



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 CUSIP List is the second version of the T+2 test CUSIP document. This version is an update to the original CUSIP list published in November 2016. 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 one dummy CUSIP 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 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 (500,000,000 shares) in the Test environment for all DTC Members and reset the positions at the beginning of each test cycle (see the T+2 Detailed Testing Framework document for more details).
 - 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)	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+	√			√		√	
037833100	APPLE INCORPORATED + COM	√			√		√	
052769106	AUTODESK INC (DEL) +	√			√		√	
141337105	CARBONITE INC +	√			√		√	
459200101	INTL BUSINESS MACHINES CORP	√			√		√	
594918104	MICROSOFT CORP	√			√		√	
717081103	PFIZER INC	√				√	√	
30231G102	EXXON MOBIL CORPORATION114	√				√	√	
084670702	BERKSHIRE HATHWY INC	√				√	√	
254687106	DISNEY	√				√	√	
112585104	BROOKFIELD ASSET MANAGEMENT (CANADA)	√				√	√	
H50430232	LOGITECH INTL S.A.		√		√		√	
M8216Q101	REWALK ROBOTICS LTD F+		√		√		√	
366554103	GARRISON CAPITAL		√			√	√	
720795103	PIRS PHARMACEUTICAL		√			√	√	
G06750106	AUTOCHINA INTERNATIONAL LIMITED ORDINARY SHS			√	√			
L6388F110	MILLICOM INTERNATIONAL CELLULAR NEW *+			√	√			
037703105	APPALACHIANMTBREWERY			√		√		
12647K109	144A CTBC FINL HLDG CO F+			√		√		
063671101	BANK MONTREAL QUE COM	√			√		√	New
780087102	ROYAL BANK OF CANADA	√			√		√	New
Convertible Common Stock (DTC sub-issue type 011)								
00972D105	AKEBIA THERAPEUTICS IN +	√			√		√	
650111404	NEW YORK TIMES CO. CL. B CONV +	√				√		
03444Q209	ANDREW PELLER LIMITED CLASS B CONV F*-		√		√			

(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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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)	Notes
			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 +	√			√		√	
20341J104	COMMUNICATIONS SALES & *+	√				√	√	
59934P101	MILESTONE APTS REAL ES F+		√		√			
18885T108	144A CLIPPER RLTY INC BE+			√	√			
58409L108	144A MEDEQUITIES RLTY BE+			√		√		
Preferred Stock (DTC sub-issue type 020)								
223622309	PFD COWEN GROUP INC N BE+	√			√		√	
376535308	PFD GLADSTONE CAP COR +	√				√	√	
010392488	PFD ALABAMA PWR CO		√		√			
373334119	PFD GEORGIA PWR		√			√		
19075Q805	PFD 144A COBANK ACB BE+			√	√			
30767E406	PFD 144A FARM CR BK TE BE+			√		√		
Preferred Stock REIT (DTC sub-issue type 022)								
376536603	PFD GLADSTONE COML CO BE+	√			√		√	
44106M607	PFD HOSPITALITY PPTYS BE<	√				√	√	
Convertible Preferred Stock (DTC sub-issue type 023)								
446150401	CVPR HUNTINGTON BANCSH	√			√		√	
713661403	CVPR PEREGRINE PHARMA 0.01% +	√				√	√	
46269C300	CVPR 144A IRIDIUM COMM 7.0% BE+			√	√			
U16450204	GCVPR REGS CHESAPEAKE 5.75%			√		√		
Limited Partnership (DTC sub-issue type 030)								
01877R108	LTD ALLIANCE RESOURCE RR	√			√		√	
09625U109	BLUEKNIGHT ENERGY PARTNERS, L.P.	√				√	√	
888226107	LP144A TIPTREE FINL			√	√			
Auction Rate Preferred Stock - ARPS (DTC sub-issue type 102)								
09249X208	\$ARP BLACKROCK MUN2020	√			√			
26202F305	\$ARP DREYFUS MUNI 	√				√		
023138506	\$ARP144A AMBAC ASSUR D			√	√			

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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	√			√			
045519402	ASSOCIATED BRITISH FOODS PLC ADR NEW +	√				√		
Y3746T110	REGS HUB POWER CO GDR			√	√			
00437R103	GDR 144A ACCTON TECH			√		√		
Depository Share (DTC sub-issue type 111)								
03754H104	DPS APERAM F	√			√		√	
178867206	CIVISTA BANCSHARES INC BE+	√				√		
05461Y106	DPS 144A AXTEL SA B F			√	√			
020279105	GDPS ALMACENES EXITO F			√		√		
Exchange Traded Funds (DTC sub-issue type 117)								
26923G509	ETF ETFIS SER TR I +	√			√		√	
00400R106	WBI TACTICAL SMG SHARES	√				√	√	
921908844	VANGUARD DIVIDEND APPRECIATION ETF	√			√		√	
33739E108	FIRST TR PFD SECS & INCOME ETF	√				√	√	
86280R100	STRATEGY SHS US MARKET ROTATION STRATEGY ETF	√			√		√	
78464A128	SPDR S&P 1500 VALUE TILT ETF	√				√	√	
73937V106	POWERSHARES ACTIVELY MANAGED OPTIMUM YIELD ETF	√			√		√	New
381430545	GOLDMAN SACHS HEDGE IND VIP ETF	√				√	√	New
78464A128	SPDR S&P 1500 VALUE TILT ETF							Deleted
33848W106	CEF FLAHERTY & CRUMRI ←							Deleted
Corporate Debt Derivative (DTC sub-issue type 704)								
03074B100	GPDF AMERISERVE FINANCIALINCCAPITALTRUSTIPFDABE+	√			√		√	
22080E205	GPDF CORTS TR BELLSTH	√				√		
63873MBU6	NATIXIS US MEDIUM-TERM D10/21/16 19.150% 17			√	√			
G67262AB4	GCBREGS OIL INS. SRA F D06/21/06 0.010% JD99			√		√		
Equity Derivative (DTC sub-issue type 705)								
05539S206	BFC CAPITAL TRUST II	√			√		√	
583928205	MEDALLION FINL CORP BE+	√				√	√	
56262P109	144A MANDATORY EXCHANG BE+			√	√			
30729Q604	FANTEX INC +		√		√			

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			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order				
Production CUSIPs for T+2 testing								
Warrant (DTC sub-issue type 720)								
007624117	WTS ADVAXIS INC *	+	√		√		√	
80007P117	WTS SANDRIDGE ENERGY	BE+	√			√		
88224Q115	WTS TEXAS CAPITA011619			√	√		√	
82669G112	WTS SIGNATURE BK121218	BE		√		√	√	
Right (DTC sub-issue type 730)								
N96617126	RTS WRIGHT MED GROUP	F+	√		√		√	
151020112	RTS CELGENE CORP CVR	RR	√			√	√	
37185M985	RTS GENESYS S.A.21306	RR		√	√			
Closed End Fund (DTC sub-issue type 761)								
02504D108	CEF AMERICAN CAP SR F	+	√		√		√	
12811L107	CEF CALAMOS GLOBAL DIV		√			√	√	
33848W106	CEF FLAHERTY & CRUMRI	<		√	√		√	
67066Y105	CEF NUVEEN CA DIVIDEND			√		√	√	
Equity Unit (DTC sub-issue type 780)								
G0726L109	UTS AVISTA HEALTHCARE	F+	√		√		√	
G28195108	UTS DOUBLE EAGLE ACQU	F+	√			√	√	
42588J209	UTS HENNESSY CAP ACQU	+		√	√			New
580037141	UTS MCDERMOTT INTL IN	BEF+		√		√		New
33848W106	CEF FLAHERTY & CRUMRI	<						Deleted
67066Y105	CEF NUVEEN CA DIVIDEND							Deleted
Debt Unit (DTC sub-issue type 781)								
427056BC9	=U= HERCULES INC.				√		N/A	
442488BN1	=U= HOVNANIAN K ENTERP D10/02/12 05.170% JD17				√		√	N/A
Unit Investment Trust (Nuveen only) (DTC sub-issue type 790)								
6706H8803	NUVEEN TAX FREE PA 219		√		√		N/A	
67074G104	NUVEEN UNIT TRUST 133 ZACKS SELECT EQUITIES BLEND		√			√	N/A	

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			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order				
Production CUSIPs for T+2 testing								
Unit Investment Trust (DTC sub-issue type 795)								
30300M501	FIRST TRUST DOW TARGET 10 OCT '16 CASH	√			√		N/A	
30300M519	FIRST TRUST DOW TARGET 10 OCT '16 REINVEST	√			√		N/A	
40171J263	GUGGENHEIM DIVIDEND GROWTH PORTFOLIO SERIES 9	√			√		N/A	
40171H226	GUGGENHEIM SHORT DURATION HIGH YIELD TRUST, SERIES 46	√				√	N/A	
46139h281	INVESCO INVESTMENT GRADE CORPORATE TR EQUITY	√				√	N/A	
46137h416	INVESCO INVESTMENT GRADE CORPORATE TR FIXED INCOME	√				√	N/A	
Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)								
92343VBR4	VERIZON COMMUNICATIONS 05.150% 09/15/23	√			√		N/A	
35906AAP3	FRONTIER COMMUNICATIONS 06.250% 09/15/21	√				√	N/A	
423074AS2	HJ HEINZ 04.875% 02/15/25			√	√		N/A	
402040AH2	GUITAR CTR INC 06.500% 04/15/19			√		√	N/A	
MMI Institutional Certificates of Deposit (DTC sub-issue type 504)								
02587DC89	AMERICAN EXPRESS CENTURION BK CD 02.350% 10/07/20			√	√		N/A	
36160KK61	GE CAPITAL CD 02.700% 05/17/21			√		√	N/A	
Certificates of Deposit (DTC sub-issue type 507)								
140420L81	CAPITAL ONE BK CD 01.350% 10/28/19			√	√		N/A	
02006LQ63	ALLY BK MIDVALE UTAH CD 01.200% 10/29/18			√		√	N/A	
MMI Corporate Commercial Paper (DTC sub-issue type 525)								
19121AWD9	cCPCOCA-COLA COMPANY *4**DIS**D092816M091317BER\$			√			N/A	New
22533TL12	CP CREDIT AGRICOLE 11/1/16							Deleted
MTN Medium Term Note (DTC sub-issue type 530)								
<i>(production CUSIPs with required eligibility criteria for T+2 testing currently not available for this sub-issue type)</i>								
3136FPMH7	FEDERAL NATL MTG ASSN MEDIUM TERM NTS 02.500% 09/29/17							Deleted
3136G0C82	FEDERAL NATL MTG ASSN MEDIUM TERM NTS 01.500% 12/24/19							Deleted

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Production CUSIPs for T+2 testing								
MMI Deposit Note (DTC sub-issue type 531)								
74977EPZ0	RABOBANK 1.700% 3/19/18			√	√		N/A	
74977EPH0	RABOBANK 4/17/22			√		√	N/A	
MMI Medium-Term Bank Note (DTC sub-issue type 532)								
20271RAL4	COMMONWEALTH BK 1.75% 11/2/18			√		√	N/A	
20271RAC4	COMMONWEALTH BK 1.90% 9/18/17			√	√		N/A	
MMI Medium Term Note (DTC sub-issue type 533)								
02006DHT1	ALLY FINANCIAL 3.250% 12/17/18	√			√		N/A	
36962G5J9	GENERAL ELEC CAP 10/18/21	√				√	N/A	
85171RAA2	SPRINGLEAF FIN 6.900% 12/17/17			√	√		N/A	
01306GAC7	ALBERTA 2.050% 08/17/26			√		√	N/A	
Collateralized Mtg Obligation or Global CMO (DTC sub-issue type 540)								
02660TFZ1	GCMO AMERICAN HOME05-3 D09/01/05 4.990% JJ35			√	√		N/A	
3137A8PN2	CMO FEDERAL HOME LN MT D04/01/11 03.427% 20			√		√	N/A	
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	
004375CA7	GABS ACCRMORT 04-4 D11/22/04 0.010% JJ35			√		√	N/A	
Non-CMO/ABS Amortizing Issue (DTC sub-issue type 542)								
041150DJ9	ARKANSAS ST S AR D09-16-10 0.010% FA43 BE			√	√		N/A	
051687DB4	AURORA CNTY MTG RV IL D02/15/07 5.500% JJ39 BE			√		√	N/A	
Corporate Other Tax Exempt (DTC sub-issue type 546)								
547861AG9	LOWER BRULE 05.875% 3/1/25			√	√		N/A	
67662LAE1	OGLALA SIOUX TRIBE 05.500% 10/1/24			√		√	N/A	
Corporate Auction Rate Note (DTC sub-issue type 571)								
072865AA6	BAYLOR HLTH & CARE 11/15/25			√	√		N/A	
19458LAP5	COLLEGIATE FDG 12/28/43			√		√	N/A	

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(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

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)	Notes
			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order				
Production CUSIPs for T+2 testing								
Convertible Corporate Debt (DTC sub-issue type 572)								
04010LAM5	ARES CAP CORP 04.375% 1/15/19	√			√		N/A	
043353AH4	ARVINMERITOR INC 4.000% 2/15/27	√				√	N/A	
458140AF7	INTEL 3.25 8/1/39			√	√		N/A	
670008AD3	NOVELLUS 02.625% 05/15/41			√		√	N/A	
Corporate VRDO / Municipal VRDO (MMD) (DTC sub-issue type 576)								
025864BF5	AMERICAN FALLS IDAHO 2/1/25			√	√		N/A	
038315EF0	APPLING CNTY GA DEV AUTH 9/1/29			√		√	N/A	
Corporate Insured Custodial Receipt (DTC sub-issue type 577)								
153609AW2	CENTRAL HUDSON GAS 5.804% 3/23/37	√			√		N/A	
362311AH5	GTE CALIF INC 6.75% 5/15/27	√				√	N/A	
36150JAB6	GBG LLC 9/1/27/27			√	√		N/A	
455434BJ8	INDIANAPOLIS POWER 6.050% 10/1/36			√		√	N/A	
Zero Coupon Bond (DTC sub-issue type 579)								
690353UC9	OVERSEAS PRIVATE INVNT D11/15/11 00.000% 20	√			√		N/A	New
690353ZV2	OVERSEAS PRIVATE INVNT D06/23/14 00.000% 17	√				√	N/A	New
3128X0AV1	FEDERAL HOME LOAN MTN 0.00% 4/15/32							Deleted
3128X0AW9	FEDERAL HOME LOAN MTN 0.00% 6/15/32							Deleted
Municipal Bond (DTC sub-issue type 310)								
64990HV56	NEW YORK ST DORM 03.000% 07/01/33	√			√		N/A	
452151LF8	ILLINOIS ST 05.100% 06/01/33	√				√	N/A	
59333TBA7	MIAMI-DADE CNTY FLA 04.375% 06/01/37			√	√		N/A	
542690NW8	LONG ISLAND PWR AUTH 00.000% 06/01/23			√		√	N/A	
Municipal Note (DTC sub-issue type 311)								
027651VY1	AMERICAN MUN PWR-OH OH D10/20/16 02.000% 17 BE	√			√		N/A	
073551AA1	BEACHWOOD OHIO CITY OH D05/27/10 04.750% DJ19 BE	√				√	N/A	
Municipal Auction Rate Note (ARN) (DTC sub-issue type 312)								
00037CEM8	ABAG AUTH REV 6/01/32			√	√		N/A	
010632JP3	ALABAMA ST UNIV 03/01/33			√		√	N/A	

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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

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)	Notes
			Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order				
Production CUSIPs for T+2 testing								
Municipal Variable Rate Demand Obligation (VRDO) (DTC sub-issue type 314)								
00037CPP9	ABAG FIN AUTH 08/01/35			√	√		N/A	
010399BW2	ALABAMA SPL CARE FACS 11/15/46			√		√	N/A	
Municipal Insured Custodial Receipt (DTC sub-issue type 315)								
01728VQF0	ALLEGHENY CNTY PA PA D10/11/12 05.000% JD34 BE	√			√		N/A	
067203EC9	BARBERTON SD IMP GO OH D08/07/08 4.500% JD18 RR	√				√	N/A	
13062T7Z1	CALIFORNIA STATE GO CA D11-01-01 5.000% MN30 RR			√	√		N/A	
64966F5Q3	NEW YORK CITY GO NY 05.250% 06/01/27			√		√	N/A	
MMI Municipal VRDO/CP (DTC sub-issue type 320)								
64972RAD2	NEW YORK N Y CITY TR CULTURAL 04/01/44			√	√		N/A	
64972SAE8	NEW YORK N Y CITY TR CULTURAL 04/01/44			√		√	N/A	New
57587FCL9	MASSACHUSETTS ST INDL FIN AGY 01.050% 11/10/16							Deleted
Municipal Other Tax Exempt (DTC sub-issue type 346)								
545910AQ4	LOUDOUN CNTY VA IND VA D05/15/13 00.010% JD43 BE	√			√		N/A	
05219RAA4	AUSTIN BLUFFS GEN I CO 06.500% 12/1/33	√				√	N/A	
010608J32	ALABAMA ST PUB 04.885% 12/1/18			√	√		N/A	
03255MPK7	ANAHEIM CALIF PUB FING AUTH 04/01/33			√		√	N/A	
MMI Short-Term Bank Note (DTC sub-issue type 550)								
06053PUB1	CBSBANK OF AMERICA, N*2**VAR**D011217M081417GLN% (Maturity Date 8/14/2017)			√	√		N/A	New
06053PUC9	CBSBANK OF AMERICA, N*2**VAR**D011817M081617GLN% (Maturity Date 08/16/2017)			√		√	N/A	New
MMI Municipal Commercial Paper (DTC sub-issue type 330)								
54270GAT1	CMTLONG ISLAND PWR AU*2 0.970%D122816M092817GLX+			√	√		N/A	New
54270GAU8	CMTLONG ISLAND PWR AU*2 0.970%D010317M100317GLX+			√		√	N/A	New

(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.



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)	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>					
Dummy CUSIP for T+2 industry testing						
Municipal Bond When-Issued (WI) CUSIP						
102616GQ6	Muni WI Dummy CUSIP 03000					
<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>						

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 past T+2 industry testing period/ September 5th, 2017

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

DTC will provide additional CUSIPs for T+2 testing with later maturity dates, as they become available.

- (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.
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- (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 PSB.

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



List of CUSIPs for Corporate Actions Testing

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



List of CUSIPs for Corporate Actions Testing

		CNS Eligible	Non-CNS Eligible		With position at DTC	Without Position at DTC	Eligible for Bats order generator functionality
CUSIP	Description		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
Certificates of Deposit (DTC sub-issue type 507)							
06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20			√	√		N/A
Collateralized Mtge Obligation or Global CMO (DTC sub-issue type 540)							
05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51			√	√		N/A
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
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
Convertible Corporate Debt (DTC sub-issue type 572)							
88160RAB7	GCB TESLA MTRS INC D03/05/14 00.250% MS19	√			√		N/A
Corporate Debt Derivative (DTC sub-issue type 704)							
29364P202	ENERGY NEW ORLEANS I NC 4.36% PFD +	√			√		N/A
Equity Derivative (DTC sub-issue type 705)							
74272L208	PRIVATEBANCORP CAP TR	√			√		N/A
Right (DTC sub-issue type 730)							
203668116	RTS COMMUNITY H BE+			√	√		N/A
Closed End Fund (DTC sub-issue type 761)							
74348T102	PROSPECT CAPITAL CORPORATION RR	√			√		N/A
Unit Investment Trust (Nuveen only) (DTC sub-issue type 790)							
67076B103	UIT NUVEEN UNIT INVT BE+	√			√		N/A
Unit Investment Trust (DTC sub-issue type 795)							
40169N599	UIT GUGGENHEIM DEFINE BE+	√			√		N/A