



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	8493
<b>P&amp;S #:</b>	8068
<b>Date:</b>	12/15/2017
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, December 12, 2017:**

Capmarusa, LLC	No.	6007
WFG Investments, Inc.	No.	6014

**Last Trade Date, December 15, 2017:**

Trust Company of America	No.	3133
Goldman, Sachs & Co. LLC/Goldman Sachs International Ltd	No.	5208

**Last Trade Date, December 20, 2017:**

Arbor Court Capital, LLC/TCG Financial Series Trusts	No.	3166
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- The following firm will no longer participate in the OTC Comparison, Trade Comparison, Trade Recording, and Obligation Warehouse services, as detailed below:

**Last Trade Date, December 19, 2017:**

Diamant Investment Corporation	No.	0344
OTC Alpha Identifier	DAVE	
MUNI Alpha Identifier	DAVE	

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

**First Trade Date, December 15, 2017:**

From: The Private Bank and Trust Company	No.	9026
To: CIBC Bank USA	No.	9026

- The following firms will begin participation in the MF - Profile service, as detailed below:

**First Trade Date, December 13, 2017:**

Ameritas Life Insurance Corp.	No.	4539
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**First Trade Date, December 18, 2017:**

ALPS Distributors Inc./ALPS Funds Services	No.	8391
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**First Trade Date, December 19, 2017:**

BB&T Securities, LLC	No.	0702
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- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:

**First Trade Date, December 18, 2017:**

Mirae Asset Securities (USA) Inc.	No.	1043
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- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

**First Trade Date, December 19, 2017:**

Accrued Equities, Inc.	No.	5678
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, December 14, 2017:**

SS&C Technologies, Inc.	No.	4620
SS&C Technologies, Inc.	No.	4669
SEI Investments Distribution Co.	No.	7440

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, Standardized Data Reporting, MF – Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

**First Trade Date, December 20, 2017:**

Northern Lights Distributors, LLC/Orange Structured Credit Value Fund No. 8023  
 Contact: Mike Nielsen  
 Phone: (402) 896-7267

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, Standardized Data Reporting, MF – Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

**First Trade Date, December 20, 2017:**

Northern Lights Distributors, LLC/Elevation Funds No. 8025  
 Contact: Mike Nielsen  
 Phone: (402) 896-7267

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

**First Trade Date, December 20, 2017:**

Quasar Distributors, LLC/Cushing Funds No. 8026  
 Contact: Casey 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>UIT</u>
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>		
<b><u>Clearing Broker Change, Effective First Trade Date, December 15, 2017</u></b>								
From: The Buckingham Research Group Incorporated	MLCO	0161	BUCK	✓		✓		
To: The Buckingham Research Group Incorporated	ECUT	0100	BUCK	✓	✓	✓		

**Delete Last Trade Date, December 13, 2017**

Securities Capital	PERS	0443	MASJ	✓			✓
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**Delete Last Trade Date, December 14, 2017**

Principal Securities	PERS	0443	PFSM	✓			✓
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**Delete Last Trade Date, December 15, 2017**

MBSC Securities Corporation	MLCO	0161	MBSC	✓		✓	
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**Add First Trade Date, December 12, 2017**

Titleist Asset Management, Ltd.	LGNT	0052	TITL	✓	✓	✓	✓
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**Add First Trade Date, December 13, 2017**

Larrainvial Securities US LLC	PERS	0443	LVAR	✓			
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).