



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

<b>A#:</b>	8627
<b>P&amp;S #:</b>	8202
<b>Date:</b>	10/12/2018
<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, October 16, 2018**

Plymouth Industrial Reit, Inc.

No. 1867

- The following firms will change its OTC Symbol, as detailed below:

**Effective First Trade Date, October 22, 2018:**

From: Citigroup Global Markets Inc.

No. 0418

OTC Alpha Identifier:

SBSH

To: Citigroup Global Markets Inc.

No. 0418

OTC Alpha Identifier:

CFSC

From: Citigroup Global Markets Inc./Correspondent Clearing

No. 0505

OTC Alpha Identifier:

CGMI

To: Citigroup Global Markets Inc./Correspondent Clearing

No. 0505

OTC Alpha Identifier:

SBSH

For more details regarding the corresponding Executing Broker MPID Changes, please refer to the NSCC MPID Directory at the end of this notice.

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

**First Trade Date, October 19, 2018:**

Rafferty Capital Markets, LLC/State

No. 2712

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

**First Trade Date, October 12, 2018**

Lionscrest Funds SPC	No.	3857
Live Oak Banking Company	No.	3906

**First Trade Date, October 16, 2018**

Theorem Fund Services, LLC/Ensconce Healthcare Fund, LP	No.	3941
Lionscrest Funds SPC/Lionscrest Tailpro US Equity SP	No.	3943

**First Trade Date, October 18, 2018**

Trust Asset Management LLC	No.	3936
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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>UIT</u>
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>		
<b><u>Clearing Broker Change, Effective First Trade Date, October 12, 2018</u></b>								
From: Drivewealth, LLC	ETDP	3361	DWTH	✓				
To: Drivewealth, LLC	ETCC	0873	DWTH	✓				
<b><u>Clearing Broker Changes, Effective First Trade Date, October 22, 2018</u></b>								
From: Citigroup Global Markets Inc.	SBSH	0418	CBLC	✓				
To: Citigroup Global Markets Inc.	SBSH	0505	CBLC	✓				
From: Citigroup Global Markets Inc.	SBSH	0418	CCAT	✓				
To: Citigroup Global Markets Inc.	SBSH	0505	CCAT	✓				
From: Citigroup Global Markets Inc.	SBSH	0418	CGQT	✓				
To: Citigroup Global Markets Inc.	SBSH	0505	CGQT	✓				
From: Citigroup Global Markets Inc.	SBSH	0418	GATE	✓				
To: Citigroup Global Markets Inc.	SBSH	0505	GATE	✓				
From: Citigroup Global Markets Inc.	SBSH	0418	LQFI	✓				
To: Citigroup Global Markets Inc.	SBSH	0505	LQFI	✓				
From: Citigroup Global Markets Inc.	SBSH	0418	CIOI	✓				
To: Citigroup Global Markets Inc.	SBSH	0505	CIOI	✓				

From: Audobon Securities, Inc.	SBSH	0418	AUDO	✓
To: Audobon Securities, Inc.	CGMI	0505	AUDO	✓
From: Bedford Securities, Inc.	SBSH	0418	BSIN	✓
To: Bedford Securities, Inc.	CGMI	0505	BSIN	✓
From: Floor Broker Network, Inc	SBSH	0418	FBNW	✓
To: Floor Broker Network, Inc	CGMI	0505	FBNW	✓
From: Levco Securities, Inc.	SBSH	0418	LEVN	✓
To: Levco Securities, Inc.	CGMI	0505	LEVN	✓
From: Suntrust Robinson Humphrey, Inc.	SBSH	0418	RHCO	✓
To: Suntrust Robinson Humphrey, Inc.	CGMI	0505	RHCO	✓
From: Automated Trading Desk Financial Services, LLC	CGMI	0505	ATDF	✓
To: Automated Trading Desk Financial Services, LLC	SBSH	0505	ATDF	✓
From: Automated Trading Desk Financial Services, LLC	CGMI	0505	AUTO	✓
To: Automated Trading Desk Financial Services, LLC	SBSH	0505	AUTO	✓
From: Citigroup Global Markets Inc.	CGMI	0505	CXCX	✓
To: Citigroup Global Markets Inc.	SBSH	0505	CXCX	✓
From: Citigroup Global Markets Inc.	CGMI	0505	CGMI	✓
To: Citigroup Global Markets Inc.	SBSH	0505	CGMI	✓
<b><u>Add First Trade Date, October 09, 2018</u></b>				
Coda Markets, Inc.	ETCC	0873	CODZ	✓
<b><u>Add First Trade Date, October 10, 2018</u></b>				
Great Point Capital LLC	ETCC	0873	GPCE	✓
Dough LLC	PFCL	0158	DOPE	✓
<b><u>Add First Trade Date, October 12, 2018</u></b>				
Fortress Private Ledger, LLC	IBKR	0017	FRTS	✓
Jump Trading, LLC	SHMR	0695	TJMP	✓

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