



Important Notice
National Securities Clearing Corporation

A#:	8271
P&S #:	7846
Date:	10/21/2016
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 firm will retire from all services, as detailed below:
Last Trade Date, October 18, 2016:
Maple Securities U.S.A. Inc. No. 0269
- The following firm will no longer participate in the Fund/SERV, Networking, Daily Price & Rate, DTCC Payment aXis, and ACATS Fund/SERV Services, as detailed below:
Last Trade Date, October 18, 2016:
LEK Securities Corporation No. 0512
- The following firm will begin participation in the Retirement Plan Reporting and Insurance Processing Services, as detailed below:
First Trade Date, October 28, 2016:
Mid Atlantic Capital Corporation No. 0101
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, November 1, 2016:
Carmignac Gestion SA No. 3105
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, October 26, 2016:
Fairway America, LLC No. 7040
First Trade Date, October 27, 2016:
Cortland Fund Services, LLC No. 7327
- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, Omni/SERV Activity & Position, and ACATS Fund/SERV services, as detailed below:
First Trade Date, November 1, 2016:
Foreside Fund Services, LLC/Chartwell Funds No. 2548

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Contact: Darren Siverling
 Phone: (414) 299-2160

- The following additional number has been assigned to State Street Bank & Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, October 27, 2016:

State Street Bank & Trust Co./Voya Inst. Svcs./Starwood
 Contact: Belynda Crick
 Phone: (617) 662-6013

No. 2140

- 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>Clearing Broker Change Effective First Trade Date, October 19, 2016</u>				
From: UStocktrade Securities, Inc.	ETDP	3361	USTT	
To: UStocktrade Securities, Inc.	ETCC	0873	USTT	
<u>Add First Trade Date, October 21, 2016</u>				
Electronic Transaction Clearing, Inc.	ETDP	3361	ETDW	
<u>Add First Trade Date, October 24, 2016</u>				
Electronic Transaction Clearing, Inc.	ETDP	3361	ETDZ	

- Please update the NSCC Directory dated October 2016 (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>Delete Last Trade Date, October 20, 2016</u>				
Southwestern Capital Market, Inc.	SWST	0279	SCMT	

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