



Test CUSIPs for T+2 Industry Testing

The Depository Trust & Clearing Corporation (DTCC) published the [T+2 Detailed Testing Framework document](#), which included a list of test scenarios that Industry Members can use to test the various functional changes related to the Industry's move to T+2. To facilitate Industry testing, DTCC has identified test CUSIPs ("T+2 test CUSIPs") that Industry Members can use to test the various test scenarios. This includes unique test CUSIPs specifically identified for T+2 Corporate Action test scenarios. The T+2 test CUSIPs that were selected contain the specific parameters needed to test each individual test scenario identified in the testing document.

The attached T+2 test CUSIP document is an update to version 3 of the CUSIP list published in March 2017. All changes have been tracked.

In addition to the T+2 test CUSIPs, which will be monitored and controlled as part of the T+2 test, most DTCC eligible production CUSIPs will also be eligible in the DTCC test environment. Members can conduct T+2 testing using the designated T+2 test CUSIPs or can do their own free form testing in other CUSIPs available in the test environment. As noted, the non-T+2 test CUSIPs eligible in the DTCC test environment will not be monitored and controlled as part of the T+2 test.

For exchange activity, Members will be able to submit test trades to Nasdaq or Bats for execution. Executed trades will be submitted to NSCC for clearance and ultimately to DTC for settlement. As an alternative to generating test trades via the participating exchanges, DTCC has established a Transaction Management Tool for Members to use which will include the functionality to upload test trades directly in NSCC's Universal Trade Capture system (UTC) for processing (see the T+2 Detailed Testing Framework document for more details).

All T+2 test CUSIPs are existing DTCC-eligible production CUSIPs (no dummy CUSIPs) with the exception of two dummy CUSIPs needed to support "When-Issue" (WI) trading. Since it is unlikely that there will be production WI CUSIPs to be copied over into the test environment to support WI trading, DTCC has established a dummy WI Municipal Bond and Equity CUSIP to ensure Members have a WI CUSIP for testing throughout the T+2 industry testing period.

DTCC has categorized T+2 test CUSIPs by the various DTC product types (sub-issue types) that are in scope for T+2.

Some of the DTC sub-issue types do not have any corresponding production CUSIPs. For example, there are no production CUSIPs for DTC sub-issue type 560 (MMI Discount Note). In other instances, there are currently limited production CUSIPs available within specific sub-issue type for T+2 testing. For example, there are currently no production CUSIPs for MMI Short Term Bank Note (sub-issue type 550) with an expiration date beyond September 4, 2017 (post completion of T+2 Industry testing).

In early Q2 2017, DTCC will re-assess its production master file to determine if any production CUSIPs have become available in sub-issue types where none are available at this time.

DTCC will publish any additions or updates to the existing list of T+2 test CUSIPs on the UST2.com website, as an addendum to this document.

T+2 test CUSIPs within each sub-issue type are further categorized by the following criteria:

- CNS eligibility:
 - CNS eligible CUSIPs
 - Non CNS eligible CUSIPs, which are further identified as Multilaterally or Bilaterally Netted Balance Orders or Trade-for-Trade Balance Orders

- Security Positions in DTC:
 - CUSIPs with position in DTC to enable Members to test scenarios through to settlement (“Made”). To support these test scenarios, DTC will automatically establish position in these CUSIPs in the Test environment for all DTC Members and reset the positions at the beginning of each test cycle (see List of CUSIPs for T+2 testing for the number of shares per test CUSIP below).
 - CUSIPs without position in DTC to enable Members to test fail scenarios; DTC will automatically delete any security positions in these CUSIPs in the test environment for all DTC Members and reset the position to zero at the beginning of each test cycle (see the T+2 Detailed Testing Framework document for more details).

- Eligibility for Bats Order Generator Functionality:
 - Bats will provide simulated liquidity in CUSIPs that are eligible for the Bats automated order generator functionality. Test transactions in these CUSIPs will be matched versus NSCC's test account number 0122. Members may send orders priced at or more aggressive than the current National Best Bid and Offer (NBBO) in any of the identified test symbols for execution against this simulated liquidity.

As stated in the T+2 Detailed Testing Framework document, specific T+2 test CUSIPs are not required to conduct the following test scenarios:

- Testing T+2 functional changes to the ETF Create/Redeem process, which will be mandatory for all ETF Agents. ETF agents will perform this test by selecting create/redeem eligible CUSIPs for which they are the agent.
- Testing options exercise and assignment. OCC will utilize production data as of the Monday prior to the options Expiration Date within the identified testing period (see the T+2 Detailed Testing Framework document for more details).
- Testing changes to the standard settlement cycle of Fund/SERV securities. Fund/SERV clients have existing capabilities to test any change to the standard settlement cycle; no new testing functionality is needed to support T+2 testing.

Members should submit any questions or comments related to the T+2 test CUSIPs to **T2testing@DTCC.com**.



List of CUSIPs for T+2 Testing

CUSIP	Description	CNS Eligible ^(a)	Non-CNS Eligible ^(a)		With position at DTC ^(b)	Without Position at DTC ^(c)	Eligible for Bats order generator functionality ^(d)	DTC security positions	Notes
			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing									
Common Stock (DTC sub-issue type 010)									
G5480U153	LIBERTY GLOBAL PLC F+	√			√		√	500,000	
037833100	APPLE INCORPORATED + COM	√			√		√	500,000	
052769106	AUTODESK INC (DEL) +	√			√		√	500,000	
141337105	CARBONITE INC +	√			√		√	500,000	
459200101	INTL BUSINESS MACHINES CORP	√			√		√	500,000	
594918104	MICROSOFT CORP	√			√		√	500,000	
717081103	PFIZER INC	√				√	√	0	
30231G102	EXXON MOBIL CORPORATION114	√				√	√	0	
084670702	BERKSHIRE HATHWY INC	√				√	√	0	
254687106	DISNEY	√				√	√	0	
112585104	BROOKFIELD ASSET MANAGEMENT (CANADA)	√				√	√	0	
H50430232	LOGITECH INTL S.A.		√		√		√	500,000	
M8216Q101	REWALK ROBOTICS LTD F+		√		√		√	500,000	
366554103	GARRISON CAPITAL		√			√	√	0	
720795103	PIRS PHARMACEUTICAL		√			√	√	0	
G06750106	AUTOCHINA INTERNATIONAL LIMITED ORDINARY SHS			√	√			500,000	
L6388F110	MILLICOM INTERNATIONAL CELLULAR NEW *+			√	√			500,000	
037703105	APPALACHIANMTBREWERY			√		√		0	
12647K109	144A CTBC FINL HLDG CO F+			√		√		0	
063671101	BANK MONTREAL QUE COM	√			√		√	500,000	
780087102	ROYAL BANK OF CANADA	√			√		√	500,000	
Convertible Common Stock (DTC sub-issue type 011)									
00972D105	AKEBIA THERAPEUTICS IN +	√			√		√	500,000	
650111404	NEW YORK TIMES CO. CL. B CONV +	√				√		0	
03444Q209	ANDREW PELLER LIMITED CLASS B CONV F*.		√		√			500,000	

(a) The coding rules to determine how NSCC will process trades in the PSE, i.e. CNS or non-CNS settlement processing, will mirror production. Regardless of the CNS or Non-CNS eligibility specified in PSE for a test CUSIP, the determination of NSCC settlement processing of a trade in that security is still subject to change based upon the parties to the trade, the type of trade submitted, when it was submitted and whether there is a declared dividend or corporate action on the underlying security.

(b) For those test CUSIPs identified as having positions in DTC, DTC will automatically establish security positions for all DTC Members at the beginning of each test cycle.

(c) For those test CUSIPs identified as having no positions in DTC, DTC will automatically delete in DTC for all Members at the beginning of each test cycle.

(d) Bats will provide simulated liquidity in CUSIPs that are eligible for Bats automated order generator functionality. Test transactions in these CUSIPs can be matched versus NSCC's test contra account number 0122. Members may send orders priced at or more aggressive than the current NBBO in any of the identified test symbols for execution against this simulated liquidity.



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			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing									
Common Stock REIT (DTC sub-issue type 012)									
125525105	CIM COML TR CORP	+	√		√		√	500,000	
203411104	COMMUNICATIONS SALES &	*+	√			√	√	0	
59934P101	MILESTONE APTS REAL ES	F+		√	√			500,000	
18885T108	144A CLIPPER RLTY INC	BE+		√	√			500,000	
58409L108	144A MEDEQUITIES RLTY	BE+		√		√		0	
Preferred Stock (DTC sub-issue type 020)									
223622309	PFD COWEN GROUP INC N	BE+	√		√		√	500,000	
376535308	PFD GLADSTONE CAP COR	+	√			√	√	0	
010392488	PFD ALABAMA PWR CO			√	√			500,000	
373334119	PFD GEORGIA PWR			√		√		0	
19075Q805	PFD 144A COBANK ACB	BE+		√	√			500,000	
30767E406	PFD 144A FARM CR BK TE	BE+		√		√		0	
Preferred Stock REIT (DTC sub-issue type 022)									
376536603	PFD GLADSTONE COML CO	BE+	√		√		√	500,000	
44106M607	PFD HOSPITALITY PPTYS	BE<	√			√	√	0	
Convertible Preferred Stock (DTC sub-issue type 023)									
446150401	CVPR HUNTINGTON BANC SH		√		√		√	500,000	
713661403	CVPR PEREGRINE PHARMA	0.01% +	√			√	√	0	
46269C300	CVPR 144A IRIDIUM COMM	7.0% BE+		√	√			500,000	
U16450204	GCVPR REGS CHESAPEAKE	5.75%		√		√		0	
Limited Partnership (DTC sub-issue type 030)									
01877R108	LTD ALLIANCE RESOURCE	RR	√		√		√	500,000	
09625U109	BLUEKNIGHT ENERGY PARTNERS, L.P.		√			√	√	0	
888226107	LP144A TIPTREE FINL			√	√			500,000	
Auction Rate Preferred Stock - ARPS (DTC sub-issue type 102)									
09249X208	\$ARP BLACKROCK MUN2020		√		√			500,000	
26202F305	\$ARP DREYFUS MUNI 		√			√		0	
023138506	\$ARP144A AMBAC ASSUR D			√	√			500,000	

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			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing									
American Depository Receipt - ADR (DTC sub-issue type 110)									
00652F107	ADR ADARO ENERGY PT F RR	√			√			500,000	
045519402	ASSOCIATED BRITISH FOODS PLC ADR NEW +	√				√		0	
Y3746T110	REGS HUB POWER CO GDR			√	√			500,000	
00437R103	GDR 144A ACCTON TECH			√		√		0	
Depository Share (DTC sub-issue type 111)									
03754H104	DPS APERAM F	√			√		√	500,000	
178867206	CIVISTA BANCSHARES INC BE+	√				√		0	
05461Y106	DPS 144A AXTEL SA B F			√	√			500,000	
020279105	GDPS ALMACENES EXITO F			√		√		0	
Exchange Traded Funds (DTC sub-issue type 117)									
26923G509	ETF ETFIS SER TR I +	√			√		√	500,000	
00400R106	WBI TACTICAL SMG SHARES	√				√	√	0	
921908844	VANGUARD DIVIDEND APPRECIATION ETF	√			√		√	500,000	
33739E108	FIRST TR PFD SECS & INCOME ETF	√				√	√	0	
86280R100	STRATEGY SHS US MARKET ROTATION STRATEGY ETF	√			√		√	500,000	
78464A128	SPDR S&P 1500 VALUE TILT ETF	√				√	√	0	
73937V106	POWERSHARES ACTIVELY MANAGED OPTIMUM YIELD ETF	√			√		√	500,000	
381430545	GOLDMAN SACHS HEDGE IND VIP ETF	√				√	√	0	
78462F103	SPDR S&P 500 (SPY)	√			√			500,000	New
73935A104	POWERSHARES QQQ TRUST SERIES 1 (QQQ)	√				√		0	New
78467X109	SPDR DJ INDUSTRIAL AVERAGE ETF TRUST (DIA)	√			√			500,000	New
Corporate Debt Derivative (DTC sub-issue type 704)									
03074B100	GPFD AMERISERVE FINANCIALINCCAPITALTRUSTIPFDABE+	√			√		√	500,000	
22080E205	GPFD CORTS TR BELLSTH	√				√		0	
63873MBU6	NATIXIS US MEDIUM-TERM D10/21/16 19.150% 17			√	√			500,000	
G67262AB4	GCBREGS OIL INS. SRA F D06/21/06 0.010% JD99			√		√		0	

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			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing									
Equity Derivative (DTC sub-issue type 705)									
055395206	BFC CAPITAL TRUST II	√			√		√	500,000	
583928205	MEDALLION FINL CORP BE+	√				√	√	0	
56262P109	144A MANDATORY EXCHANG BE+			√	√			500,000	
30729Q604	FANTEX INC +		√		√			500,000	
Warrant (DTC sub-issue type 720)									
007624117	WTS ADVAXIS INC *+	√			√		√	500,000	
80007P117	WTS SANDRIDGE ENERGY BE+	√				√		0	
88224Q115	WTS TEXAS CAPITA011619		√		√		√	500,000	
82669G112	WTS SIGNATURE BK121218 BE		√			√	√	0	
Right (DTC sub-issue type 730)									
N96617126	RTS WRIGHT MED GROUP F+	√			√		√	500,000	
151020112	RTS CELGENE CORP CVR RR	√				√	√	0	
37185M985	RTS GENESYS S.A.21306 RR		√		√			500,000	
Closed End Fund (DTC sub-issue type 761)									
02504D108	CEF AMERICAN CAP SR F +	√			√		√	500,000	
12811L107	CEF CALAMOS GLOBAL DIV	√				√	√	0	
33848W106	CEF FLAHERTY & CRUMRI <		√		√		√	500,000	
67066Y105	CEF NUVEEN CA DIVIDEND		√			√	√	0	
Equity Unit (DTC sub-issue type 780)									
G0726L109	UTS AVISTA HEALTHCARE F+	√			√		√	500,000	
G28195108	UTS DOUBLE EAGLE ACQU F+	√				√	√	0	
42588J209	UTS HENNESSY CAP ACQU +		√		√			500,000	
580037141	UTS MCDERMOTT INTL IN BEF+		√			√		0	
Debt Unit (DTC sub-issue type 781)									
427056BC9	=U= HERCULES INC.			√	√		N/A	500,000	
442488BN1	=U= HOVNANIAN K ENTERP D10/02/12 05.170% JD17			√		√	N/A	0	

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Production CUSIPs for T+2 testing									
Unit Investment Trust (Nuveen only) (DTC sub-issue type 790)									
6706H8803	NUVEEN TAX FREE PA 219	√			√		N/A	500,000	
67074G104	NUVEEN UNIT TRUST 133 ZACKS SELECT EQUITIES BLEND	√				√	N/A	0	
Unit Investment Trust (DTC sub-issue type 795)									
30300M501	FIRST TRUST DOW TARGET 10 OCT '16 CASH	√			√		N/A	500,000	
30300M519	FIRST TRUST DOW TARGET 10 OCT '16 REINVEST	√			√		N/A	500,000	
40171J263	GUGGENHEIM DIVIDEND GROWTH PORTFOLIO SERIES 9	√			√		N/A	500,000	
40171H226	GUGGENHEIM SHORT DURATION HIGH YIELD TRUST, SERIES 46	√				√	N/A	0	
46139H281	INVESCO INVESTMENT GRADE CORPORATE TR EQUITY	√				√	N/A	0	
46137H416	INVESCO INVESTMENT GRADE CORPORATE TR FIXED INCOME	√				√	N/A	0	
Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)									
92343VBR4	VERIZON COMMUNICATIONS 05.150% 09/15/23	√			√		N/A	500,000	
35906AAP3	FRONTIER COMMUNICATIONS 06.250% 09/15/21	√				√	N/A	0	
423074AS2	HJ HEINZ 04.875% 02/15/25			√	√		N/A	500,000	
402040AH2	GUITAR CTR INC 06.500% 04/15/19			√		√	N/A	0	
MMI Institutional Certificates of Deposit (DTC sub-issue type 504)									
02587DC89	AMERICAN EXPRESS CENTURION BK CD 02.350% 10/07/20			√	√		N/A	500,000	
36160KK61	GE CAPITAL CD 02.700% 05/17/21			√		√	N/A	0	
Certificates of Deposit (DTC sub-issue type 507)									
140420L81	CAPITAL ONE BK CD 01.350% 10/28/19			√	√		N/A	500,000	
02006LQ63	ALLY BK MIDVALE UTAH CD 01.200% 10/29/18			√		√	N/A	0	
MMI Corporate Commercial Paper (DTC sub-issue type 525)									
19121AWD9	cPCOCA-COLA COMPANY *4**DIS**D092816M091317BERS			√	√		N/A	500,000	
MMI Deposit Note (DTC sub-issue type 531)									
74977EP20	RABOBANK 1.700% 3/19/18			√	√		N/A	500,000	
74977EPH0	RABOBANK 4/17/22			√		√	N/A	0	

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Production CUSIPs for T+2 testing									
MMI Medium-Term Bank Note (DTC sub-issue type 532)									
20271RAL4	COMMONWEALTH BK 1.75% 11/2/18			√		√	N/A	0	
20271RAC4	COMMONWEALTH BK 1.90% 9/18/17			√	√		N/A	500,000	
MMI Medium Term Note (DTC sub-issue type 533)									
02006DHT1	ALLY FINANCIAL 3.250% 12/17/18	√			√		N/A	500,000	
36962G5J9	GENERAL ELEC CAP 10/18/21	√				√	N/A	0	
85171RAA2	SPRINGLEAF FIN 6.900% 12/17/17			√	√		N/A	500,000	
01306GAC7	ALBERTA 2.050% 08/17/26			√		√	N/A	0	
Collateralized Mtge Obligation or Global CMO (DTC sub-issue type 540)									
02660TFZ1	GCMO AMERICAN HOME05-3 D09/01/05 4.990% JJ35			√	√		N/A	500,000	
3137A8PN2	CMO FEDERAL HOME LN MT D04/01/11 03.427% 20			√		√	N/A	0	
Asset-Backed Security (ABS) or Global ABS (GABS) (DTC sub-issue type 541)									
00104UAA6	GABS AEP TEX-CENT TRAN D03/14/12 00.880% JD18			√	√		N/A		Deleted
004375CA7	GABS ACCRMORT 04 4 D11/22/04 0.010% JJ25			√		√	N/A		Deleted
126673N81	CWABS INC 2005-4 SER 2005-4 CL AF-5B 4.77782% 10/25/2035 BOND			√	√		N/A	500,000	New
Non-CMO/ABS Amortizing Issue (DTC sub-issue type 542)									
041150DJ9	ARKANSAS ST S AR D09 16 10 0.010% FA43 BE			√	√		N/A		Deleted
051687DB4	AURORA CNTY MTG RV IL D02/15/07 5.500% JJ39 BE			√		√	N/A	500,000	
Corporate Other Tax Exempt (DTC sub-issue type 546)									
547861AG9	LOWER BRULE 05.875% 3/1/25			√	√		N/A	500,000	
67662LAE1	OGLALA SIOUX TRIBE 05.500% 10/1/24			√		√	N/A	0	
Corporate Auction Rate Note (DTC sub-issue type 571)									
072865AA6	BAYLOR HLTH & CARE 11/15/25			√	√		N/A	500,000	
19458LAP5	COLLEGIATE FDG 12/28/43			√		√	N/A	0	

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(b) For those test CUSIPs identified as having positions in DTC, DTC will automatically establish security positions for all DTC Members at the beginning of each test cycle.

(c) For those test CUSIPs identified as having no positions in DTC, DTC will automatically delete in DTC for all Members at the beginning of each test cycle.

(d) Bats will provide simulated liquidity in CUSIPs that are eligible for Bats automated order generator functionality. Test transactions in these CUSIPs can be matched versus NSCC's test contra account number 0122. Members may send orders priced at or more aggressive than the current NBBO in any of the identified test symbols for execution against this simulated liquidity.



List of CUSIPs for T+2 Testing

CNS Eligible ^(a)	Non-CNS Eligible ^(a)		With position at DTC ^(b)	Without Position at DTC ^(c)	Eligible for Bats order generator functionality ^(d)	DTC security positions	Notes
	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing							
CUSIP	Description						
Convertible Corporate Debt (DTC sub-issue type 572)							
04010LAM5			√		N/A	500,000	
043353AH4			√	√	N/A	0	
458140AF7		√	√		N/A	500,000	
670008AD3		√		√	N/A	0	
Corporate VRDO / Municipal VRDO (MMD) (DTC sub-issue type 576)							
025864BF5		√	√		N/A	500,000	
038315EF0		√		√	N/A	0	
Corporate Insured Custodial Receipt (DTC sub-issue type 577)							
153609AW2	√		√		N/A	500,000	
362311AH5	√			√	N/A	0	
36150JAB6		√	√		N/A	500,000	
455434BJ8		√		√	N/A	0	
Zero Coupon Bond (DTC sub-issue type 579)							
690353UC9	√		√		N/A	500,000	
690353ZV2	√			√	N/A	0	
Municipal Bond (DTC sub-issue type 310)							
64990HV56	√		√		N/A	500,000	
452151LF8	√			√	N/A	0	
59333TBA7		√	√		N/A	500,000	
542690NW8		√		√	N/A	0	
Municipal Note (DTC sub-issue type 311)							
027651VY1	√		√		N/A	500,000	
073551AA1	√			√	N/A	0	
Municipal Auction Rate Note (ARN) (DTC sub-issue type 312)							
00037CEM8		√	√		N/A	500,000	
010632JP3		√		√	N/A	0	

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(b) For those test CUSIPs identified as having positions in DTC, DTC will automatically establish security positions for all DTC Members at the beginning of each test cycle.

(c) For those test CUSIPs identified as having no positions in DTC, DTC will automatically delete in DTC for all Members at the beginning of each test cycle.

(d) Bats will provide simulated liquidity in CUSIPs that are eligible for Bats automated order generator functionality. Test transactions in these CUSIPs can be matched versus NSCC's test contra account number 0122. Members may send orders priced at or more aggressive than the current NBBO in any of the identified test symbols for execution against this simulated liquidity.



List of CUSIPs for T+2 Testing

CNS Eligible ^(a)	Non-CNS Eligible ^(a)		With position at DTC ^(b)	Without Position at DTC ^(c)	Eligible for Bats order generator functionality ^(d)	DTC security positions	Notes
	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing							
<u>CUSIP</u>	<u>Description</u>						
Municipal Variable Rate Demand Obligation (VRDO) (DTC sub-issue type 314)							
00037CPP9			√		N/A	500,000	
010399BW2			√	√	N/A	0	
Municipal Insured Custodial Receipt (DTC sub-issue type 315)							
01728VQF0	√		√		N/A	500,000	
067203EC9	√			√	N/A	0	
13062T7Z1			√		N/A	500,000	
64966F5Q3			√	√	N/A	0	
MMI Municipal VRDO/CP (DTC sub-issue type 320)							
64972RAD2			√		N/A	500,000	
64972SAE8			√	√	N/A	0	
Municipal Other Tax Exempt (DTC sub-issue type 346)							
545910AQ4	√		√		N/A	500,000	
05219RAA4	√			√	N/A	0	
010608J32			√		N/A	500,000	
03255MPK7			√	√	N/A	0	
MMI Short-Term Bank Note (DTC sub-issue type 550)							
06053PUB1			√		N/A	500,000	New
06053PUC9			√	√	N/A	0	New
MMI Municipal Commercial Paper (DTC sub-issue type 330)							
54270GAT1			√		N/A	500,000	New
54270GAU8			√	√	N/A	0	New

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(b) For those test CUSIPs identified as having positions in DTC, DTC will automatically establish security positions for all DTC Members at the beginning of each test cycle.

(c) For those test CUSIPs identified as having no positions in DTC, DTC will automatically delete in DTC for all Members at the beginning of each test cycle.

(d) Bats will provide simulated liquidity in CUSIPs that are eligible for Bats automated order generator functionality. Test transactions in these CUSIPs can be matched versus NSCC's test contra account number 0122. Members may send orders priced at or more aggressive than the current NBBO in any of the identified test symbols for execution against this simulated liquidity.



List of CUSIPs for T+2 Testing

CNS Eligible ^(a)	Non-CNS Eligible ^(a)		With position at DTC ^(b)	Without Position at DTC ^(c)	Eligible for Bats order generator functionality ^(d)	DTC security positions	Notes
	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+2 testing							
CUSIP	Description						
Dummy CUSIP for T+2 industry testing							
Municipal Bond When-Issued (WI) CUSIP							
102616GQ6				√	N/A	0	
<i>Coupon Rate = 3.0, First Payable Date = 12/01/2017, Maturity Date = 6/01/2029, Interest Calculation Code = 30/360, Interest Payment Frequency = Semi Annual, Call Data = no call.</i> <i>Issue Date/WI Settlement Date, and Interest Accrual Date will be set to the first Thursday within each test cycle, as follows: Test Cycle 1 = 2/16/17, Test Cycle 2 = 3/2/2017, Test Cycle 3 = 3/16/17, Test Cycle 4 = 3/30/17, Test Cycle 5 = 4/13/17, Test Cycle 6 = 4/27/17, Test Cycle 7 = 5/11/17, Test Cycle 8 = 5/25/17, Test Cycle 9 = 6/8/17, Test Cycle 10 = 6/22/17, Test Cycle 11 = 7/6/17, Test Cycle 12 = 7/20/17, Test Cycle 13 = 8/3/17, Test Cycle 14 = 8/17/17</i>							
Equity (Common Stock) When-Issued (WI) CUSIP							
102616208				√	N/A	0	New
<i>Security Class = Common Stock, Currency = US Dollar, Units of Trading = 100</i> <i>WI Settlement Date will be set to the second Wednesday within each test cycle, as follows: Test Cycle 3 = 3/22/17, Test Cycle 4 = 4/5/17, Test Cycle 5 = 4/13/17, Test Cycle 6 = 5/3/17, Test Cycle 7 = 5/17/17, Test Cycle 8 = 5/31/17, Test Cycle 9 = 6/14/17, Test Cycle 10 = 6/28/17, Test Cycle 11 = 7/12/17, Test Cycle 12 = 7/26/17, Test Cycle 13 = 8/9/17, Test Cycle 14 = 8/23/17</i>							

DTC Sub-Issue Types with no underlying production CUSIPs

MMI Preferred Stock (in CP-like mode) (DTC sub-issue type 502)
Equity 144A Designated Investors (DTC sub-issue type 121)
Real-Estate Investment Trust (REIT) (DTC sub-issue type 130)
Mutual Fund (DTC sub-issue type 760)
(IMMI) Institutional MMI Mutual Fund Shares (DTC sub-issue type 762)
MMI Corporate VRDO/CP (DTC sub-issue type 526)
Corporate 144A Designated Investors (DTC sub-issue type 545)
MMI Discount Note (DTC sub-issue type 560)

DTC Sub-Issue Types currently without production CUSIPs with Maturity Date beyond T+2 industry testing period/ September 4th, 2017

MMI Short-Term Bank Note (DTC sub-issue type 550)

DTCC will provide additional testing CUSIPs with later maturity dates, in early Q2 2017

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- (b) For those test CUSIPs identified as having positions in DTC, DTC will automatically establish security positions for all DTC Members at the beginning of each test cycle.
- (c) For those test CUSIPs identified as having no positions in DTC, DTC will automatically delete in DTC for all Members at the beginning of each test cycle.
- (d) Bats will provide simulated liquidity in CUSIPs that are eligible for Bats automated order generator functionality. Test transactions in these CUSIPs can be matched versus NSCC's test contra account number 0122. Members may send orders priced at or more aggressive than the current NBBO in any of the identified test symbols for execution against this simulated liquidity.



Test CUSIPs for T+2 Corporate Action Testing

DTCC has identified the following unique CUSIPs for T+2 Corporate Action testing. These CUSIPs represent various product types (DTC sub-issue types) most frequently associated with Corporate Action events.

As part of each T+2 testing cycle, DTCC will establish Corporate Action test events in the PSE U environment utilizing the below listed test CUSIPs. Members will be able to test the full corporate action lifecycle of these test events (i.e., from announcement of a Corporate Action test event to allocation of proceeds) within each two week testing period. DTCC will announce the list of events with their respective CUSIPs, via UST2.com and the [T+2 page](#) on the DTCC Learning Center website, no later than one week prior to the start of the each testing cycle. The list of Corporate Action test events for the first testing cycle beginning February 13, 2017 will be published by February 6, 2017.

Corporate Action test events will include events that closely mirror the six testing scenarios identified and described in the [T+2 Detailed Testing Framework document](#), and events that although not impacted by the move to a T+2 Settlement Cycle, will assist Members in performing regression testing on their respective systems.

It is important to note that a particular test CUSIP may have a different event type announced and processed in each T+2 testing cycle. For example, a CUSIP may be announced and processed as a Stock Split during testing cycle one and the same CUSIP may be announced and processed as a Tender Offer during test cycle two.

DTC will establish security positions (500,000,000 shares) in each of the Corporate Action test CUSIPs for all DTC Members at the beginning of each T+2 test cycle/PSE U environment reset. However, Members will still be able to view a history of completed Corporate Action scenarios from previous test cycles via CA Web, PTS or PBS.

Members should submit any questions or comments related to the T+2 test CUSIPs to T2testing@DTCC.com.



List of CUSIPs for Corporate Action Testing

CUSIP	Description	CNS Eligible	Non-CNS Eligible		With position at DTC	Without Position at DTC	Eligible for Bats order generator functionality	DTC security positions
			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order				
Production CUSIPs for T+2 testing								
Common Stock (DTC sub-issue type 010)								
192422103	COGNEX	√			√		√	10,000
12628R107	CSB BANCORP INC (OHIO)-	√			√		N/A	10,000
232806109	CYPRESS SEMICONDUCTOR +	√			√		√	10,000
458665304	INTERFACE INC+	√			√		√	10,000
53128T102	LIBERTY TAX, INC. CLASS A COMMON SOTCK	√			√		√	10,000
55303J106	MGP INDGREDIENTS INC +	√			√		√	10,000
680194107	OLD POINT FINANCIAL CORP-	√			√		N/A	10,000
704699107	PEAPACK GLADSTONE FINANCIAL CORP -	√			√		N/A	10,000
896095106	TRICO BANCSHARES +	√			√		N/A	10,000
43708L108	HOME FED BANCORP INC L	√			√		N/A	10,000
989817101	ZUMIEZ INC.	√			√		N/A	10,000
706327103	PEMBINA PIPELINE CORPORATION F	√			√		N/A	10,000
923725105	VERMILION ENERGY INC F	√			√		N/A	10,000
Preferred Stock (DTC sub-issue type 020)								
318672607	PFD FIRST BANCORP P R RR	√			√		N/A	10,000
Preferred Stock REIT (DTC sub-issue type 022)								
376536207	PFD GLADSTONE COMM SRA	√			√		√	10,000
Auction Rate Preferred Stock - ARPS (DTC sub-issue type 102)								
72200U209	\$ARP PIMCO CORPORATE	√			√		N/A	10,000
American Depository Receipt - ADR (DTC sub-issue type 110)								
59160R102	ADR METRO AG F	√			√		N/A	10,000
108441205	BRIDGESTONECORPADR*+	√			√		N/A	10,000
Exchange Traded Funds (DTC sub-issue type 117)								
47103U100	ETF JANUS DETROIT STR BE<	√			√		√	10,000
Municipal Bond (DTC sub-issue type 310)								
49151EP64	KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	√			√		N/A	100,000
Municipal Variable Rate Demand Obligation (VRDO) (DTC sub-issue type 314)								
64966LU41	\$VRDO NEW YORK N Y NY D06/18/15 00.010% 44 BE			√	√		N/A	100,000



List of CUSIPs for Corporate Action Testing

CUSIP	Description	CNS Eligible	Non-CNS Eligible		With position at DTC	Without Position at DTC	Eligible for Bats order generator functionality	DTC security positions
			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order				
Production CUSIPs for T+2 testing								
Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)								
494550AY2	CB KINDER MORGAN ENRGY D02/12/08 5.950% FA18	√			√		N/A	100,000
Certificates of Deposit (DTC sub-issue type 507)								
06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20			√	√		N/A	100,000
Collateralized Mtge Obligation or Global CMO (DTC sub-issue type 540)								
05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51			√	√		N/A	100,000
Asset-Backed Security (ABS) or Global ABS (GABS) (DTC sub-issue type 541)								
14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22			√	√		N/A	100,000
Non-CMO/ABS Amortizing Issue (DTC sub-issue type 542)								
83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21			√	√		N/A	100,000
Convertible Corporate Debt (DTC sub-issue type 572)								
88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	√			√		N/A	100,000
Corporate Debt Derivative (DTC sub-issue type 704)								
29364P202	ENTERGY NEW ORLEANS I NC 4.36% PFD +	√			√		N/A	10,000
Equity Derivative (DTC sub-issue type 705)								
74272L208	PRIVATEBANCORP CAP TR	√			√		N/A	10,000
Right (DTC sub-issue type 730)								
203668116	RTS COMMUNITY H BE+			√	√		N/A	10,000
Closed End Fund (DTC sub-issue type 761)								
74348T102	PROSPECT CAPITAL CORPORATION RR	√			√		N/A	10,000
Unit Investment Trust (Nuveen only) (DTC sub-issue type 790)								
67076B103	UIT NUVEEN UNIT INVT BE+	√			√		N/A	10,000
Unit Investment Trust (DTC sub-issue type 795)								
A separate CUSIP is provided in each test cycle and listed in the Corporate Action Test Events document on UST2.com website		√			√		N/A	10,000