



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

<b>A#:</b>	8676
<b>P&amp;S #:</b>	8251
<b>Date:</b>	02/01/2019
<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, February 01, 2019:**

Signator Investors, Inc.

No. 0372

*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 Royal Alliance Associates Inc. (#0089) for the purpose of utilizing Networking, MF – Profile, DTCC Payment aXis and Insurance Processing services as detailed below:

**First Trade Date, February 04, 2019:**

Royal Alliance Associates Inc./Signator Investors

No. 0372

Contact: Marc Wallace

Phone: (770) 690-3647

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

**Last Trade Date, February 01, 2019:**

Signator Investors, Inc./Signator Financial Services

No. 0427

*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 Royal Alliance Associates Inc. (#0089) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate, DTCC Payment aXis, and Insurance Processing services as detailed below:

**First Trade Date, February 04, 2019:**

Royal Alliance Associates, Inc./Signator Financial

No. 0427

Contact: Marc Wallace

Phone: (770) 690-3647

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Non-Confidential

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

**Last Trade Date, February 05, 2019**

State Street Bank & Trust Company/NRS/PGITC No. 8287

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

**First Trade Date, February 06, 2019:**

Northern Lights Distributors, LLC/Spectrum Mutual Funds	No.	3014
Northern Lights Distributors, LLC/Issachar Fund	No.	3033
Northern Lights Distributors, LLC/Alphacentric Funds	No.	3100
Northern Lights Distributors, LLC/Predex	No.	3118
Northern Lights Distributors, LLC/ACM Dynamic Opportunity Fund	No.	3169
Northern Lights Distributors, LLC/Anchor Funds	No.	3247
Northern Lights Distributors, LLC/Main Buywrite Fund	No.	3291
Northern Lights Distributors, LLC/Measured Risk Strategy Fund	No.	3292
Northern Lights Distributors, LLC/Orchard Small Cap Value Fund	No.	3362
Northern Lights Distributors, LLC/Linde Hansen Contrarian Value Fund	No.	3616
Northern Lights Distributors, LLC/Persimmon Long/Short Fund	No.	3617
Northern Lights Distributors, LLC/WOA All Asset I	No.	3632
Northern Lights Distributors, LLC/The FX Strategy Fund	No.	3722
Northern Lights Distributors, LLC/Ascendant Funds	No.	3743
Northern Lights Distributors, LLC/Two Oaks Funds	No.	3751
Northern Lights Distributors, LLC/Hundredfold Funds	No.	3767
Northern Lights Distributors, LLC/AL Frank Funds	No.	4993
Northern Lights Distributors, LLC/Marathon Value Portfolio	No.	5303
Northern Lights Distributors, LLC/Ladenburg Thalmann Alternative Strategies Fund	No.	5344
Northern Lights Distributors, LLC/Chadwick & D'amato Fund	No.	5382
Northern Lights Distributors, LLC/Navigator Funds	No.	5394
Northern Lights Distributors, LLC/Astor Funds	No.	5400
Northern Lights Distributors, LLC/Biondo Fund	No.	5477
Northern Lights Distributors, LLC/Empiric Core Equity Fund	No.	5561
Northern Lights Distributors, LLC/Boyar Value Fund	No.	5796
Northern Lights Distributors, LLC/Ontrack Core Fund	No.	7050
Northern Lights Distributors, LLC/Pinnacle Tactical Allocation Fund	No.	7094
Northern Lights Distributors, LLC/Superfund Managed Futures Strategy Fund	No.	7951
Northern Lights Distributors, LLC/The Covered Bridge Fund	No.	7991
Northern Lights Distributors, LLC/Holbrook Income Fund	No.	9455
Northern Lights Distributors, LLC/Centerstone Funds	No.	9479

**First Trade Date, February 07, 2019:**

Northern Lights Distributors, LLC/Copeland Funds	No.	5395
Northern Lights Distributors, LLC/Boyd Watterson Funds	No.	9456

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

**First Trade Date, February 01, 2019:**

Northern Lights Distributors, LLC/Ascendant Funds	No.	3743
Northern Lights Distributors, LLC/Navigator Funds	No.	5394
Northern Lights Distributors, LLC/Timothy Plan	No.	6518

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

**First Trade Date, February 04, 2019:**

Forside Financial Services, LLC/Johcm Funds	No.	7979
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- The following firm will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, February 06, 2019**

Ultimus Private Fund Solutions, LLC/Conestoga Micro Cap Fund LP	No.	4064
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- The following firm will begin participation in the Insurance Processing service, as detailed below:

**First Trade Date, January 31, 2018:**

Franklin/Templeton Distributors, Inc.	No.	4026
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- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, February 01, 2019:**

Ultimus Fund Distributors, LLC/Alta Capital Funds	No.	4046
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Contact: Doug Jones

Phone: (513) 587-3408

- 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, February 01, 2019:**

ALPS Distributors, Inc./XA Investments LLC	No.	3950
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Contact: Anita Rose

Phone: (816) 435-3781

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>Executing Broker Name Change, Effective First Trade Date, January 30, 2019</u></b>							
From: Spectrum Asset Management, Inc.	NFSC	0226	SAMI	✓	✓	✓	✓
To: Sami Brokerage LLC	NFSC	0226	SAMI	✓	✓	✓	✓
<b><u>Delete Last Trade Date, January 31, 2019</u></b>							
North Ridge Securities Corp.	PERS	0443	NRSC		✓	✓	✓
BMO Capital Markets Corp.	PERS	0443	KGSA		✓	✓	✓
<b><u>Delete Last Trade Date, February 01, 2019</u></b>							
Forte Securities LLC	SALI	0750	FORT	✓	✓		✓
<b><u>Add First Trade Date, February 01, 2019</u></b>							
J.H. Darbie & Co., Inc.	VSIN	0595	JDRB	✓	✓	✓	✓

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