



Important Notice
National Securities Clearing Corporation

A#:	8503
P&S #:	8078
Date:	01/12/2018
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, January 12, 2018:
Macquarie Asset Management Inc. No. 3849

- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, January 12, 2018:
SS&C Technologies, Inc. No. 6564

- **First Trade Date, January 17, 2018:**
Emerson Equity LLC No. 6500
Alps Alternative Investment Services, LLC No. 8078

- The following firm will begin participation in the ACATS and Obligation Warehouse services, as detailed below:
First Trade Date, January 16, 2018:
Wolverine Execution Services, LLC No. 7350

- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price and Rate services as detailed below:
First Trade Date, February 15, 2018:
Global Trust Company/SSB-INTEL No. 4613
Contact: Frank Lалos
Phone: (781) 970-5027

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- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services as detailed below:

First Trade Date, January 16, 2018:

State Street Bank & Trust Company/NRS/Intel Retirement Plans Collective
Investment Trust

No. 5120

Contact: Belynda Crick
Phone: (617) 662-6013

- The following additional number has been assigned to Matrix 360 Distributors, LLC (#5681) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

First Trade Date, January 16, 2018:

Matrix 360 Distributors, LLC/Powell Funds

No. 7562

Contact: Justin Thompson
Phone: (816) 949-1849

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) 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, January 16, 2018:

Northern Lights Distributors, LLC/Wealthfront Funds

No. 8041

Contact: Mike Nielsen
Phone: (402) 896-7267

- 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, Effective First Trade Date, January 12, 2018</u>							
From: Electronic Transaction Clearing, Inc.	ETDP	3361	ETCX	✓			
To: Electronic Transaction Clearing, Inc.	ETCC	0873	ETCX	✓			
<u>Executing Broker name change, Effective First Trade Date, January 16, 2018</u>							
From: Cain Brothers & Company, LLC	PERS	0443	CBCI		✓	✓	✓
To: Keybank Capital Markets Inc.	PERS	0443	CBCI		✓	✓	✓

Add First Trade Date, January 11, 2018

Carta Securities, LLC
Fintech Securities

RBCD	0235	CRTA	✓	✓	✓	✓
SALI	0750	FINZ	✓	✓	✓	✓

Add First Trade Date, January 16, 2018

Neighborly Securities
Benjamin Securities, Inc.

PERS	0443	NBLY			✓	
IBKR	0017	BENJ	✓			

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