



Important Notice
National Securities Clearing Corporation

A#:	8481
P&S #:	8056
Date:	11/24/2017
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 24, 2017:

Unified Financial Securities, LLC/FBO Roosevelt Fund No. 4725

Last Trade Date, November 27, 2017:

State Street Bank & Trust Company/Hewitt Associates/Estee Lauder No. 7037

State Street Bank & TR Co./Mainstay No. 0487

State Street Bank & Trust Co/T.Rowe Price RET PL SER No. 5968

Last Trade Date, November 30, 2017:

State Street Bank & Trust Company/NRS/Halliburton Company No. 7086

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

First Trade Date, November 28, 2017:

From: SS&C Technologies, Inc./Briarwood Capital Master Fund, Ltd. No. 2025

To: SS&C Technologies, Inc./Briarwood Capital Partners LP No. 2025

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

First Trade Date, November 22, 2017:

BNP Paribas, New York Branch/Larrainvial Asset Management SICAV No. 1075

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

First Trade Date, November 24, 2017:

Nuveen Securities, LLC No. 5790

First Trade Date, November 28, 2017:

UMB Fund Services, Inc. No. 3464

First Trade Date, November 29, 2017:

Nuveen Securities, LLC No. 3525

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) 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 28, 2017:

Quasar Distributors, LLC/Doubleline Offshore Funds No. 3676

Contact: Casey Sauer

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- 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>Delete Last Trade Date, November 21, 2017</u> Buell Securities Corp.	PERS	0443	BUEL		✓	✓	✓
<u>Delete Last Trade Date, November 27, 2017</u> UBS Financial Services Inc.	STFL	0793	PWJX	✓		✓	

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