TEST CUSIPS FOR T+1 INDUSTRY TESTING

NOVEMBER 28, 2023

TEST CUSIPS FOR T+1 INDUSTRY TESTING

The Depository Trust & Clearing Corporation (DTCC) published the [T+1 Detailed Testing Framework](#), 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+1. To facilitate Industry testing, DTCC has identified test CUSIPs ("T+1 test CUSIPs") that Industry Members can use to test the various test scenarios. This includes unique test CUSIPs specifically identified for T+1 Corporate Action test scenarios. The T+1 test CUSIPs that were selected contain the specific parameters needed to test each individual test scenario identified in the testing document.

In addition to the T+1 test CUSIPs, which will be monitored and controlled as part of the T+1 test, most DTCC eligible production CUSIPs will also be eligible in the DTCC test environment. Members can conduct T+1 testing using the designated T+1 test CUSIPs or can do their own free form testing in other CUSIPs available in the test environment. As noted, the non-T+1 test CUSIPs eligible in the DTCC test environment will not be monitored and controlled as part of the T+1 test.

For exchange activity, Members will be able to submit test trades to them 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+1 Detailed Testing document for more details).

All T+1 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+1 industry testing period.

DTCC has categorized T+1 test CUSIPs by the various DTC product types (sub-issue types) that are in scope for T+1.

DTCC will publish any additions or updates to the existing list of T+1 test CUSIPs on the UST1.ORG website, as an addendum to this document.

T+1 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+1 testing for the number of shares per test CUSIP below).

- o 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+1 Detailed Testing for more details).

As stated in the T+1 Detailed Testing Framework document, specific T+1 test CUSIPs are not required to conduct the following test scenarios:

- Testing T+1 functional changes to the ETF Create/Redeem process. 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+1 Detailed Testing 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+1 testing.

Members should submit any questions or comments related to the T+1 test CUSIPs to UST1@dtcc.com

| List of CUSIPs for T+1 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+1 testing								
CUSIP **Description**								
Common Stock (DTC sub-issue type 010)								
037833100 APPLE INCORPORATED	√			√		√	500,000	
052769106 AUTODESK INC (DEL)	√			√		√	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	
H50430232 LOGITECH INTL S.A.	√			√		√	500,000	
M8216q200 REWALK ROBOTICS LTD	√			√		√	500,000	
G0223V105 ALPHATIME ACQUISITION CORP		√			√	√	0	
720795103 PIRS PHARMACEUTICAL	√				√	√	500,000	
L6388F110 MILLICOM INTERNATIONAL CELLULAR NEW	√			√			500,000	
68405E107 OPTIMUS HEALTH CARE			√		√		0	
603170101 MINERALYS THERAPEUTICS INC			√		√		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	
03444Q209 ANDREW PELLER LIMITED CLASS B CONV		√		√			500,000	

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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.

List of CUSIPs for T+1 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+1 testing								
CUSIP **Description**								
Common Stock REIT (DTC sub-issue type 012)								
U35915112 REGS GAIA REIT BE+		√		√			500,000	
39949R102 144A GROUND LEA BE+			√	√			500,000	
709102800 PENNSYLVANIA REAL ESTATE INVT TR			√		√		0	
Preferred Stock (DTC sub-issue type 020)								
80349A869 PFD SARATOG BE<		√		√			500,000	
376546875 PFD GLADSTONE I +		√			√		500,000	
075896209 PFD BED BATH & BE+			√	√			500,000	
Preferred Stock REIT (DTC sub-issue type 022)								
758075808 GPFD REDWOOD TR BE+	√				√	√	0	
Convertible Preferred Stock (DTC sub-issue type 023)								
090911603 CVPR BIOLASE IN +			√	√			500,000	
29336U206 CVPR ENLINK MID *<			√		√		0	
Limited Partnership (DTC sub-issue type 030)								
01877R108 LTD ALLIANCE RESOURCE	√			√		√	500,000	
36761Q105 LP GATEWAY GARA +			√	√			500,000	
Auction Rate Preferred Stock - ARPS (DTC sub-issue type 102)								
09249X208 $ARP BLACKROCK MUN2020	√			√			500,000	
26202F305 $ARP DREYFUS MUNI <B>	√				√		0	
023138506 $ARP144A AMBAC ASSUR D			√	√			500,000	

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List of CUSIPs for T+1 Testing

		Non-CNS Eligible [a]						
List of CUSIPs for T+1 Testing	CNS Eligible [a]	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order	With position at DTC [b]	Without Position at DTC [c]	Eligible for Bats order generator functionality [d]	DTC security positions	Notes
Production CUSIPs for T+1 testing								
CUSIP / **Description**								
American Depository Receipt - ADR (DTC sub-issue type 110)								
00652F107 — ADR ADARO ENERGY PT F	√			√			500,000	
045519402 — ASSOCIATED BRITISH FOODS PLC ADR NEW	√				√		0	
Y3746T110 — REGS HUB POWER CO GDR			√	√			500,000	
Depository Share (DTC sub-issue type 111)								
03754H104 — DPS APERAM F	√			√		√	500,000	
03027X407 — DPS AMERICAN TO BE<			√		√		0	
Exchange Traded Funds (DTC sub-issue type 117)								
921908844 — VANGUARD DIVIDEND APPRECIATION ETF	√			√		√	500,000	
33739E108 — FIRST TR PFD SECS & INCOME ETF	√				√	√	0	
78464A128 — SPDR S&P 1500 VALUE TILT ETF	√				√	√	0	
381430545 — GOLDMAN SACHS HEDGE IND VIP ETF	√				√	√	0	
78462F103 — SPDR S&P 500 (SPY)	√			√			500,000	
Corporate Debt Derivative (DTC sub-issue type 704)								
22080E205 — GPFD CORTS TR BELLSTH	√				√		0	
61775MLY0 — MORGAN STANLEY FBE+#			√		√		0	

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List of CUSIPs for T+1 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+1 testing								
CUSIP Description								
Equity Derivative (DTC sub-issue type 705)								
05539S206 BFC CAPITAL TRUST II	√			√		√	500,000	
90304C198 UBS AG LONDON B BEF+		√		√			500,000	
Warrant (DTC sub-issue type 720)								
05360L148 GWTS AVENUE THE +		√		√		√	500,000	
67091J156 WTS NXT-ID INC *+		√			√	√	0	
Right (DTC sub-issue type 730)								
37185M985 RTS GENESYS S.A.21306		√		√			500,000	
Closed End Fund (DTC sub-issue type 761)								
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)								
051276202 =U= AUGUSTA GOL +		√		√			500,000	
Debt Unit (DTC sub-issue type 781)								
427056BC9 =U= HERCULES INC.			√	√		N/A	500,000	

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List of CUSIPs for T+1 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+1 testing								
CUSIP Description								
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	
Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)								
459200AM3 INTERNATIONAL BUSINESS MACHS CORP 7.00% 10/30/2025	√			√		N/A	500,000	
12429TAE4 BWAY HLDG CO 7.25% 04/12/2025			√	√		N/A	500,000	
MMI Institutional Certificates of Deposit (DTC sub-issue type 504)								
17294X3N4 CITIBANK N.A. MKT LKD RETAIL *VAR* 01/30/25			√	√		N/A	500,000	
36162YG31 GOLDMAN SACHS BK USA – CD 2.55% 01/30/25			√	√		N/A	0	
Certificates of Deposit (DTC sub-issue type 507)								
00832KBS7 CD AFFINITY FED BE+# 5.80% 11/08/24			√	√		N/A	500,000	
38147JQW5 GOLDMAN SACHS BK US D12/27/13 03.200% JD23			√	√		N/A	500,000	
MMI Corporate Commercial Paper (DTC sub-issue type 525)								
68559JQS2 ORBIAN FINL SVCS LLC IAM COML PAPER 4/2 6.91949% 05/01/25			√	√		N/A	500,000	
68559JQV5 ORBIAN FINL SVCS LLC IAM COML PAPER 4/2 6.73301 05/08/25			√	√		N/A	500,000	
Bankers' Acceptance (DTC sub-issue type 502)								
90349WGK0 U S BK NATL ASSN MINNEAPOLIS MINN DISC BANKERS ACCEP 5.64% 07/19/2024			√	√		N/A	500,000	
90349WGS3 U S BK NATL ASSN MINNEAPOLIS MINN DISC BANKERS ACCEP 5.63% 07/26/2024			√	√		N/A	0	

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	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+1 testing								
CUSIP Description								
MMI Medium-Term Bank Note (DTC sub-issue type 532)								
22552WY90 CREDIT SUISSE AG LONDON BRH MEDIUM TERM NTS BOOK ENTRY VAR 12/23/25			√	√		N/A	0	
13607XA98 CANADIAN IMPERIAL BK COMM MEDIUM TERM NTS BOOK ENTRY VAR 12/24/25			√	√		N/A	500,000	
MMI Medium Term Note (DTC sub-issue type 533)								
40057CFK2 GS FIN CORP MEDIUM TERM NTS VAR 07/31/26	√			√		N/A	500,000	
48132CYE7 JPMORGAN CHASE FINL CO LLC VAR 07/21/26	√			√		N/A	500,000	
Collateralized Mtge Obligation or Global CMO (DTC sub-issue type 540)								
12569VAB5 GCMO144A CIM TR BE+# 06/25/2062			√	√		N/A	500,000	
10568MAJ3 CMO144A BRAVO REBE+# 01/25/2063			√		√	N/A	500,000	
Asset-Backed Security (ABS) or Global ABS (GABS) (DTC sub-issue type 541)								
126673N81 CWABS INC 2005-4 SER 2005-4 CL AF-5B 4.77782% 10/25/2035 BOND			√	√		N/A	500,000	
Non-CMO/ABS Amortizing Issue (DTC sub-issue type 542)								
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)								
19458LAP5 COLLEGIATE FDG 12/28/43			√	√		N/A	500,000	

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List of CUSIPs for T+1 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+1 testing								
CUSIP Description								
Convertible Corporate Debt (DTC sub-issue type 572)								
458140AF7 INTEL 3.25 8/1/39			√	√		N/A	500,000	
Corporate VRDO / Municipal VRDO (MMD) (DTC sub-issue type 576)								
025864BF5 AMERICAN FALLS IDAHO 2/1/25			√	√		N/A	500,000	
038315EF0 APPLING CNTY GA DEV AUTH 9/1/29			√		√	N/A	0	
Corporate Insured Custodial Receipt (DTC sub-issue type 577)								
153609AW2 CENTRAL HUDSON GAS 5.804% 3/23/37	√			√		N/A	500,000	
362311AH5 GTE CALIF INC 6.75% 5/15/27	√				√	N/A	0	
455434BJ8 INDIANAPOLIS POWER 6.050% 10/1/36			√		√	N/A	0	
Municipal Bond (DTC sub-issue type 310)								
64990HV56 NEW YORK ST DORM 03.000% 07/01/33	√			√		N/A	500,000	
452151LF8 ILLINOIS ST 05.100% 06/01/33	√				√	N/A	0	
Municipal Auction Rate Note (ARN) (DTC sub-issue type 312)								
00037CEM8 ABAG AUTH REV 6/01/32			√	√		N/A	500,000	
010632JP3 ALABAMA ST UNIV 03/01/33			√		√	N/A	0	

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		Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
Production CUSIPs for T+1 testing								
CUSIP **Description**								
Municipal Variable Rate Demand Obligation (VRDO) (DTC sub-issue type 314)								
00037CPP9 ABAG FIN AUTH 08/01/35			√	√		N/A	500,000	
Municipal Insured Custodial Receipt (DTC sub-issue type 315)								
067203EC9 BARBERTON SD IMP GO OH D08/07/08 4.500% JD18 RR	√				√	N/A	0	
13062T7Z1 CALIFORNIA STATE GO CA D11-01-01 5.000% MN30 RR			√	√		N/A	500,000	
64966F5Q3 NEW YORK CITY GO NY 07/10/24 05.250% 06/01/27			√		√	N/A	0	
MMI Municipal VRDO/CP (DTC sub-issue type 320)								
75914SAA3 REGIONAL TRANSN AUTH ILL EXTENDIBLE RESET SECS BOOK 07/01/25			√	√		N/A	500,000	
Municipal Other Tax Exempt (DTC sub-issue type 346)								
545910AQ4 LOUDOUN CNTY VA IND VA D05/15/13 00.010% JD43 BE	√			√		N/A	500,000	
MMI Short-Term Bank Note (DTC sub-issue type 550)								
06054R7B2 BANK AMER N A SHORT TERM BK NTBOOK ENTRY 3/A2 11/15/24			√	√		N/A	500,000	
87166FAD5 SYNCHRONY BK GLOBAL SR SHORT-TERM BK NTS BOOK ENT 5.40% 08/22/25			√	√		N/A	0	
MMI Municipal Commercial Paper (DTC sub-issue type 330)								
19670ABK1 COLORADO ST BRD GOVERNORS UNIVREV IAM COML PAPER NTS 3/A2 05/02/24			√	√		N/A	500,000	
79625UKZ4 SAN ANTONIO TEX ELEC & GAS REVIAM COML PAPER NTS 3/A2 SER A 07/10/24			√	√		N/A	0	

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List of CUSIPs for T+1 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+1 testing								
CUSIP **Description**								
Dummy CUSIP for T+1 industry testing								
Municipal Bond When-Issued (WI) CUSIP								
102616GQ6 Muni WI Dummy CUSIP 03000	√				√	N/A	0	

Coupon Rate = 3.0, First Payable Date = 8/01/2024, Maturity Date = 8/01/2034, Interest Calculation Code = 30/360, Interest Payment Frequency = Semi Annual, Call Data = no call.

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 = 8/17/23, Test Cycle 2 = 8/31/2023, Test Cycle 3 = 9/14/23, Test Cycle 4 = 9/28/23, Test Cycle 5 = 10/12/23, Test Cycle 6 = 10/26/23, Test Cycle 7 = 11/9/23, Test Cycle 8 = Thanksgiving, Test Cycle 9 = 12/7/23, Test Cycle 10 = 12/21/23, Test Cycle 11 = 1/5/24, Test Cycle 12 = 1/18/24, Test Cycle 13 = 2/1/24, Test Cycle 14 = 2/15/24, Test Cycle 15 = 2/29/24, Test Cycle 16 = 3/14/24, Test Cycle 17 = 3/28/24, Test Cycle 18 = 4/11/24, Test Cycle 19 = 4/25/24, Test Cycle 20 = 5/9/24, Test Cycle 21 = 5/23/24

Equity (Common Stock) When-Issued (WI) CUSIP								
102616208 TEST +1 CUSIP 102616208	√				√	N/A	0	New

Security Class = Common Stock, Currency = US Dollar, Units of Trading = 100
WI Settlement Date will be set to the <u>second Wednesday within each test cycle</u>, as follows :Test Cycle 1 = 8/23/23, Test Cycle 2 = 9/6/23, Test Cycle 3 = 9/20/23, Test Cycle 4 = 10/4/23, Test Cycle 5 = 10/18/23, Test Cycle 6 = 11/1/23, Test Cycle 7 = 11/15/23, Test Cycle 8 = 11/29/23, Test Cycle 9 = 12/13/23, Test Cycle 10 = 12/27/23, Test Cycle 11 = 1/10/24, Test Cycle 12 = 1/24/24, Test Cycle 13 = 2/7/24, Test Cycle 14 = 2/21/24, Test Cycle 15 = 3/6/24, Test Cycle 16 = 3/20/24, Test Cycle 17 = 4/3/24, Test Cycle 18 = 4/17/24, Test Cycle 19 = 5/1/24, Test Cycle 20 = 5/15/24, Test Cycle 21 = 5/29/24

(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.

TEST CUSIPS FOR T+1 CORPORATE ACTION TESTING

DTCC has identified the following unique CUSIPs for T+1 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+1 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 UST1.ORG, no later than one week prior to the start of each testing cycle.

Corporate Action test events will include events that closely mirror the testing scenarios identified and described in the T+1 Detailed Testing document, and events that although not impacted by the move to a T+1 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+1 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. Different disbursed CUSIPs and Contra (user) CUSIPs may also be used for similar events announced and processed in previous cycles.

DTC will establish security positions (10,000 – 100,000 securities depending on the security type) in each of the Corporate Action test CUSIPs for all DTC Members at the beginning of each T+1 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.

It is important to note that the CA CUSIPs (including disbursed and contra securities) are subject to change without notice and that firms should always refer to the CA Test Scenarios for each cycle that will be available on UST1.org.

Members should submit any questions or comments related to the T+1 test CUSIPs to ust1@dtcc.com

List of CUSIPs for Corporate Action Testing	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+1 testing							
CUSIP **Description**							
Common Stock (DTC sub-issue type 010)							
192422103 COGNEX	√			√		√	10,000
12628R107 CSB BANCORP INC (OHIO)	√			√		N/A	10,000
902494103 TYSON FOODS, INC.	√			√		√	10,000
364760108 GAP INC.	√			√		√	10,000
714046109 REVVITY INC. COM	√			√		N/A	10,000
55303J106 MGP INGREDIENTS INC	√			√		N/A	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)							
14167R308 CARECLOUD INC	√			√		N/A	10,000
Preferred Stock REIT (DTC sub-issue type 022)							
78590A406 SACHEM CAPITAL COPR 7.75% NOTES DUE 2025	√			√		N/A	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)							
108441205 BRIDGESTONECORPADR*	√			√		N/A	10,000
83175M205 SMITH & NEPHEW GROUP PLC	√			√		N/A	10,000
Exchange Traded Funds (DTC sub-issue type 117)							
47103U100 ETF JANUS DETROIT STR	√			√		√	10,000
Municipal Bond (DTC sub-issue type 310)							
643154JL2 KY COMMWLTH REF RV KY D05/14/08 4.500% MN18 BE	√			√		√	10,000
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

	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+1 testing							
CUSIP — **Description**							
Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)							
61772BAB9 — MORGAN STANLEY GLOBAL MEDIUM-TERM NOTES, SERIES I	√			√		N/A	10,000
24703DBG5 — DELL INTERNATIONAL L.L.C. AND EMC CORPORATION			√	√		N/A	10,000
49177JAE2 — KENVUE INC			√	√		N/A	10,000
Certificates of Deposit (DTC sub-issue type 507)							
444425AA0 — CD Barclays BK DEL WIL D12/30/13 0.010%			√	√		N/A	100,000
Collateralized Mtge Obligation or Global CMO (DTC sub-issue type 540)							
61762FAM8 — GCMO BOACM 2008-1 D06/01/08 0.010% JJ51			√	√		N/A	100,000
64830XCJ6 — GCMO BOACM 2008-1 D06/01/08 0.010% JJ51							
Asset-Backed Security (ABS) or Global ABS (GABS) (DTC sub-issue type 541)							
G18375AA6 — 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)							
G84393AC4 — STAR ENERGY GEOTHERMAL (WAYANG WINDU) LTD DUE 2033			√	√		N/A	100,000
Convertible Corporate Debt (DTC sub-issue type 572)							
46124AAA9 — CB144A INVACARE HLDG D05/05/23 7.5% MN28	√			√		N/A	10,000
Corporate Debt Derivative (DTC sub-issue type 704)							
61768CBJ5 — MORGAN STANLEY ABS CAPTIAL I 2006-NC1			√	√		N/A	10,000
Equity Derivative (DTC sub-issue type 705)							
11276B109 — BROOKFIELD INFRASTRUCTURE	√			√		N/A	10,000
Right (DTC sub-issue type 730)							
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)							
67062J102 — NUVEEN MUNICIPAL INCOME FUND INC	√			√		N/A	10,000
67101M454 — NUVEEN TAX EXEMPT UNIT TRUST GEORGIA INSURED 27	√			√		N/A	10,000
Unit Investment Trust (DTC sub-issue type 795)							
46137L144 — INVESCO UNIT TRUSTS TAXABLE INCOME SERIES 489 INVESTMENT	√			√		N/A	10,000
00781N575 — ADVISORS DISCIPLINED TR	√			√		N/A	10,000
00781N591 — ADVISORS DISCIPLINED TR	√			√		N/A	10,000

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| 00781P109 | ADVISORS DISCIPLINED TR | √ | | | √ | | N/A | 10,000 |
| 00781P117 | ADVISORS DISCIPLINED TR | √ | | | √ | | N/A | 10,000 |