



Important Notice
National Securities Clearing Corporation

A#:	8574
P&S #:	8149
Date:	06/15/2018
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 firms will retire from all services, as detailed below:

Last Trade Date, June 18, 2018

Capital Integration Systems LLC	No.	1837
Capital Integration Systems LLC	No.	1844
Capital Integration Systems LLC	No.	1430
Capital Integration Systems LLC	No.	1491
Capital Integration Systems LLC	No.	1493
Capital Integration Systems LLC	No.	1779

- The following firm will no longer participate in the DTCC Payment aXis service, as detailed below:

Last Trade Date, June 12, 2018:

IFC Holdings, Inc./Invest Financial Corporation	No.	0566
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- The following firm will no longer participate in the Fund/SERV, Networking and MF – Profile services, as detailed below:

Last Trade Date, June 19, 2018:

Investment Centers of America, Inc.	No.	0565
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- The following firms will change their name only, as detailed below:

First Trade Date, June 15, 2018:

From: CNL Capital Markets Corp.	No.	3662
To: CNL Capital Markets, LLC	No.	3662
From: CNL Capital Markets Corp.	No.	3599
To: CNL Capital Markets, LLC	No.	3599

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From: CNL Capital Markets Corp.	No. 3656
To: CNL Capital Markets, LLC	No. 3656
From: CNL Capital Markets Corp.	No. 3657
To: CNL Capital Markets, LLC	No. 3657
From: CNL Capital Markets Corp.	No. 3658
To: CNL Capital Markets, LLC	No. 3658
From: CNL Capital Markets Corp.	No. 3659
To: CNL Capital Markets, LLC	No. 3659
From: CNL Capital Markets Corp.	No. 3661
To: CNL Capital Markets, LLC	No. 3661
From: CNL Capital Markets Corp	No. 9885
To: CNL Capital Markets, LLC	No. 9885
From: CNL Capital Markets Corp	No. 9886
To: CNL Capital Markets, LLC	No. 9886
From: CNL Capital Markets Corp	No. 9887
To: CNL Capital Markets, LLC	No. 9887
From: CNL Capital Markets Corp	No. 9301
To: CNL Capital Markets, LLC	No. 9301
From: CNL Capital Markets Corp	No. 9302
To: CNL Capital Markets, LLC	No. 9302
From: CNL Capital Markets Corp	No. 9303
To: CNL Capital Markets, LLC	No. 9303
From: CNL Capital Markets Corp	No. 9304
To: CNL Capital Markets, LLC	No. 9304
From: CNL Capital Markets Corp	No. 9305
To: CNL Capital Markets, LLC	No. 9305
From: CNL Capital Markets Corp	No. 9306
To: CNL Capital Markets, LLC	No. 9306
From: CNL Capital Markets Corp	No. 9307
To: CNL Capital Markets, LLC	No. 9307
From: CNL Capital Markets Corp.	No. 8066
To: CNL Capital Markets, LLC	No. 8066

From: CNL Capital Markets Corp No. 8227
To: CNL Capital Markets, LLC No. 8227

First Trade Date, June 18, 2018:

From: SS&C Technologies, Inc. No. 9177
To: SS&C Technologies, Inc. No. 9177

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

First Trade Date, June 14, 2018:

Prospera Financial Services, Inc. No. 3650

The following firm will begin participation in the Standardize Data Reporting, as detailed below:

First Trade Date, June 18, 2018:

Ultimus Fund Distributors, LLC/The Investment House Funds No. 3650

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

First Trade Date, June 18, 2018:

Electronic Transaction Clearing, Inc./Uniflip No. 3361

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

First Trade Date, June 20, 2018:

Arbor Court Capital, LLC/MP63 Fund No. 3123

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

First Trade Date, June 15, 2018:

Legg Mason Investor Services, LLC/Legg Mason Global Funds Plc No. 5833

Merrill Lynch, Pierce, Fenner & Smith Incorporated/671 MLPF&S TS PR No. 0671

First Trade Date, June 20, 2018:

Quasar Distributors, LLC/Prime Cap Odyssey Funds No. 4895

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

First Trade Date, June 14, 2018:

Cortland Fund Services LLC No. 3561

First Trade Date, June 18, 2018:

Griffin Capital Mgt. LLC

No. 8844

First Trade Date, June 20, 2018:

Richmond Quantitative Advisors, LLC

No. 1676

- 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>Add First Trade Date, June 12, 2018</u> Pundion LLC	PRST	0551	PUND	✓			
<u>Add First Trade Date, June 13, 2018</u> Electronic Transaction Clearing, Inc.	ETCC	0873	ETFH	✓			
<u>Add First Trade Date, June 14, 2018</u> Hilltop Securities Independent Network Inc.	SWST	0279	BTSS	✓	✓	✓	
<u>Add First Trade Date, June 18, 2018</u> Bancroft Capital, LLC	PERS	0443	VTRN	✓		✓	

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