



Important Notice
National Securities Clearing Corporation

A#:	8477
P&S #:	8052
Date:	11/10/2017
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, November 10, 2017:

Piper Jaffray & Co. No. 0311

Last Trade Date, November 13, 2017:

Northern Lights Distributors, LLC/West Shore Real Return Income Fund No. 1366

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

First Trade Date, November 10, 2017:

Northern Lights Distributors, LLC/Swan Defined Risk Fund No. 3357

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

First Trade Date, November 13, 2017:

Global Trust Company/SSB-AXA No. 9484

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

First Trade Date, November 10, 2017:

JWB Real Estate Capital LLC No. 0895

HC Global Fund Services, LLC No. 0798

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- The following firm will begin participation in the DTCC Payment aXis and Insurance Processing services, as detailed below:

First Trade Date, November 15, 2017:

AXA Distributors, LLC

No. 3565

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) 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, November 10, 2017:

Northern Lights Distributors, LLC/Recurrent Funds

No. 0893

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate, and DTCC Payment aXis services, as detailed below:

First Trade Date, December 1, 2017:

ALPS Distributors Inc./ALPS Funds Services

No. 8391

Contact: Dave Nelson

Phone: (720) 917-0709

- 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>UIT</u>
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>		
<u>Delete Last Trade Date, November 7, 2017</u>								
Crestone Securities LLC	PERS	0443	KCML	✓	✓		✓	
Bley Investments Group, Inc.	PERS	0443	BLAY	✓	✓	✓	✓	
<u>Delete Last Trade Date, November 9, 2017</u>								
Feldstein Financial Group, LLC.	PERS	0443	FFGI		✓		✓	
<u>Delete Last Trade Date, November 13, 2017</u>								
Illustro Trading, LLC	WSGD	8199	ILUS	✓				
<u>Delete Last Trade Date, November 15, 2017</u>								
Hollencrest Capital Management	NFSC	0226	HLLC		✓	✓	✓	
<u>Add First Trade Date, November 6, 2017</u>								
Chardan Capital Markets LLC	WSGD	8199	CHDN	✓				

Add First Trade Date, November 7, 2017

SEI Investments Distribution Co.	IBFS	0824	SSEI	✓				
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Add First Trade Date, November 10, 2017

Benjamin & Jerold Brokerage I, LLC	LSCI	0512	LXBJ	✓				
Benjamin & Jerold Brokerage I, LLC	LSCI	0512	BLNX	✓				
FIS Brokerage & Securities Services LLC	MLCO	0161	FOXB	✓	✓	✓	✓	✓

Add First Trade Date, November 13, 2017

Virtu Americas LLC	NITC	0295	VALR	✓				
MD Global Partners, LLC	RBCD	0235	MDGP	✓	✓	✓	✓	✓

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