



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

<b>A#:</b>	8702
<b>P&amp;S #:</b>	8277
<b>Date:</b>	05/03/2019
<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, May 02, 2019:**

Northern Lights Distributors, LLC/FVIT Portfolios No. 1375

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

- The following firm will begin participation in the Fund/SERV, Networking, MF - Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

**First Trade Date, May 03, 2019:**

Global Atlantic Distributors, LLC No. 1375  
Contact: Deb Schunder  
Phone: (860) 325-1542

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

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

From: EverBank No. 3107  
To: TIAA, FSB. No. 3107

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

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

Nationwide Investment Services Corp./Nationwide Advisory Solutions No. 3977

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

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

Interactive Brokers LLC/Retail No. 0534  
Foreside Distribution Services, LP/Northern Trust Funds No. 6633

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>.

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

**First Trade Date, May 03, 2019**

Phoenix American Financial Services, Inc./Spring Hills Holdings LLC	No.	4186
Phoenix American Financial Services, Inc./Arctrust III, Inc.	No.	4187

**First Trade Date, May 08, 2019**

SS&C Technologies, Inc./SignatureFD Private Equity Fund, L.P	No.	4188
SS&C Technologies, Inc./Mercury iFunds LLC - Mercury CCA Life Settlements Fund	No.	4192

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

**First Trade Date, May 02, 2019:**

Chesterbrook Capital LLC	No.	4155
--------------------------	-----	------

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF –Daily Price and Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

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

ALPS Distributors, Inc./1290 VIT Funds	No.	4159
Contact: Patricia Cox		
Phone: (404) 760-2407		

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</u></b>								
<b><u>First Trade Date, May 02, 2019</u></b>								
From: Arvest Investments, Inc.	WRET	0141	ARVS	✓	✓	✓	✓	
To: Arvest Wealth Management	PERS	0443	ARVS	✓	✓	✓	✓	
<b><u>Executing Broker Name Change, effective</u></b>								
<b><u>First Trade Date, April 30, 2019</u></b>								
From: Concept Capital Markets, LLC	PERS	0443	CCMB	✓	✓		✓	
To: Cowen Prime Services LLC	PERS	0443	CCMB	✓	✓		✓	

**Executing Broker Name Change, effective**

**First Trade Date, April 30, 2019**

From: Concept Capital Markets, LLC	PRST	0551	CCML	✓			
To: Cowen Prime Services LLC	PRST	0551	CCML	✓			

**Delete Last Trade Date, May 01, 2019**

Twenty-First Securities Corporation	RBCD	0235	TFSC	✓	✓	✓	✓
-------------------------------------	------	------	------	---	---	---	---

**Delete Last Trade Date, May 03, 2019**

Regions Securities LLC	NFSC	0226	REGN				✓
------------------------	------	------	------	--	--	--	---

**Delete Last Trade Date, May 06, 2019**

Gates Capital Corporation	PERS	0443	GATS		✓	✓	✓
---------------------------	------	------	------	--	---	---	---

**Delete Last Trade Date, May 13, 2019**

DRW Securities, L.L.C.	GSCO	0005	DRWJ	✓			
------------------------	------	------	------	---	--	--	--

**Add First Trade Date, May 1, 2019**

Haitong International Securities (USA) Inc.	PERS	0443	HTIS		✓	✓	
---	------	------	------	--	---	---	--

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