



Important Notice
National Securities Clearing Corporation

A#:	8269
P&S #:	7844
Date:	10/14/2016
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 firm will retire from all services, as detailed below:

Last Trade Date, October 20, 2016:

ALPS Distributors, Inc/Caldwell & Orkin

No. 5684

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 Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate, and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 21, 2016:

Ultimus Fund Distributors, LLC/Caldwell & Orkin

No. 5684

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, October 20, 2016:

Vanguard Marketing Corporation

No. 5772

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 – Profile Service, Omni/SERV Activity & Position, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 21, 2016:

The Vanguard Group, Inc.

No. 5772

Contact: Rick Poluch

Phone: (610) 669-1679

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

Last Trade Date, October 20, 2016:

Vanguard Marktng CP./Vanguard Inv Series PLC Funds No. 4996

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 The Vanguard Group, Inc. (#5772) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, October 21, 2016:

The Vanguard Group, Inc./Vanguard Investment Series PLC Funds (“VGI/VIS”) No. 4996

Contact: Rick Poluch

Phone: (610) 669-1679

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

Last Trade Date, October 27, 2016:

ALPS Distributors, Inc./Centaur Mutual Funds No. 5337

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 Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF – Profile service, and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 28, 2016:

Ultimus Fund Distributors, LLC/Centuar Mutual Funds No. 5337

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, October 14, 2016:

Goldman, Sachs & CO./GMS Funds No. 3782

Last Trade Date, October 18, 2016:

Northern Lights Distributors, LLC./Investment Partners Opportunities Fund No. 5414

- The following firm will no longer participate in the Trade Comparison, Trade Recording, Obligation Warehouse, Envelope Settlement, and Mutual Fund services, as detailed below:

Last Trade Date, October 12, 2016:

Maple Securities U.S.A. Inc. No. 0269

OTC Alpha Identifier: MAPL

- The following firm will no longer participate in the Insurance Processing Services, as detailed below:

Last Trade Date, October 14, 2016:

DST Market Services, LLC No. 0626

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

First Trade Date, October 12, 2016:

From: MetLife Securities, Inc. No. 0484
 To: MSI Financial Services, Inc. No. 0484

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

First Trade Date, October 17, 2016:

BNP Paribas, New York Branch/Larrainvial Asset Management SICAV No. 1075

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

First Trade Date, October 18, 2016:

Quasar Distributors, LLC/Merger Fund No. 6601

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

First Trade Date, October 14, 2016:

US Bancorp Fund Services, LLC No. 2813
 US Bancorp Fund Services, LLC No. 2814
 US Bancorp Fund Services, LLC No. 2815
 US Bancorp Fund Services, LLC No. 2818
 US Bancorp Fund Services, LLC No. 2819
 Fairway America, LLC No. 2688
 Fairway America, LLC No. 2820

First Trade Date, October 17, 2016:

Trident Fund Services, Inc. No. 5115
 Valley Forge Private Equity, Inc. No. 8341

- 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, October 17, 2016:

ALPS Distributors, Inc./Cion Ares No. 8343
 Contact: Todd Lee
 Phone: (816) 843-7263

- Please update the NSCC Directory dated October 2016 (for OTC Executed-By List) as detailed below:

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Clearing Broker Change Effective First Trade Date, October 17, 2016

From: First Analysis Securities Corporation
 To: First Analysis Securities Corporation

MLCO	0161	FANA
IBFS	0824	FANA

Delete Last Trade Date, October 11, 2016

Gar Wood Securities, LLC

IBFS 0824 GARW

Delete Last Trade Date, October 13, 2016

First State Securities, Inc.

SWST 0279 FSSO

- Please update the NSCC Directory dated October 2016 (for Municipal Bond Comparison System) as detailed below:

Clearing Broker Identifiers

Executing Broker Identifiers

Alpha Numeric Alpha Numeric

Delete Last Trade Date, October 21, 2016

Pariter Securities, LLC

NFSC 0226 FJRF

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