



Important Notice
National Securities Clearing Corporation

A#:	8418
P&S #:	7993
Date:	06/23/2017
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 firm will retire from all services, as detailed below:

Last Trade Date, June 23, 2017:

TIAA-CREF Trust Company, FSB

No. 3107

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 Fund/SERV, Networking, and MF – Daily Price and Rate services, as detailed below:

First Trade Date, June 26, 2017:

Everbank

No. 3107

Contact: Carolyn Mabry

Phone: (904) 623-8326

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

Last Trade Date, June 28, 2017:

Forside Distribution Services, LP/Ridgeworth Funds

No. 4920

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 VP Distributors, LLC (#5517) for the purpose of utilizing Fund/SERV, Networking, MF – Profile, DTCC Payment aXis, Omni/SERV Activity & Position, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, June 29, 2017:

VP Distributors, LLC/Ridgeworth Funds

No. 4920

Contact: Heidi Griswold

Phone: (413) 775-6020

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

Last Trade Date, June 30, 2017:

Quasar Distributors, LLC/PineBridge Offshore Funds No. 3294

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, Networking, MF – Daily Price & Rate, and DTCC Payment aXis services, as detailed below:

First Trade Date, July 3, 2017:

Foreside Fund Services, LLC/PineBridge Global Funds No. 3294

Contact: Jackie Burns

Phone: +353 1 776 0512

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

Last Trade Date, June 21, 2017:

Northern Lights Distributors, LLC/GMG Defensive Beta Fund No. 5934

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

Last Trade Date, June 22, 2017:

Foreside Fund Services, LLC/Henderson Global Funds No. 5528

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

Last Trade Date, June 23, 2017:

Foreside Funds Distributors LLC/E.I.I. Realty Securities Trust No. 6579

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

Last Trade Date, June 26, 2017:

Smith Hayes Financial Services Corporation No. 3705

Smith Hayes Financial Services Corporation No. 5575

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

First Trade Date, June 21, 2017:

From: Mizuho Securities USA Inc. No. 0892

To: Mizuho Securities USA LLC No. 0892

From: Mizuho Securities (USA) Inc./Fixed Income No. 2396
To: Mizuho Securities USA LLC/Fixed Income No. 2396

From: Mizuho Securities (USA) Inc./RTTM No. 9209
To: Mizuho Securities USA LLC/RTTM No. 9209

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

First Trade Date, June 23, 2017:

ALPS Distributors, Inc./Paxworld Funds No. 4940

- The following firm will begin participation in the Fund/SERV service, as detailed below:

First Trade Date, June 28, 2017:

JPMorgan Chase Bank, National Association No. 0902

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

First Trade Date, June 21, 2017:

Mackay Shields LLC No. 1492

First Trade Date, June 23, 2017:

Flat Rock Global, LLC No. 3073

North Capital Private Securities Corporation No. 3181

- 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, June 27, 2017:

State Street Bank & Trust Company/Northeast Retirement Services/
Ohio Public Employees Deferred Comp. No. 1681

Contact: Belynda Crick

Phone: (617) 662-6013

- 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 Name Change Effective</u>							
<u>First Trade Date, June 21, 2017</u>							
From: Mizuho Securities USA Inc.	MZHO	0892	MZHO	✓	✓		
To: Mizuho Securities USA LLC	MZHO	0892	MZHO	✓	✓		
<u>Clearing Broker Name Change Effective</u>							
<u>First Trade Date, June 21, 2017</u>							
From: Mizuho Securities USA LLC/Fixed Income	MZHO	2396	MZHO		✓	✓	✓
To: Mizuho Securities USA LLC/Fixed Income	MZHO	2396	MZHO		✓	✓	✓
<u>Clearing Broker Change Effective</u>							
<u>First Trade Date, June 28, 2017</u>							
From: Rice, Voelker, LLC	LSCI	0512	CEON	✓			
To: Rice, Voelker, LLC	ECUT	0100	CEON	✓			
<u>Clearing Broker Change Effective</u>							
<u>First Trade Date, July 3, 2017</u>							
From: Castleoak Securities, L.P.	CSDP	0197	COAK	✓			
To: Castleoak Securities, L.P.	PERS	0443	COAK	✓			
<u>Add First Trade Date, June 23, 2017</u>							
SageTrader, LLC	LSCI	0512	SAGL	✓			
<u>Add First Trade Date, June 28, 2017</u>							
Rice, Voelker, LLC	ECUT	0100	CEON		✓	✓	

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