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# **TEST CUSIPS FOR T+1 INDUSTRY TESTING**

*APRIL 25, 2023*

## TEST CUSIPS FOR T+1 INDUSTRY TESTING

The Depository Trust & Clearing Corporation (DTCC) published the [T+1 Detailed Testing 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+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).

- 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](mailto:UST1@dtcc.com)**

## List of CUSIPs for T+1 Testing

CNS Eligible <sup>(a)</sup>	Non-CNS Eligible <sup>(a)</sup>		With position at DTC <sup>(b)</sup>	Without Position at DTC <sup>(c)</sup>	Eligible for Bats order generator functionality <sup>(d)</sup>	DTC security positions	Notes
	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>Common Stock (DTC sub-issue type 010)</b>							
037833100			√		√	500,000	
052769106			√		√	500,000	
459200101			√		√	500,000	
594918104			√		√	500,000	
717081103			√	√	√	0	
30231G102			√	√	√	0	
084670702			√	√	√	0	
254687106			√	√	√	0	
H50430232	√		√	√	√	500,000	
M8216Q101		√	√		√	500,000	
366554103		√		√	√	0	
720795103	√	√		√	√	500,000	
G06750106			√	√		500,000	
L6388F110			√			500,000	
037703105				√		0	
12647K109				√		0	
063671101	√		√		√	500,000	
780087102	√		√		√	500,000	
<b>Convertible Common Stock (DTC sub-issue type 011)</b>							
00972D105	√		√		√	500,000	
03444Q209		√	√			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.

## List of CUSIPs for T+1 Testing

CNS Eligible <sup>(a)</sup>	Non-CNS Eligible <sup>(a)</sup>		With position at DTC <sup>(b)</sup>	Without Position at DTC <sup>(c)</sup>	Eligible for Bats order generator functionality <sup>(d)</sup>	DTC security positions	Notes
	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>Common Stock REIT (DTC sub-issue type 012)</b>							
125525105			√		√	500,000	
20341J104			√	√	√	0	
59934P101	√		√			500,000	
18885T108		√	√			500,000	
58409L108		√		√		0	
<b>Preferred Stock (DTC sub-issue type 020)</b>							
010392488	√		√			500,000	
373334119	√			√		0	
19075Q805		√	√			500,000	
<b>Preferred Stock REIT (DTC sub-issue type 022)</b>							
44106M607	√			√	√	0	
<b>Convertible Preferred Stock (DTC sub-issue type 023)</b>							
713661403	√			√	√	0	
46269C300			√			500,000	
U16450204			√	√		0	
<b>Limited Partnership (DTC sub-issue type 030)</b>							
01877R108	√		√		√	500,000	
09625U109	√			√	√	0	
888226107		√	√			500,000	
<b>Auction Rate Preferred Stock - ARPS (DTC sub-issue type 102)</b>							
09249X208	√		√			500,000	
26202F305	√			√		0	
023138506		√	√			500,000	

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## List of CUSIPs for T+1 Testing

CNS Eligible <sup>(a)</sup>	Non-CNS Eligible <sup>(b)</sup>		With position at DTC <sup>(b)</sup>	Without Position at DTC <sup>(c)</sup>	Eligible for Bats order generator functionality <sup>(d)</sup>	DTC security positions	Notes
	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>American Depository Receipt - ADR (DTC sub-issue type 110)</b>							
00652F107			√			500,000	
045519402			√	√		0	
Y3746T110			√			500,000	
00437R103			√	√		0	
<b>Depository Share (DTC sub-issue type 111)</b>							
03754H104	√		√		√	500,000	
05461Y106			√	√		500,000	
020279105			√	√		0	
<b>Exchange Traded Funds (DTC sub-issue type 117)</b>							
921908844	√		√		√	500,000	
33739E108	√			√	√	0	
78464A128	√			√	√	0	
381430545	√			√	√	0	
78462F103	√		√			500,000	
<b>Corporate Debt Derivative (DTC sub-issue type 704)</b>							
22080E205	√			√		0	
63873MBU6			√	√		500,000	
G67262AB4			√	√		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.

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## List of CUSIPs for T+1 Testing

	CNS Eligible <sup>(a)</sup>	Non-CNS Eligible <sup>(a)</sup>		With position at DTC <sup>(b)</sup>	Without Position at DTC <sup>(c)</sup>	Eligible for Bats order generator functionality <sup>(d)</sup>	DTC security positions	Notes
		Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>								
<b>CUSIP</b>								
<b>Description</b>								
<b>Equity Derivative (DTC sub-issue type 705)</b>								
05539S206	√			√		√	500,000	
30729Q604		√		√			500,000	
<b>Warrant (DTC sub-issue type 720)</b>								
88224Q115		√		√		√	500,000	
82669G112		√			√	√	0	
<b>Right (DTC sub-issue type 730)</b>								
37185M985		√		√			500,000	
<b>Closed End Fund (DTC sub-issue type 761)</b>								
12811L107	√				√	√	0	
33848W106		√		√		√	500,000	
67066Y105	√				√	√	0	
<b>Equity Unit (DTC sub-issue type 780)</b>								
42588J209		√		√			500,000	
580037141		√			√		0	
<b>Debt Unit (DTC sub-issue type 781)</b>								
427056BC9			√	√		N/A	500,000	
442488BN1			√		√	N/A	0	

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	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>Unit Investment Trust (Nuveen only) (DTC sub-issue type 790)</b>							
6706H8803			√		N/A	500,000	
67074G104			√	√	N/A	0	
<b>Unit Investment Trust (DTC sub-issue type 795)</b>							
30300M501			√		N/A	500,000	
30300M519			√		N/A	500,000	
40171J263			√		N/A	500,000	
40171H226			√	√	N/A	0	
<b>Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)</b>							
423074AS2				√	N/A	500,000	
402040AH2				√	N/A	0	
<b>MMI Institutional Certificates of Deposit (DTC sub-issue type 504)</b>							
17294X3N4				√	N/A	500,000	
36162YG31				√	N/A	0	
<b>Certificates of Deposit (DTC sub-issue type 507)</b>							
140420L81				√	N/A	500,000	
02006LQ63				√	N/A	0	
<b>MMI Corporate Commercial Paper (DTC sub-issue type 525)</b>							
68559JLZ1				√	N/A	500,000	
68559JLT5							
<b>Bankers' Acceptance (DTC sub-issue type 502)</b>							
90349XYT9				√	N/A	500,000	
90349XYU6				√	N/A	0	

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		Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>								
<b>CUSIP Description</b>								
<b>MMI Medium-Term Bank Note (DTC sub-issue type 532)</b>								
22552WY90			√	√		N/A	0	
13607XA98			√	√		N/A	500,000	
<b>MMI Medium Term Note (DTC sub-issue type 533)</b>								
40057CFK2	√		√	√		N/A	500,000	
48132CYE7	√		√	√		N/A	500,000	
<b>Collateralized Mtg Obligation or Global CMO (DTC sub-issue type 540)</b>								
02660TFZ1			√	√		N/A	500,000	
3137A8PN2			√		√	N/A	0	
<b>Asset-Backed Security (ABS) or Global ABS (GABS) (DTC sub-issue type 541)</b>								
126673N81			√	√		N/A	500,000	
<b>Non-CMO/ABS Amortizing Issue (DTC sub-issue type 542)</b>								
051687DB4			√		√	N/A	500,000	
<b>Corporate Other Tax Exempt (DTC sub-issue type 546)</b>								
547861AG9			√	√		N/A	500,000	
67662LAE1			√		√	N/A	0	
<b>Corporate Auction Rate Note (DTC sub-issue type 571)</b>								
072865AA6			√	√		N/A	500,000	
19458LAP5			√		√	N/A	0	

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	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP Description</b>							
<b>Convertible Corporate Debt (DTC sub-issue type 572)</b>							
458140AF7	INTEL 3.25 8/1/39	√	√		N/A	500,000	
670008AD3	NOVELLUS 02.625% 05/15/41			√	N/A	0	
<b>Corporate VRDO / Municipal VRDO (MMD) (DTC sub-issue type 576)</b>							
025864BF5	AMERICAN FALLS IDAHO 2/1/25	√	√		N/A	500,000	
038315EF0	APPLING CNTY GA DEV AUTH 9/1/29			√	N/A	0	
<b>Corporate Insured Custodial Receipt (DTC sub-issue type 577)</b>							
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	
36150JAB6	GBG LLC 9/1/27/27		√		N/A	500,000	
455434BJ8	INDIANAPOLIS POWER 6.050% 10/1/36		√	√	N/A	0	
<b>Municipal Bond (DTC sub-issue type 310)</b>							
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	
59333TBA7	MIAMI-DADE CNTY FLA 04.375% 06/01/37		√		N/A	500,000	
<b>Municipal Note (DTC sub-issue type 311)</b>							
		√	√		N/A	500,000	
		√		√	N/A	0	
<b>Municipal Auction Rate Note (ARN) (DTC sub-issue type 312)</b>							
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					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>Municipal Variable Rate Demand Obligation (VRDO) (DTC sub-issue type 314)</b>							
00037CPP9			√		N/A	500,000	
010399BW2			√	√	N/A	0	
<b>Municipal Insured Custodial Receipt (DTC sub-issue type 315)</b>							
067203EC9	√			√	N/A	0	
13062T7Z1			√		N/A	500,000	
64966F5Q3			√	√	N/A	0	
<b>MMI Municipal VRDO/CP (DTC sub-issue type 320)</b>							
75914SAA3			√		N/A	500,000	
<b>Municipal Other Tax Exempt (DTC sub-issue type 346)</b>							
545910AQ4	√		√		N/A	500,000	
05219RAA4	√			√	N/A	0	
010608J32			√		N/A	500,000	
03255MPK7			√	√	N/A	0	
<b>MMI Short-Term Bank Note (DTC sub-issue type 550)</b>							
06054R5T5				√	N/A	500,000	
87166FAD5			√		N/A	0	
<b>MMI Municipal Commercial Paper (DTC sub-issue type 330)</b>							
64985NNV2			√	√	N/A	500,000	
79625UKP6			√	√	N/A	0	

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	Multilaterally Netted Balance Order	Bilaterally Netted or Trade-for-Trade Balance Order					
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>Dummy CUSIP for T+1 industry testing</b>							
<b>Municipal Bond When-Issued (WI) CUSIP</b>							
102616GQ6	Muni WI Dummy CUSIP 03000						
<i>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.</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 = 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</i>							
<b>Equity (Common Stock) When-Issued (WI) CUSIP</b>							
102616208	TEST +1 CUSIP 102616208						
<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 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</i>							

(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](http://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 securities) 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.

**Members should submit any questions or comments related to the T+1 test CUSIPs to [ust1@dtcc.com](mailto: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				
<b>Production CUSIPs for T+1 testing</b>							
<b>CUSIP</b>	<b>Description</b>						
<b>Common Stock (DTC sub-issue type 010)</b>							
192422103	√			√		√	10,000
12628R107	√			√		N/A	10,000
232806109	√			√		√	10,000
53128T102	√			√		√	10,000
680194107	√			√		N/A	10,000
704699107	√			√		N/A	10,000
896095106	√			√		N/A	10,000
43708L108	√			√		N/A	10,000
989817101	√			√		N/A	10,000
706327103	√			√		N/A	10,000
923725105	√			√		N/A	10,000
<b>Preferred Stock (DTC sub-issue type 020)</b>							
<b>Preferred Stock REIT (DTC sub-issue type 022)</b>							
<b>Auction Rate Preferred Stock - ARPS (DTC sub-issue type 102)</b>							
72200U209	√			√		N/A	10,000
<b>American Depository Receipt - ADR (DTC sub-issue type 110)</b>							
108441205	√			√		N/A	10,000
<b>Exchange Traded Funds (DTC sub-issue type 117)</b>							
47103U100	√			√		√	10,000
<b>Municipal Bond (DTC sub-issue type 310)</b>							
<b>Municipal Variable Rate Demand Obligation (VRDO) (DTC sub-issue type 314)</b>							
64966LU41			√	√		N/A	10,000

**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				
<b>Production CUSIPs for T+1 testing</b>								
<b>CUSIP</b>	<b>Description</b>							
<b>Corporate Bond (CB) or Global Corp Bond (GCB) (DTC sub-issue type 500)</b>								
<b>Certificates of Deposit (DTC sub-issue type 507)</b>								
06740AG29	CD BARCLAYS BK DEL WIL D12/30/13 0.010% D 20			√	√		N/A	10,000
<b>Collateralized Mtge Obligation or Global CMO (DTC sub-issue type 540)</b>								
05952AAE4	GCMO BOACM 2008-1 D06/01/08 0.010% JJ51			√	√		N/A	10,000
<b>Asset-Backed Security (ABS) or Global ABS (GABS) (DTC sub-issue type 541)</b>								
14041NBL4	GABS CAPITAL ONE 04-3 D04/14/04 0.010% JJ22			√	√		N/A	10,000
<b>Non-CMO/ABS Amortizing Issue (DTC sub-issue type 542)</b>								
83162CLK7	GOV'T SBA DEV 01-20D D04/11/01 6.350% AO21			√	√		N/A	10,000
<b>Convertible Corporate Debt (DTC sub-issue type 572)</b>								
<b>Corporate Debt Derivative (DTC sub-issue type 704)</b>								
<b>Equity Derivative (DTC sub-issue type 705)</b>								
<b>Right (DTC sub-issue type 730)</b>								
203668116	RTS COMMUNITY H BE+			√	√		N/A	10,000
<b>Closed End Fund (DTC sub-issue type 761)</b>								
74348T102	PROSPECT CAPITAL CORPORATION RR	√			√		N/A	10,000
<b>Unit Investment Trust (Nuveen only) (DTC sub-issue type 790)</b>								
67076B103	UIT NUVEEN UNIT INVT BE+	√			√		N/A	10,000