



A#:	8479
P&S #:	8054
Date:	11/17/2017
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 firm will retire from all services, as detailed below:

Last Trade Date, November 17, 2017:

Ultimus Fund Distributors, LLC/WST Investment Trust

No. 1325

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 Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF – Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 20, 2017:

Foreside Fund Services, LLC/WST Investment Trust

No. 1325

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, November 17, 2017:

America Northcoast Securities, Inc.

No. 4951

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 Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV, DCC&S, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 20, 2017:

Arbor Court Capital LLC/Ancora Funds

No. 4951

Contact: Gregory B Getts

Phone: (440) 922-0066 Ext. 101

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

Last Trade Date, November 17, 2017:

Transamerica Capital, Inc./Diversified Funds	No.	6739
Ultimus Fund Distributors, LLC/TFS Capital INV TR	No.	5430
Essex National Securities, Inc.	No.	0254

Last Trade Date, November 20, 2017:

Foreside Fund Services, LLC/Wakefield Fund	No.	3688
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- The following firm will no longer participate in the Omni/Serv Activity & Position and MF – Profile services, as detailed below:

Last Trade Date, November 17, 2017:

UMB Distribution Services	No.	4854
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- The following firms will begin participation in the MF – Daily Price and Rate service, as detailed below:

First Trade Date, November 20, 2017:

Northern Lights Distributors, LLC/Centerstone Funds	No.	9479
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First Trade Date, November 22, 2017:

Quasar Distributors, LLC/Vert Global Reit	No.	1162
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, November 17, 2017:

Cortland Fund Services LLC	No.	0167
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First Trade Date, November 20, 2017:

Cedar Street Asset Management LLC	No.	1579
Artinvest Advisors LLC	No.	1580

- 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>Clearing Broker Name Change Effective First Trade Date, November 20, 2017</u>							
From: Jefferies Execution Services, Inc.	WDSB	0536	WDSB	✓			
To: Jefferies LLC	WDSB	0536	WDSB	✓			
<u>Clearing Broker Change, Effective First Trade Date, November 17, 2017</u>							
From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETEP	✓			
To: Electronic Transaction Clearing, Inc.	ETDP	3361	ETEP	✓			
<u>Clearing Broker Change, Effective First Trade Date, November 20, 2017</u>							
From: Ustocktrade Securities, Inc.	ETDP	3361	USTA	✓			
To: Ustocktrade Securities, Inc.	ETCC	0873	USTA	✓			
<u>Clearing Broker Change, Effective First Trade Date, November 20, 2017</u>							
From: Ustocktrade Securities, Inc.	ETDP	3361	USTK	✓			
To: Ustocktrade Securities, Inc.	ETCC	0873	USTK	✓			
<u>Delete Last Trade Date, November 16, 2017</u>							
Mason Securities, Inc.	PERS	0443	MSIE		✓	✓	✓
<u>Delete Last Trade Date, November 17, 2017</u>							
Brookview Capital LLC	PERS	0443	BKVV		✓	✓	✓
Trade Manage Capital, Inc.	PERS	0443	YAMN	✓	✓	✓	✓
<u>Add First Trade Date, November 17, 2017</u>							
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEO	✓			
Electronic Transaction Clearing, Inc.	ETDP	3361	ETEQ	✓			

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