



Important Notice
National Securities Clearing Corporation

A#:	8376
P&S #:	7951
Date:	04/13/2017
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 firms will retire from all services, as detailed below:

Last Trade Date, April 13, 2017:

Foreside Fund Services, LLC/Lyons Funds	No.	3289
Reliance Trust Company/SSB&T	No.	3636

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

First Trade Date, April 18, 2017:

From: Koonce Securities, Inc.	No.	0712
To: Koonce Securities LLC	No.	0712

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

First Trade Date, April 18, 2017:

Unified Financial Securities, LLC/Canterbury Funds	No.	9470
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, April 12, 2017:

Atlas Fund Services (USA) LLC	No.	8510
Atlas Fund Services (USA) LLC	No.	8511

First Trade Date, April 17, 2017:

SS&C Technologies, Inc.	No.	8514
Cortland Fund Services LLC	No.	8515
Woodfield Fund Administration, LLC	No.	8517

First Trade Date, April 18, 2017:

SS&C Technologies, Inc.	No.	8518
SS&C Technologies, Inc.	No.	8519
SS&C Technologies, Inc.	No.	9101

First Trade Date, April 19, 2017:

Vivaldi Capital Management LLC	No.	8132
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- The following firm will begin participation in the DTCC Payment aXis and Insurance Processing services, as detailed below:

First Trade Date, April 18, 2017:

Independent Financial Group, LLC	No.	3061
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- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, Standardized Date Reporting, MF – Daily Price & Rate, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 17, 2017:

Northern Lights Distributors, LLC/Low Beta Tactical 500 Fund	No.	8500
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Contact: Mike Nielsen
Phone: (402) 896-7267

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 17, 2017:

Ultimus Fund Distributors, LLC/Kempner Funds	No.	8516
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Contact: Doug Jones
Phone: (513) 587-3408

- The following additional number has been assigned to American Funds Distributors, Inc. (#5504) for the purpose of utilizing DTCC Payment aXis service, as detailed below:

First Trade Date, April 17, 2017:

American Funds Distributors, Inc./Capital Bank And Trust Company	No.	8504
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- Updates to the NSCC MPID Directory for OTC, Corporates, Municipals, and UITs, as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>		<u>Products OTC/CMU</u>		
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>	<u>UIT</u>
<u>Clearing Broker Change</u>							
<u>First Trade Date, April 12, 2017</u>							
From: DBOT ATS, LLC	ETCC	0873	DBOX	✓			
To: DBOT ATS, LLC	ETDP	3361	DBOX	✓			
<u>Clearing Broker Name Change</u>							
<u>First Trade Date, April 12, 2017</u>							
From: Koonce Securities, Inc.	KOSE	0712	KOSE	✓			
To: Koonce Securities, LLC	KOSE	0712	KOSE	✓			
<u>Add First Trade Date, April 12, 2017</u>							
Dematteo Monness LLC	IBKR	0017	DEMA	✓			

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