



Important Notice
National Securities Clearing Corporation

A#:	8476
P&S #:	8051
Date:	11/03/2017
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 1, 2017:

The Impact Partnership, LLC	No.	3624
VP Distributors, LLC/Ridgeworth	No.	4920

Last Trade Date, November 10, 2017:

Sentinel Financial Services Company	No.	5873
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- The following firm will no longer participate in the OTC Comparison, Trade Comparison, Trade Recording, NYSE Listed, and Obligation Warehouse services, as detailed below:

Last Trade Date, November 6, 2017:

Piper Jaffray & Co.	No.	0311
OTC Alpha Identifier	PIPX	
NYSE Alpha Identifier:	PJ	

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

First Trade Date, November 1, 2017:

From: NBCN Inc./JCC/CDS	No.	5007
To: National Bank Financial Inc./JCC/CDS	No.	5007

From: NBCN Inc./CDS	No.	5008
To: National Bank Financial Inc./CDS	No.	5008

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- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

First Trade Date, November 2, 2017:

ALPS Distributors, Inc./Insignia Funds No. 3024

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

First Trade Date, November 2, 2017:

Lloyd Jones Capital, LLC No. 0457

SS&C Technologies, Inc. No. 1908

SS&C Technologies, Inc. No. 1910

First Trade Date, November 3, 2017:

SS&C Technologies, Inc. No. 2025

First Trade Date, November 7, 2017:

Essential Fund Services LLC No. 0107

UMB Fund Services, Inc. No. 2058

First Trade Date, November 8, 2017:

Woodfield Fund Administration LLC No. 0916

- 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, November 2, 2017:

Foreside Distribution Services, L.P./SATF & SIF UCITS Funds No. 1067

Contact: Mike O'Brien

Phone: +353 1 776 4230

- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services as detailed below:

First Trade Date, November 3, 2017:

State Street Bank and Trust Company/Voya Institutional Services/Best Buy No. 0422

Contact: Belynda Crick

Phone: (617) 662-6013

- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price & Rate services as detailed below:

First Trade Date, November 3, 2017:

Global Trust Company/SSB-Intech	No. 0934
Contact: Frank Lалlos	
Phone: (781) 970-5027	

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

First Trade Date, November 6, 2017:

Quasar Distributors, LLC/First State Investments Funds	No. 3508
Contact: Casey Sauer	
Phone: (414) 203-9122	

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

First Trade Date, November 8, 2017:

SBLI USA Life Insurance Company, Inc.	No. 1018
S.USA Life Insurance Company, Inc.	No. 1052

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

First Trade Date, November 13, 2017:

Foreside Fund Services, LLC/AGF US Mutual Funds	No. 6747
Contact: Casandra Sauer	
Phone: (414) 203-9122	

- 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>Delete Last Trade Date, November 2, 2017</u>							
Cadaret, Grant & Co., Inc.	PERS	0443	CGAT	✓			
<u>Delete Last Trade Date, November 3, 2017</u>							
Chardan Capital Markets LLC	IBFS	0824	CHDN	✓			
Veritas Securities Corp.	ECUT	0100	VRTS	✓			
New Albion Partners LLC	ECUT	0100	CPSI	✓		✓	
Benjamin Securities Investment Co., Inc.	SWST	0279	BENS	✓	✓		
Freedom Investors Corp.	SWST	0279	FRIC	✓		✓	
<u>Delete Last Trade Date, November 6, 2017</u>							
Piper Jaffray & Co.	PIPX	0311	PIPS	✓			
<u>Add First Trade Date, October 31, 2017</u>							
BCI Securities, Inc.	PERS	0443	BCIB		✓	✓	✓
<u>Add First Trade Date, November 1, 2017</u>							
Peel Hunt Inc.	SALI	0750	PLHT	✓			
<u>Add First Trade Date, November 2, 2017</u>							
GTS Securities, LLC	GSCO	0005	GTSY	✓			
<u>Add First Trade Date, November 3, 2017</u>							
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEJ	✓			
Benjamin & Jerold Brokerage I, LLC	ETCC	0873	BJRP	✓			
<u>Add First Trade Date, November 6, 2017</u>							
Electronic Transaction Clearing, Inc.	ETCC	0873	ETCJ	✓			

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