO)-	10 - Common Stock	Stock Dividend	7/7/2017	8/17/2017	8/18/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	0.70	N/A	12628R107	10,000
513820588	232806109	CYPRESS SEMICONDUCTOR +	10 - Common Stock	Stock Split	7/7/2017	8/21/2017	8/15/2017	8/18/2017	8/22/2017	8/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	232806109	10,000
513820589	458665304	INTERFACE INC-	10 - Common Stock	Spin Off	7/7/2017	8/22/2017	8/17/2017	8/21/2017	8/23/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	2.0	N/A	827048109	10,000
513820590	53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	10 - Common Stock	Rights Distribution	7/7/2017	8/15/2017	8/16/2017	8/18/2017	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 INGREDIENTS INC +	10 - Common Stock	Tender Offer	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/23/2017	N/A	8/24/2017	N/A	\$ 41.82	N/A	553993734	N/A	10,000
513820591	680194107	OLD POINT FINANCIAL CORP-	10 - Common Stock	Stock Split	7/7/2017	8/23/2017	8/14/2017	8/22/2017	8/24/2017	8/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	1.0	N/A	680194107	10,000
513820592	704699107	PEAPACK GLADSTONE FINANCIAL CORP	10 - Common Stock	Cash Dividend	7/7/2017	8/21/2017	8/15/2017	8/18/2017	8/22/2017	8/23/2017	N/A	N/A	N/A	N/A	N/A	\$ 16.79	N/A	N/A	N/A	10,000
N/A**	896095106	TRICO BANCSHARES +	10 - Common Stock	Mandatory Exchange	7/7/2017	N/A	N/A	N/A	N/A	N/A	8/18/2017	N/A	N/A	8/21/2017	N/A	N/A	2.21	N/A	896095304	10,000
N/A**	43708L108	HOME FED BANCORP INC L	10 - Common Stock	Cash Merger	7/7/2017	N/A	N/A	N/A	N/A	N/A	8/23/2017	N/A	N/A	8/24/2017	N/A	\$ 57.66	N/A	N/A	N/A	10,000
N/A**	989817101	ZUMIEZ INC.	10 - Common Stock	Exchange Offer	7/7/2017	N/A	N/A	N/A	N/A	N/A	8/22/2017	8/24/2017	8/25/2017	N/A	N/A	4.17	989993951	04014H108	10,000	
513820593	706327103	PEMBINA PIPELINE CORPORATION F	10 - Common Stock	Cash Dividend	7/7/2017	8/21/2017	8/22/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.567	N/A	N/A	N/A	10,000
513820594	923725105	VERMILION ENERGY INC F	10 - Common Stock	Cash Dividend	7/7/2017	8/16/2017	8/17/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.114	N/A	N/A	N/A	10,000
513820595	318672607	PFD FIRST BANCORP P R RR	20 - Preferred Stock	Cash Dividend	7/7/2017	8/22/2017	8/17/2017	8/21/2017	8/23/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	\$ 14.997	N/A	N/A	N/A	10,000
513820596	376536207	PFD GLADSTONE COMM SRA	22 - Preferred Stock - REIT	Cash Dividend	7/7/2017	8/18/2017	8/21/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.51998	N/A	N/A	N/A	10,000
513820597	72200U209	\$ARP PIMCO CORPORATE	102 - Auction Rate Preferred Stock - ARPS	Cash Dividend	7/7/2017	8/14/2017	8/15/2017	8/21/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.881	N/A	N/A	N/A	10,000
513820598	59160R102	ADR METRO AG F	110 - American Depository Receipt	Optional Dividend	7/7/2017	8/15/2017	8/16/2017	8/24/2017	N/A	N/A	N/A	8/23/2017	N/A	N/A	N/A	\$ 1.50	2.00	N/A	59160R102	10,000
513820599	108441205	BRIDGESTONECORPADR**	110 - American Depository Receipt	Cash Dividend	7/7/2017	8/18/2017	8/21/2017	8/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.7419	N/A	N/A	N/A	10,000
513820600	47103U100	ETF JANUS DETROIT STR BE<	117 - Exchange Traded Funds	Cash Dividend	7/7/2017	8/21/2017	8/22/2017	8/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 0.75	N/A	N/A	N/A	10,000
513820601	49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	310 - Municipal Bond	Interest	7/7/2017	N/A	8/18/2017	8/25/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 9.94	N/A	N/A	N/A	100,000
The CA ID will be available on 8/17/17*	64966LU41	\$VRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE	314 - Municipal Variable Rate Demand Obligation (VRDO)	Partial Call	8/17/2017	N/A	N/A	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/17/2017	\$ 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	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/18/2017 Early 8/24/2017 Late	N/A	8/21/2017 Early 8/25/2017 Late	N/A	\$1000 + \$30 Consent Fee	N/A	49499AEC2	N/A	100,000
513820602	06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20	507 - Certificates of Deposit	Interest	7/7/2017	N/A	8/14/2017	8/25/2017	8/24/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 10.001	N/A	N/A	N/A	100,000
513820603	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Principal	7/7/2017	N/A	8/24/2017	8/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 7.115971	N/A	N/A	N/A	100,000
513820604	05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51	540 - Collateralized Mtge Obligation or Global CMO	Interest	7/7/2017	N/A	8/24/2017	8/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 2.222577	N/A	N/A	N/A	100,000
513820605	14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22	541 - Asset-Backed Security (ABS) or Global ABS (GABS)	Principal	7/7/2017	N/A	8/22/2017	8/25/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.3349287	N/A	N/A	N/A	100,000
513820606	83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21	542 - Non-CMO/ABS Amortizing Issue	Interest	7/7/2017	N/A	8/14/2017	8/21/2017	8/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 6.77443	N/A	N/A	N/A	100,000
513820607	88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	572 - Convertible Corporate Debt	Interest	7/7/2017	N/A	8/14/2017	8/23/2017	8/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	\$ 8.88	N/A	N/A	N/A	100,000
513820608	29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	704 - Corporate Debt Derivative	Interest	7/7/2017	8/18/2017	8/21/2017	8/22/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 3.49	N/A	N/A	N/A	10,000
513820609	74272L208	PRIVATEBANCORP CAP TR	705 - Equity Derivative	Cash Dividend	7/7/2017	8/17/2017	8/18/2017	8/23/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 4.378	N/A	N/A	N/A	10,000
N/A**	203668116	RTS COMMUNITY H BE+	730 - Right	Rights Subscription*****	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/22/2017	8/24/2017	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	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/18/2017	8/21/2017	8/22/2017	N/A	\$ 19.56	N/A	743996811	N/A	10,000
513820610	67076B103	UIT NUVEEN UNIT INVT BE+	790 - Unit Investment Trust (Nuveen Only)	Cash Dividend	7/7/2017	N/A	8/15/2017	8/18/2017	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$ 1.8871	N/A	N/A	N/A	10,000
N/A**	28778H137	ELKHORN UNIT TR SER 8	795 - Unit Investment Trust	IVORS*****	7/7/2017	N/A	N/A	N/A	N/A	N/A	N/A	8/21/2017	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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