



Important Notice
National Securities Clearing Corporation

A#:	8630
P&S #:	8205
Date:	10/19/2018
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 updates to the NSCC MPID Directory for OTC, Corporates, Municipals, and UITs, from Important Notice A#8627 (P&S#8202) dated October 12, 2018 have been revised as follows:

	<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>		
<u>Delete Last Trade Date, October 19, 2018</u>								
Audobon Securities, Inc.	SBSH	0418	AUDO			✓		
Bedford Securities, Inc.	SBSH	0418	BSIN			✓		
Levco Securities, Inc.	SBSH	0418	LEVN			✓		
Automated Trading Desk Financial Services, LLC	CGMI	0505	ATDF	✓				

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

Last Trade Date, October 26, 2018

Loring Ward Securities Inc.

No. 5672

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 – Profile, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 29, 2018:

Foreside Fund Services, LLC/SA Funds

No. 5672

Contact: Donna Ventola

Phone: (617) 483-8187

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

Last Trade Date, October 18, 2018

The Northern Trust Company/Jacobs Levy Small/Mid Value Fund, No. 7127
 A Fund of the Jacobs Levy Group Trust

Last Trade Date, October 19, 2018:

TCW Funds Distributors/TCW Alternatives Funds No. 3221
 Northern Lights Distributors, LLC/JNF Portfolios No. 3701

- The following firm will no longer participate in the NYSE Listed service, as detailed below:

Last Trade Date, October 19, 2018:

Citigroup Global Markets Inc. No. 0418
 NYSE Alpha Identifier: SB

- The following firm will begin participation in the NYSE Listed service, as detailed below:

First Trade Date, October 22, 2018:

Citigroup Global Markets Inc./Correspondent Clearing No. 0505
 NYSE Alpha Identifier: SB

- 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

CGMI will remain the Alpha Identifier for Corporate, and Municipal products clearing NSCC# 0505.

SBSH will remain the Alpha Identifier for Corporate, and Municipal products clearing NSCC# 0418.

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, October 23, 2018:

Quasar Distributors, LLC/Hotchkis & Wiley Funds No. 4984

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

First Trade Date, October 18, 2018

Cottonwood Residential, Inc./Cottonwood Residential Inc., II (2016)	No.	3947
Cottonwood Residential, Inc./Cottonwood Residential Inc., II (2017)	No.	3948

First Trade Date, October 25, 2018

Theorem Fund Services, LLC/ Ironwood Funding X LLC	No.	3957
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- The following firm will begin participation in the Insurance Processing service, as detailed below:

First Trade Date, November 01, 2018:

Brighthouse Life Insurance Company of NY/BPS	No.	3567
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- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, October 18, 2018:

Quasar Distributors, LLC/RBC Offshore Funds	No.	3597
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Contact: Pierre Bodak
Phone: +35226059857

- The following additional number has been assigned to SEI Investments Distribution Company/SEI Institutional (#5717) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 31, 2018:

SEI Investments Distribution Company/Symmetry Panoramic Trust	No.	3903
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Contact: Chip Richards
Phone: (207) 347-2047

- The following additional number has been assigned to Benefit Trust Company (#6647) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price & Rate services, as detailed below:

First Trade Date, November 05, 2018:

Benefit Trust Company/AonTrust Company Cits	No.	3929
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Contact: Dave Kenard
Phone: (913) 663-0725

- The following additional number has been assigned to John Hancock Life Insurance Company (U.S.A.) (#4513) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price & Rate services, as detailed below:

First Trade Date, October 22, 2018:

John Hancock Life Insurance Company (U.S.A.)/VPA Fund Admin	No.	3945
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Contact: Kelly Darcy
 Phone: (617) 663-3966

- 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>	
<u>Clearing Broker Change, Effective First Trade Date, October 22, 2018</u>							
From: Paulson Investment Company, Inc.	RBCD	0235	PAUL	✓	✓	✓	✓
To: Paulson Investment Company, Inc.	VSIN	0595	PAUL	✓	✓	✓	✓
<u>Delete Last Trade Date, October 15, 2018</u>							
Loring Ward Securities Inc.	PERS	0443	RWBM		✓		✓
<u>Delete Last Trade Date, October 17, 2018</u>							
BDFS Corp	WRET	0141	BKFC		✓	✓	✓
<u>Delete Last Trade Date, October 18, 2018</u>							
Farmers Financial Solutions	PERS	0443	FFSL		✓		✓
<u>Add First Trade Date, October 17, 2018</u>							
American Veterans Group, PBC	WSGD	8199	VETS		✓	✓	
<u>Add First Trade Date, October 22, 2018</u>							
Paulson Investment Company, Inc.	RBCD	5670	PICL	✓	✓	✓	✓

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