



Important Notice
National Securities Clearing Corporation

A#:	8624
P&S #:	8199
Date:	10/05/2018
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 items from Important Notice A#8620 (P&S#8195) dated September 28, 2018 have been cancelled.

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

Last Trade Date, October 02, 2018

Matrix 360 Distributors, LLC/Nest Egg

No. 5694

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

Last Trade Date, October 08, 2018

Mid Atlantic Capital Corporation/Mid Atlantic Trust

No. 0101

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 Mid Atlantic Clearing & Settlement Corporation (#0359) for the purpose of utilizing Fund/SERV, Networking, MF – Profile, Omni/SERV Activity & Position, DTCC Payment aXis, and Insurance Processing services, as detailed below:

First Trade Date, October 09, 2018:

Mid Atlantic Clearing & Settlement Corporation/Mid Atlantic Trust

No. 0101

Contact: Dan Sterling

Phone: (412) 391-7077

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

Last Trade Date, October 05, 2018

Legg Mason Investor Services, LLC/Citifunds

No. 5834

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- The following firm will no longer participate in the OTC and Bond Comparison service, as detailed below:

Last Trade Date, October 05, 2018

David Lerner Associates, Inc.	No.	5144
OTC Alpha Identifier:	DLAE	
CORP Alpha Identifier:	DLAE	
MUNI Alpha Identifier:	DLAE	
UIT Alpha Identifier:	DLAE	

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

First Trade Date, October 05, 2018:

RFS Partners	No.	4989
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, October 10, 2018

Crescent Securities Group, Inc./Red Oak Capital Fund, LLC	No.	3938
Crescent Securities Group, Inc./Archon Capital Growth & Income, LP	No.	3940

- Updates to the NSCC MPID Directory for OTC, Corporates, Municipals, and UITs, as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	<u>OTC</u>	<u>Products OTC/CMU</u>		
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>		<u>Corp</u>	<u>Muni</u>	<u>UIT</u>
<u>Delete Last Trade Date, October 03, 2018</u> National Bank of Canada Financial Inc.	PERS	0443	PTLV		✓	✓	✓
<u>Delete Last Trade Date, October 08, 2018</u> Capital Portfolio Management, Inc.	NFSC	0226	CPMI		✓	✓	✓

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