



Important Notice
National Securities Clearing Corporation

A#:	8633
P&S #:	8208
Date:	10/26/2018
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#8630 (P&S#8205) dated October 19, 2018 have been revised as follows:

	<u>Clearing Broker</u>		<u>Executing Broker</u>		<u>Products OTC/CMU</u>		
<u>Add First Trade Date, October 22, 2018</u> Paulson Investment Company, Inc.	RBCD	0235	PICL	✓	✓	✓	✓

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

Last Trade Date, October 25, 2018

Unified Financial Securities, LLC/First Security Funds No. 3212

Last Trade Date, October 26, 2018

SEI Investments Distribution Company/Winton Diversified Opportunities Fund No. 6022

- The following firm will no longer participate in the OTC Comparison, Trade Recording and Obligation Warehouse services, as detailed below:

Last Trade Date, October 29, 2018:

Portfolio Brokerage Services, Inc. No. 8052
 OTC Alpha Identifier PBSI

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

First Trade Date, October 25, 2018:

From: Ascensus Broker Dealer Services, Inc. No. 5704
 To: Ascensus Broker Dealer Services, LLC No. 5704

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From: Ascensus Broker Dealer Services, Inc./Phoenix Platform Account No. 5670
 To: Ascensus Broker Dealer Services, LLC/Phoenix Platform Account No. 5670

From: Ascensus Broker Dealer Services, Inc./Envision No. 3031
 To: Ascensus Broker Dealer Services, LLC/Envision No. 3031

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

First Trade Date, October 30, 2018:

Northern Lights Distributors, LLC/Spectrum Mutual Funds No. 3014
 Northern Lights Distributors, LLC/Ontrack Core Fund No. 7050
 Northern Lights Distributors, LLC/Hundredfold Funds No. 3767

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

First Trade Date, October 30, 2018

SS&C Technologies, Inc./Coury U.S. Fund LP No. 3959

- The following firm will begin participation in the Insurance Processing service, as detailed below:

First Trade Date, November 01, 2018:

Eagle Life Insurance Company/American Equity Investment Life Insurance Company
 Of New York No. 4595

- 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>Executing Broker Name Change, Effective</u>							
<u>First Trade Date, October 24, 2018</u>							
From: Cowen Execution Services LLC	ECUT	0100	CPES	✓			
To: Cowen Prime Services LLC	ECUT	0100	CPES	✓			
From: Cowen Execution Services LLC	GSCO	0005	NPNT	✓			
To: Cowen Prime Services LLC	GSCO	0005	NPNT	✓			
<u>Clearing Broker Change, effective</u>							
<u>First Trade Date, November 1, 2018</u>							
From: Bruderman Brothers, Inc.	NFSC	0226	MJBC				✓
To: Bruderman Brothers, Inc.	PERS	0443	MJBC				✓
<u>Delete Last Trade Date, October 26, 2018</u>							
Electronic Transaction Clearing, Inc.	IBFS	0824	ETBX	✓			

Delete Last Trade Date, October 30, 2018

Summit Equities, Inc.	NFSC	0226	SEMQ	✓	✓	✓
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Delete Last Trade Date, October 31, 2018

Bruderman Brothers, Inc.	NFSC	0226	MJBC	✓		✓
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Add First Trade Date, October 23, 2018

GP Nurmenkari Inc.	IBKR	0017	GPNI	✓		
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Add First Trade Date, October 29, 2018

Divy Equities, Inc.	ETCC	0873	DIVY	✓		
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Add First Trade Date, November 01, 2018

Bruderman Brothers, Inc.	PERS	0443	MJBC	✓		
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.