



Important Notice
National Securities Clearing Corporation

A#:	8661
P&S #:	8236
Date:	12/28/2018
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 update from Important Notice A#8659 (P&S#8234) dated December 21, 2018 has been revised as follows:

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

First Trade Date, January 03, 2019:

State Street Bank & Trust Company/Great West/Lockheed Martin No. 3934
Contact: Belynda Crick
Phone: (617) 662-6013

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

Last Trade Date, December 28, 2018:

Rafferty Capital Markets, LLC/Epiphany Funds No. 6634

Last Trade Date, December 31, 2018:

ALPS Distributors, Inc./Seafarer Funds No. 3777

Last Trade Date, December 31, 2018:

ALPS Distributors, Inc./River North Funds No. 6520

Last Trade Date, December 31, 2018:

ALPS Distributors, Inc./Wesmark Funds No. 5944

Last Trade Date, January 02, 2019:

Northern Lights Distributors, LLC/SFG Futures Strategy Fund No. 3610

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

First Trade Date, December 31, 2018:

From: Dividend Capital Diversified Property Fund Inc. No. 1738
 To: Black Creek Diversified Property Fund Inc. No. 1738

First Trade Date, January 02, 2019:

From: State Street Bank & Trust Company/NRS/Intel No. 5197
 To: State Street Bank & Trust Company/NRS/Intel 401K Savings Plan Trust No. 5197

- The following firm will begin participation in the MF – Daily Price & Rate service, as detailed below:

First Trade Date, January 07, 2019:

TD Prime Services LLC No. 0284

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

First Trade Date, January 07, 2019:

ING Financial Markets LLC No. 0270
 CORP Alpha Identifier ING

- 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, January 02, 2019:

Global Trust Company/Citi-Barings No. 4020
 Contact: Frank Lалos
 Phone: (781) 970-5027

- The following additional number has been assigned to Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 02, 2019:

Arbor Court Capital LLC/Innovative Portfolios No. 4019
 Contact: Gregory B Getts
 Phone: (440) 922-0066 (Ext. 101)

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

First Trade Date, January 02, 2019:

State Street Bank & Trust Company/NRS/Intel Retirement Contribution Plan Trust No. 4033
 Contact: Belynda Crick
 Phone: (617) 662-6013

- 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>Executing Broker Name Change, Effective First Trade Date, December 27, 2018</u>							
From: English Concepts, Inc.	PERS	0443	PMAS		✓	✓	✓
To: PMA Securities, Inc.	PERS	0443	PMAS		✓	✓	✓
<u>Executing Broker Name Change, Effective First Trade Date, January 02, 2019</u>							
From: Lancaster Pollard & Co.	SWST	0279	LANP	✓	✓	✓	
To: Orec Securities, LLC	SWST	0279	LANP	✓	✓	✓	
<u>Delete Last Trade Date, December 27, 2018</u>							
Planned Investment Co., Inc.	RBCD	0235	PICC	✓	✓	✓	✓
<u>Delete Last Trade Date, December 31, 2018</u>							
Rice Financial Products Company	PERS	0443	APEX		✓	✓	✓
<u>Delete Last Trade Date, January 04, 2019</u>							
Puma Capital, LLC	MLCO	0161	PUMA	✓	✓	✓	
<u>Add First Trade Date, December 27, 2018</u>							
Roth Capital Partners, LLC	RBCD	0235	ROTB	✓	✓	✓	✓
<u>Add First Trade Date, December 28, 2018</u>							
Invicta Capital LLC	IBKR	0017	IVTA	✓			

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