



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	8301
<b>P&amp;S #:</b>	7876
<b>Date:</b>	12/02/2016
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, November 29, 2016:**

Clarity Diversified Alternatives Portfolio Management, Ltd

No. 9895

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

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

**First Trade Date, November 30, 2016:**

Vistra USA, LLC

No. 9895

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

**Last Trade Date, December 2, 2016:**

Matrix Capital Group, Inc. /The Monteagle Fund

No. 6697

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following additional number has been assigned to Arbor Court Capital LLC (#7023) 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, December 5, 2016:**

Arbor Court Capital LLC/The Monteagle Funds

No. 6697

Contact: Greg Getts

Phone: (440) 922-0066

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

**Last Trade Date, November 29, 2016:**

Forside Fund Services, LLC/RS Investment Funds No. 5573

- The following firm will no longer participate in the OTC Comparison service, as detailed below:

**Last Trade Date, December 2, 2016:**

Scotia Capital Inc./Hollis Wealth/CDS No. 5039  
 OTC Alpha Identifier: DCAF

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

**First Trade Date, December 2, 2016:**

From: Forside Funds Distributors LLC/The RBB Fund, Inc. No. 5808  
 To: Forside Funds Distributors LLC/Boston Partners Collective Trust No. 5808

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

**First Trade Date, November 30, 2016:**

Quasar Distributors, LLC/Muzinich Funds No. 3646

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

**First Trade Date, December 1, 2016:**

King Strategic Energy Funds LP No. 8262  
 King Strategic Energy Funds LP No. 8259

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, November 30, 2016:**

Quasar Distributors, LLC/Soundwatch Funds No. 9482  
 Contact: Casey Sauer  
 Phone: (414) 203-9122

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, December 1, 2016:**

Quasar Distributors, LLC/Green Square Capital No. 1372  
 Contact: Casey Sauer  
 Phone: (414) 203-9122

- Please update the NSCC Directory dated November 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>
<b><u>Delete Last Trade Date, November 30, 2016</u></b> CRT Capital Group, LLC	PERS	0443	CRTC	
<b><u>Delete Last Trade Date, November 30, 2016</u></b> Rothschild Lieberman LLC	LGNT	0052	RTLL	
<b><u>Add First Trade Date, November 30, 2016</u></b> Empire State Financial, Inc.		0235	HAVK	
<b><u>Add First Trade Date, December 9, 2016</u></b> Odeon Capital Group LLC	ICBK	0388	ODEO	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Clearing Broker Change Effective First Trade Date, December 1, 2016</u></b> From: Alternative Execution Group To: Alternative Execution Group	LGNT	0052	AEXG	
	PFCL	0158	AEXG	
<b><u>Delete Last Trade Date, December 2, 2016</u></b> Dundee Securities Corporation	DCAF	5039	DSCS	
<b><u>Delete Last Trade Date, December 2, 2016</u></b> IPO Capital	DCAF	5039	IPOC	
<b><u>Add First Trade Date, December 1, 2016</u></b> Bayes Capital LLC	LSCI	0512	BAYL	
<b><u>Add First Trade Date, December 2, 2016</u></b> E D & F Man Capital Markets Inc.	PFCL	0158	EDFO	
<b><u>Add First Trade Date, December 7, 2016</u></b> Central States Capital Markets, LLC	SWST	0279	CSCM	
<b><u>Add First Trade Date, December 9, 2016</u></b> Goldman, Sachs & Co.	GSCO	0005	GSLT	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Clearing Broker Change Effective First Trade Date, December 7, 2016</u></b>				
From: Central States Capital Markets, LLC	PERS	0443	CSCM	
To: Central States Capital Markets, LLC	SWST	0279	CSCM	
<b><u>Add First Trade Date, December 5, 2016</u></b>				
Dundee Securities Inc.	NFSC	0226	DCAF	

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).