



A#:	8568
P&S #:	8143
Date:	06/08/2018
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 firm will retire from all services, as detailed below:

Last Trade Date, June 12, 2018

Alps Distributors, Inc./Laudus Funds

No. 4903

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 Charles Schwab & Co., Inc. (#5489) for the purpose of utilizing Fund/SERV, Networking, MF – Profile, Omni/SERV Activity & Position, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, June 13, 2018:

Charles Schwab & Co., Inc./Laudus Funds

No. 4903

Contact: Jason O’Connell

Phone: (720) 418-3570

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

Last Trade Date, June 12, 2018

Forside Distribution Services, L.P./Signature Liquidity Fund, Ltd.

No. 6673

Last Trade Date, June 13, 2018

Forside Distribution Services. LP/Leader Short Term Bond Fund

No. 5804

Gemini Fund Services, LLC

No. 3587

Gemini Fund Services, LLC

No. 3589

Gemini Fund Services, LLC

No. 6873

Gemini Fund Services, LLC

No. 6887

Gemini Fund Services, LLC

No. 9833

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

Last Trade Date, June 12, 2018:

Investment Centers Of America, Inc.	No.	0565
SII Investments, Inc.	No.	0640
National Planning Corporation	No.	0668

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

First Trade Date, June 12, 2018:

From: Foreside Fund Services LLC/ING Offshore	No.	5473
To: Foreside Fund Services, LLC/NN (L)	No.	5473

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

First Trade Date, June 13, 2018:

Foreside Distribution Services, L.P./Blackstone/GSO Floating Rate Enhanced Income Fund	No.	7586
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, June 7, 2018:

Hall Structured Finance II, LLC	No.	8845
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First Trade Date, June 8, 2018:

Orion Advisor Services, LLC	No.	8843
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- The following additional number has been assigned to Foreside Distribution Services, L.P. (#4967) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

First Trade Date, June 11, 2018:

Foreside Distribution Services, L.P./Stira Alcentra Global Credit Fund	No.	3529
Contact: Quontrell Lewis Jr.		
Phone: (816) 843-7271		

- The following additional number has been assigned to Foreside Distribution Services, L.P. (#4967) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services as detailed below:

First Trade Date, June 11, 2018:

Foreside Distribution Services, L.P./Wellington Management Funds (LUX)	No.	1765
Contact: Killian Lonergan		
Phone: +41 44 227 18 79		

- The following additional number has been assigned to Guggenheim Funds Distributors, LLC (#4912) for the purpose of utilizing Fund/SERV, Networking, Omni/SERV Activity & Position, MF – Profile, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

First Trade Date, June 15, 2018:

Guggenheim Funds Distributors, LLC/Guggenheim Global Investments Plc No. 8848

Contact: Maureen Foley

Phone: (212) 518-9966

- 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>Add First Trade Date, June 5, 2018</u>							
Brasil Plural Securities LLC	IBKR	0017	BRPR	✓			
<u>Add First Trade Date, June 6, 2018</u>							
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLZB	✓			
<u>Add First Trade Date, June 7, 2018</u>							
Feltl & Company	RBCD	0235	FLTL	✓	✓	✓	✓
<u>Add First Trade Date, June 7, 2018</u>							
Israel A. Englander & Co., LLC	MLCO	0161	IAEX	✓	✓	✓	✓

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