



<b>A#:</b>	8496
<b>P&amp;S #:</b>	8071
<b>Date:</b>	12/22/2017
<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 firm will retire from all services, as detailed below:

**Last Trade Date, December 21, 2017:**

Northern Lights Distributors, LLC/Total Income + Real Estate Fund No. 3387

*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 ALPS Distributors, Inc. (#5642) 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, December 22, 2017:**

ALPS Distributors, Inc./Total Income Plus No. 3387  
 Contact: Chris Yunker  
 Phone: (402) 896-7243

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

**Last Trade Date, December 22, 2017:**

Conifer Financial Services LLC No. 8214  
 Conifer Financial Services LLC No. 8215  
 Conifer Financial Services LLC No. 8218

*In connection with the above account retirements, another member firm will now assume the same number, as detailed below:*

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

**First Trade Date, December 26, 2017:**

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit <http://www.dtcc.com/rss-feeds.aspx>.

Non-Confidential

SS&C Technologies, Inc.	No.	8214
SS&C Technologies, Inc.	No.	8215
SS&C Technologies, Inc.	No.	8218

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

**Last Trade Date, December 26, 2017:**

Conifer Financial Services LLC	No.	8206
Conifer Financial Services LLC	No.	8211
Conifer Financial Services LLC	No.	8216

*In connection with the above account retirements, another member firm will now assume the same number, as detailed below:*

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

**First Trade Date, December 27, 2017:**

SS&C Technologies, Inc.	No.	8206
SS&C Technologies, Inc.	No.	8211
SS&C Technologies, Inc.	No.	8216

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

**Last Trade Date, December 27, 2017:**

Conifer Financial Services LLC	No.	8202
Conifer Financial Services LLC	No.	8207
Conifer Financial Services LLC	No.	8208

*In connection with the above account retirements, another member firm will now assume the same number, as detailed below:*

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

**First Trade Date, December 28, 2017:**

SS&C Technologies, Inc.	No.	8202
SS&C Technologies, Inc.	No.	8207
SS&C Technologies, Inc.	No.	8208

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

**Last Trade Date, December 28, 2017:**

Conifer Financial Services LLC	No.	8145
Conifer Financial Services LLC	No.	8170
Conifer Financial Services LLC	No.	8368

*In connection with the above account retirements, another member firm will now assume the same number, as detailed below:*

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

**First Trade Date, December 29, 2017:**

SS&C Technologies, Inc.	No.	8145
SS&C Technologies, Inc.	No.	8170
SS&C Technologies, Inc.	No.	8368

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

**Last Trade Date, December 29, 2017:**

Conifer Financial Services LLC	No.	8205
Conifer Financial Services LLC	No.	9127

*In connection with the above account retirements, another member firm will now assume the same number, as detailed below:*

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

**First Trade Date, January 2, 2018:**

SS&C Technologies, Inc.	No.	8205
SS&C Technologies, Inc.	No.	9127

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

**Last Trade Date, December 22, 2017:**

Diamant Investment Corporation	No.	0344
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**Last Trade Date, December 26, 2017:**

Optionsxpress, Inc.	No.	0338
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**Last Trade Date, December 28, 2017:**

Unified Financial Securities, LLC/Granite Funds	No.	3790
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**Last Trade Date, December 29, 2017:**

BB&T Investment Services, Inc.	No.	0156
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- The following firm will no longer participate in the OTC Comparison, Trade Comparison, Trade Recording, Envelope Settlement, Prime Broker, and Obligation Warehouse services, as detailed below:

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

Optionsxpress, Inc.	No.	0338
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OTC Alpha Identifier  
MUNI Alpha Identifier

OXPS  
OXPS

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

**First Trade Date, December 22, 2017:**

From: Quasar Distributors LLC/Henderson Gartmore Offshore Funds	No.	3083
To: Quasar Distributors LLC/Janus Henderson Offshore Funds	No.	3083
From: Quasar Distributors LLC/Henderson Horizon Offshore Funds	No.	5866
To: Quasar Distributors LLC/Janus Henderson Horizon Offshore Funds	No.	5866

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

**First Trade Date, December 21, 2017:**

SEI Investments Distribution Company	No.	6022
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**First Trade Date, December 27, 2017:**

SS&C Technologies, Inc.	No.	7224
SS&C Technologies, Inc.	No.	7270

**First Trade Date, December 28, 2017:**

Serengeti Asset Management LP	No.	6425
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**First Trade Date, December 29, 2017:**

U.S. Bancorp Fund Services, LLC	No.	8060
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- The following additional number has been assigned to Morgan Stanley & Co. LLC (#5857) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price & Rate services as detailed below:

**First Trade Date, December 28, 2017:**

Morgan Stanley & Co. LLC/MSIM Ltd Liquidity Funds	No.	6496
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Contact: Gemma Thirlby  
Phone: (207) 677-2862

- The following additional number has been assigned to Wilmington Trust Company (#4894) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate services as detailed below:

**First Trade Date, January 2, 2018:**

Wilmington Trust Company/WTNA Outside Funds	No.	6041
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Contact: Jeff Selig  
Phone: (410) 986-5765

- 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, and ACATS Fund/SERV services as detailed below:

**First Trade Date, January 2, 2018:**

Quasar Distributors, LLC/CrossingBridge Funds  
 Contact: Casey Sauer  
 Phone: (414) 203-9122

No. 8392

- 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>
<b><u>Clearing Broker Change, Effective First Trade Date, December 22, 2017</u></b>							
From: Cutter & Company, Inc.	BBNT	0702	CUTW	✓	✓		✓
To: Cutter & Company, Inc.	RBCD	0235	CUTW	✓	✓		✓
<b><u>Clearing Broker Change, Effective First Trade Date, December 26, 2017</u></b>							
From: Celadon Financial Group LLC	IBFS	0824	CFGN	✓			
To: Celadon Financial Group LLC	WEDB	0103	CFGN	✓			
<b><u>Delete Last Trade Date, December 18, 2017</u></b>							
Grant Williams L.P.	SWST	0279	GWLP	✓	✓	✓	
Bristol Financial Services	PERS	0443	BRFI		✓		✓
<b><u>Delete Last Trade Date, December 20, 2017</u></b>							
Bankers & Investors Co.	SWST	0279	BAIN	✓	✓	✓	✓
<b><u>Delete Last Trade Date, December 21, 2017</u></b>							
Titleist Asset Management, Ltd.	LGNT	0052	TAMT	✓	✓	✓	✓
FFC Capital Advisors LLC	PERS	0443	FFCC		✓		✓
<b><u>Delete Last Trade Date, December 29, 2017</u></b>							
PCBB Capital Markets, LLC	NFSC	0226	BIGS		✓	✓	✓
<b><u>Add First Trade Date, December 20, 2017</u></b>							
Cutter & Company, Inc.	RBCD	0235	CUTW			✓	
<b><u>Add First Trade Date, January 2, 2018</u></b>							
Broker Dealer Financial Services Corp.	NFSC	0226	BKFS		✓	✓	✓
Zeus Securities, Inc	PERS	0443	ZEUS		✓	✓	

<b>Add First Trade Date, February 1, 2018</b>							
Rialto Trading Network LLC	SALI	0750	RTNT		✓		

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).