



A#:	8620
P&S #:	8195
Date:	09/28/2018
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, September 28, 2018

Itau Active Asset Allocation Funds

No. 3213

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following firm will begin participation in the Fund/SERV, Networking, and MF - Daily Price & Rate services, as detailed below:

First Trade Date, October 01, 2018:

Itau USA Asset Management Inc.

No. 3213

Contact: Marcelo L. Fatio

Phone: +55 11 3631 2605

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

Last Trade Date, October 02, 2018

Matrix 360 Distributors, LLC/Nest Egg

No. 5694

Last Trade Date, October 08, 2018

G. Research, LLC/Teton Keeley Funds

No. 5661

- The following firm will no longer participate in the MF – Profile service, as detailed below:

Last Trade Date, October 04, 2018

Ultimus Fund Distributors, LLC/Centuar Mutual Funds

No. 5337

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit <http://www.dtcc.com/rss-feeds.aspx>.

Non-Confidential

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

First Trade Date, October 03, 2018:

Forside Fund Services, LLC/RMB Investors Trust No. 5583

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

First Trade Date, October 03, 2018:

Northern Lights Distributors, LLC/ACM Dynamic Opportunity Fund No. 3169

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

First Trade Date, September 28, 2018

Cache Private Capital Management, LLC No. 3922

Cache Private Capital Management, LLC No. 3923

First Trade Date, October 03, 2018:

Participant Capital Partner US, LLC No. 3690

SS&C Technologies, Inc. No. 3928

UMB Fund Services, Inc. No. 3930

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

First Trade Date, October 08, 2018:

Fiduciary Exchange, LLC No. 3625

- The following additional number has been assigned to Forside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF – Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 01, 2018:

Forside Fund Services, LLC/Variant Alternative Income Fund No. 3666

Contact: Brittany Haiser

Phone: (414) 299-2197

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 01, 2018:

Quasar Distributors, LLC/Argent Capital Funds No. 3706

Contact: Casey Sauer

Phone: (414) 203-9122

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 01, 2018:

Quasar Distributors, LLC/IM Global Partner Funds
 Contact: Casey Sauer
 Phone: (414) 203-9122

No. 3781

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

	<u>Clearing Broker</u>		<u>Executing Broker</u>	OTC	<u>Products OTC/CMU</u>		
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>		<u>Corp</u>	<u>Muni</u>	<u>UIT</u>
<u>Clearing Broker Change, Effective First Trade Date, September 27, 2018</u>							
From: National Alliance Securities Corporation	ECUT	0100	NASC	✓			
To: National Alliance Securities Corporation	SWST	0279	NASC	✓			
<u>Clearing Broker Change, Effective First Trade Date, September 28, 2018</u>							
From: TD Securities (USA) LLC	NFSC	0226	TDED	✓			
To: TD Securities (USA) LLC	AFCO	0284	TDED	✓			
<u>Clearing Broker Change, Effective First Trade Date, October 01, 2018</u>							
From: Avatar Capital Group LLC	ICBK	0388	AVAT			✓	
To: Avatar Capital Group LLC	SWST	0279	AVAT			✓	
<u>Delete Last Trade Date, September 28, 2018</u>							
303 Alternatives, LLC	RBCD	0235	TZTA	✓	✓	✓	✓
Avatar Capital Group LLC	ICBK	0388	AVAT	✓			
<u>Add First Trade Date, September 25, 2018</u>							
American Ledger ATS LLC	IBKR	0017	CSTN	✓			
Biltmore International Corporation	ETCC	0873	BMIC	✓			
<u>Add First Trade Date, September 26, 2018</u>							
Essex Radez LLC	ETCC	0873	ERCO	✓			
<u>Add First Trade Date, September 27, 2018</u>							
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFL	✓			
Coda Markets, Inc.	MLCO	0161	CODA	✓	✓	✓	✓

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