



Important Notice
National Securities Clearing Corporation

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|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| A#: | 8266 |
| P&S #: | 7841 |
| Date: | 10/07/2016 |
| To: | ALL PARTICIPANTS |
| Attention: | OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS |
| From: | ACCOUNT ADMINISTRATION |
| Subject: | CHANGES IN THE LIST OF PARTICIPANTS |

The following item from Important Notice A#8263 (P&S#7838) dated September 30, 2016 has been revised with the below language.

- The following firm will retire from all services, as detailed below:

Last Trade Date, September 30, 2016:

J.P. Morgan Clearing Corp.

No. 0352

As a result of the merger of J.P. Morgan Clearing Corp. with and into J.P. Morgan Securities LLC, J.P. Morgan Securities LLC will assume all open contracts for J.P. Morgan Clearing Corp. (#0352), which are to be cleared or settled through or by National Securities Clearing Corporation.

- J.P. Morgan Securities LLC will retain all current services, including those of J.P. Morgan Clearing Corp. The 0352 account will remain in operation as usual as an additional account of 0187, as noted below. Please note that nothing will change operationally with regards to the 0187 and 0352 accounts.

First Trade Date, October 3, 2016:

J.P. Morgan Securities LLC/JPMC

No. 0352

- The following firm will change their name only, as detailed below:

First Trade Date, October 5, 2016:

From: Robeco Trust Company

No. 5325

To: Boston Partners Trust Company

No. 5325

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, October 7, 2016:

ALPS Distributors, Inc./Laudus Funds No. 4903

- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:

First Trade Date, October 7, 2016:

Ultimus Fund Distributors, LLC/WST Investment Trust No. 1325

- The following firm will begin participation in the MF – Profile service, as detailed below:

Last Trade Date, October 12, 2016:

Quasar Distributors, LLC/Tortoise Core Infrastructure Fund No. 5168

- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, October 10, 2016:

SS&C Technologies, Inc. No. 6066

Harmonic Fund Services Canada Inc. No. 4906

First Trade Date, October 11, 2016:

Valley Forge Private Equity, Inc. No. 9443

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 10, 2016:

ALPS Distributors, Inc./Cognios M3Sixty Funds Trust No. 3673

Contact: Ted Akins

Phone: (816) 787-0723

- Please update the NSCC Directory dated October 2016 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

| | <u>Clearing Broker Identifiers</u> | | <u>Executing Broker Identifiers</u> | |
|----------------------------------------------------------------------------------------|-------------------------------------------|----------------|--------------------------------------------|----------------|
| | <u>Alpha</u> | <u>Numeric</u> | <u>Alpha</u> | <u>Numeric</u> |
| <u>Executing Broker Name Change Effective First Trade Date, October 5, 2016</u> | | | | |
| From: J.P. Morgan Securities, Inc. | BSSC | 0352 | BEAR | |
| To: J.P. Morgan Securities LLC | BSSC | 0352 | BEAR | |
| <u>Executing Broker Name Change Effective First Trade Date, October 5, 2016</u> | | | | |
| From: J.P. Morgan Securities, Inc. | BSSC | 0352 | BEST | |
| To: J.P. Morgan Securities LLC | BSSC | 0352 | BEST | |

Delete Last Trade Date, October 5, 2016

Transcend Capital, LP

LGNT

0052

TRSC

- Please update the NSCC Directory dated October 2016 (for OTC Executed-By List) as detailed below:

| | <u>Clearing Broker Identifiers</u> | | <u>Executing Broker Identifiers</u> | |
|----------------------------------------------------------------------------------------|-------------------------------------------|----------------|--------------------------------------------|----------------|
| | <u>Alpha</u> | <u>Numeric</u> | <u>Alpha</u> | <u>Numeric</u> |
| <u>Executing Broker Name Change Effective First Trade Date, October 5, 2016</u> | | | | |
| From: J.P. Morgan Securities, Inc. | BSSC | 0352 | JPME | |
| To: J.P. Morgan Securities LLC | BSSC | 0352 | JPME | |
| <u>Executing Broker Name Change Effective First Trade Date, October 5, 2016</u> | | | | |
| From: J.P. Morgan Securities, Inc. | BSSC | 0352 | JPMG | |
| To: J.P. Morgan Securities LLC | BSSC | 0352 | JPMG | |
| <u>Executing Broker Name Change Effective First Trade Date, October 5, 2016</u> | | | | |
| From: J.P. Morgan Securities, Inc. | BSSC | 0352 | JPMP | |
| To: J.P. Morgan Securities LLC | BSSC | 0352 | JPMP | |
| <u>Executing Broker Name Change Effective First Trade Date, October 5, 2016</u> | | | | |
| From: J.P. Morgan Securities, Inc. | BSSC | 0352 | JPMS | |
| To: J.P. Morgan Securities LLC | BSSC | 0352 | JPMS | |
| <u>Add First Trade Date, October 5, 2016</u> | | | | |
| Lime Brokerage LLC | SHMR | 0695 | LIWD | |
| UCAP Securities LLC | IBKR | 0017 | UCAP | |
| Calton & Associates, Inc. | IBKR | 0017 | CAIB | |

If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.