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<tr>
<td>Date:</td>
<td>11/11/2016</td>
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<tr>
<td>To:</td>
<td>ALL PARTICIPANTS</td>
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<tr>
<td>Attention:</td>
<td>OPERATIONS PARTNER/OFFICER; MANAGER P&amp;S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS</td>
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<td>From:</td>
<td>ACCOUNT ADMINISTRATION</td>
</tr>
<tr>
<td>Subject:</td>
<td>CHANGES IN THE LIST OF PARTICIPANTS</td>
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- The following firm will retire from all services, as detailed below:
  - **Last Trade Date, November 10, 2016:**
    - Global Maxfin Capital Inc./CDS
    - No. 5026

- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:
  - **First Trade Date, November 15, 2016:**
    - Northern Lights Distributors, LLC/Anchor Funds
    - No. 3247

- The following firms will begin participation in the MF – Profile service, as detailed below:
  - **First Trade Date, November 15, 2016:**
    - Northern Lights Distributors, LLC/CMG Funds
    - No. 6541
  - **First Trade Date, November 17, 2016:**
    - Foreside Fund Services, LLC/SharesPost 100 Fund
    - No. 7942

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
  - **First Trade Date, November 18, 2016:**
    - Quasar Distributors, LLC/Rainier Funds
    - No. 4876
The following firms will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, November 10, 2016:**
Conifer Financial Services LLC No. 8145
Conifer Financial Services LLC No. 8170
Conifer Financial Services LLC No. 8202
Conifer Financial Services LLC No. 8205
Conifer Financial Services LLC No. 8206
Conifer Financial Services LLC No. 8207
Conifer Financial Services LLC No. 8208

**First Trade Date, November 11, 2016:**
Conifer Financial Services LLC No. 8211
Conifer Financial Services LLC No. 8214
Conifer Financial Services LLC No. 8215
Conifer Financial Services LLC No. 8216
Conifer Financial Services LLC No. 8218
Conifer Financial Services LLC No. 9127

**First Trade Date, November 16, 2016:**
Gemini Fund Services, LLC No. 9150

The following firm will begin participation in the Insurance Processing service, as detailed below:

**First Trade Date, November 11, 2016:**
American National Life Insurance Company of New York No. 3500

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

<table>
<thead>
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**Clearing Broker Change Effective First Trade Date, November 15, 2016**
From: International Correspondent Trading, Inc. NFSC 0226 ICTI
To: International Correspondent Trading, Inc. PFCL 0158 ICTI

**Delete Last Trade Date, November 9, 2016**
Newbury Street Capital Limited Partnership PERS 0443 NSCB
Please update the NSCC Directory dated November 2016 (for OTC Executed-By List) as detailed below:

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**Add First Trade Date, November 8, 2016**
Electronic Transaction Clearing, Inc.
Zebed Securities, LLC

**Add First Trade Date, November 14, 2016**
Tastyworks, Inc.

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