



Important Notice
National Securities Clearing Corporation

A#:	8233
P&S #:	7808
Date:	07/22/2016
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, July 22, 2016:

Smith Hayes Finl Svcs/Colorado BondShares

No. 5708

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 Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, July 25, 2016:

Foreside Fund Services, LLC/Colorado BondShares

No. 5708

Contact: Darren Silverling

Phone: (414) 299-2160

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

Last Trade Date, July 21, 2016:

First Winston Securities

No. 6715

MUNI Alpha Identifier:

FWSS

Last Trade Date, July 21, 2016:

CoBiz Bank

No. 9071

Last Trade Date, July 26, 2016:

ALPS Distributors, Inc./Pathway Advisors Funds

No. 3356

American National Bank

No. 9044

Last Trade Date, July 27, 2016:

Quasar Distributors, LLC/Appleton Group Funds No. 4935
Institutional Investor Trust No. 3709

Last Trade Date, July 28, 2016:

John Hancock Life Insurance Company (U.S.A.)/RPS LLC No. 3343

Last Trade Date, July 29, 2016:

Presidential Brokerage, Inc. No. 6904

- The following firm will no longer participate in the Trade Comparison, Trade Recording, Bond Comparison, and Obligation Warehouse services, as detailed below:

Last Trade Date, July 20, 2016:

CRT Capital Group LLC No. 0387
MUNI Alpha Identifier: CRTG

- The following firm will no longer participate in the Trade Comparison, Trade Recording, Bond Comparison, NYSE Listed, and Obligation Warehouse services, as detailed below:

Last Trade Date, July 22, 2016:

Barclays Capital Inc./Market Maker No. 0055
NYSE Alpha Identifier: BCMM

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

First Trade Date, July 21, 2016:

ALPS Distributors, Inc./Mairs and Power Funds Trust No. 6546

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

First Trade Date, July 25, 2016:

Northern Lights Distributors, LLC/Day Hagan Funds No. 3317

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

First Trade Date, July 25, 2016:

Cottonwood Residential, Inc. No. 5266

First Trade Date, July 28, 2016:

SS&C Technologies, Inc. No. 7307
SS&C Technologies, Inc. No. 7317

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

First Trade Date, July 20, 2016:

Vantis Life Insurance Company No. 8291

- Please update the NSCC Directory dated July 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>Delete Last Trade Date, July 18, 2016</u> United Capital Markets, Inc.	PERS	0443	UCMI	
<u>Delete Last Trade Date, July 22, 2016</u> Hightower Securities, LLC	BSSC	0352	HTJP	
Collins Stewart LLC	BSSC	0352	STEW	
Burnham Securities Inc.	BSSC	0352	BRNM	
Global Financial Services, L.L.C.	BSSC	0352	GFSI	
Shufro, Rose & Co., LLC	BSSC	0352	SHRE	
<u>Add First Trade Date, August 15, 2016</u> Wealthfront Brokerage Corporation		0235	WLTH	

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	<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, July 25, 2016</u> From: Ascendant Capital Markets, LLC To: Ascendant Capital Markets, LLC	PFCL	0158	ASCM	
	LGNT	0052	ASCM	
<u>Delete Last Trade Date, July 19, 2016</u> Goldman Sachs Execution & Clearing, LP	SILK	0501	BTGG	
Goldman Sachs Execution and Clearing LP	SILK	0501	GSBB	
Goldman Sachs Execution and Clearing LP	SILK	0501	GSCC	
Goldman Sachs Execution and Clearing LP	SILK	0501	GSDD	
Goldman Sachs Execution and Clearing LP	SILK	0501	GSEE	
Goldman Sachs Execution & Clearing	SILK	0501	GSGG	
Goldman Sachs Execution & Clearing	SILK	0501	GSII	
Goldman Sachs Execution & Clearing	SILK	0501	GSSL	
<u>Delete Last Trade Date, July 21, 2016</u> Alforma Capital Markets, Inc.	PERS	0443	ALFA	
<u>Delete Last Trade Date, July 22, 2016</u> Liquidnet, Inc.	BSCC	0352	LQNX	
<u>Add First Trade Date, July 22, 2016</u> BCS Americas, Inc.	PERS	0443	BCSA	

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	<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, July 22, 2016</u>				
From: MetLife Securities Inc.	NFSC	0226	MSII	
To: MSI Financial Services, Inc.	NFSC	0226	MSII	
<u>Delete Last Trade Date, July 19, 2016</u>				
Bonds.com, Inc	PERS	0443	BNDS	
<u>Add First Trade Date, July 25, 2016</u>				
Ascendant Capital Markets, LLC	LGNT	0052	ASCM	
<u>Add First Trade Date, July 27, 2016</u>				
MTS Markets International, Inc	NFSC	0226	BNDS	

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