



Important Notice
National Securities Clearing Corporation

A#:	8345
P&S #:	7920
Date:	03/03/2017
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, February 28, 2017:

Virtus Real Estate, LLC

No. 1799

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 Alternative Investment Products service, as detailed below:

First Trade Date, March 1, 2017:

Virtus Real Estate, LLC

No. 1799

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

Last Trade Date, February 28, 2017:

Cortland Fund Services LLC

No. 1866

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 Alternative Investment Products service, as detailed below:

First Trade Date, March 1, 2017:

Virtus Real Estate, LLC

No. 1866

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

Last Trade Date, February 28, 2017:

Keeley Investment Corp.

No. 5661

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 G. Research, LLC (#5574) for the purpose of utilizing Fund/SERV service, Networking, MF – Profile, DTCC Payment aXis, Omni/SERV Activity & Position, ACATS, and ACATS Fund/SERV services as detailed below:

First Trade Date, March 1, 2017:

G. Research, LLC/Teton Keeley Funds

No. 5661

Contact: Casey Sauer

Phone: (414) 203-9122

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc.

No. 5681

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 Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services, as detailed below:

First Trade Date, March 3, 2017

Matrix 360 Distributors, LLC

No. 5681

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc./Hedgerow Capital

No. 3287

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Hedgerow Funds

No. 3287

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc/IMS Funds

No. 4995

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/IMS Funds

No. 4995

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc./Nest Egg Funds

No. 5694

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Nest Egg

No. 5694

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group Inc/Shields & Company

No. 5843

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 Matrix 360 Distributors, LLC (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Wellington Shields (CMA)

No. 5843

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group Inc./Amidex

No. 6606

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Amidex Funds

No. 6606

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc./Stringer Asset Management

No. 7085

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Stringer Funds

No. 7085

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc./Della Parola

No. 1031

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Della Parola

No. 1031

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, March 2, 2017:

Matrix Capital Group, Inc./WP No. 1320

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 Matrix Capital Group Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services as detailed below:

First Trade Date, March 3, 2017:

Matrix 360 Distributors, LLC/Winning Points Advisors No. 1320

Contact: Ted Akins

Phone: (816) 787-0723

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

Last Trade Date, February 28, 2017:

Foothill Securities, Inc. No. 0548

Last Trade Date, March 3, 2017:

Great-West Financial Retirement Plan Services, LLC No. 7147

Last Trade Date, March 6, 2017:

Oneamerica Funds, Inc. No. 5689

Last Trade Date, March 7, 2017:

Quasar Distributors, LLC/Mar Vista Funds No. 3259

Quasar Distributors, LLC/Tiedemann Funds No. 5731

Last Trade Date, March 8, 2017:

GWFS Equities Inc./Great West RPS No. 5978

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

Last Trade Date, March 7, 2017:

Merrill Lynch, Pierce, Fenner And Smith, Inc./BAI No. 0424

Merrill Lynch, Pierce, Fenner & Smith Incorporated/Fixed Income No. 0773

- The following firm will change their name only, as detailed below:
First Trade Date, February 28, 2017:
 From: G.Research, Inc. No. 5574
 To: G. Research, LLC No. 5574
- The following firm will change their name only, as detailed below:
First Trade Date, March 6, 2017:
 From: Dash Financial LLC No. 0627
 To: Dash Financial Technologies LLC No. 0627
- The following firm will begin participation in the Retirement Plan Reporting service, as detailed below:
First Trade Date, March 7, 2017:
 MG Trust Company No. 5954
- The following firms will begin participation in the MF – Profile service, as detailed below:
First Trade Date, March 3, 2017:
 The Prudential Insurance Company of America/Pruco Securities LLC 2 No. 3071

First Trade Date, March 8, 2017:
 Foresters Financial Services, Inc. No. 5146
- The following firms will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, March 6, 2017:
 Transamerica Life Insurance Company/Transamerica Investors
 Securities Corporation No. 4738
 Transamerica Financial Life Insurance Company/Transamerica Investors
 Securities Corporation No. 4739
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, March 2, 2017:
 Shopoff Realty Investments . No. 2512

First Trade Date, March 6, 2017:
 U.S. Bancorp Fund Services, LLC . No. 1098

First Trade Date, March 7, 2017:

Benefit Street Partners, LLC . No. 1227
Benefit Street Partners, LLC . No. 1228

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

First Trade Date, March 6, 2017:

The Prudential Insurance Company Of America/Prudential Life Distributors No. 5423

- The following firm will begin participation in the Insurance Processing, Networking, and DTCC Payment aXis services, as detailed below:

First Trade Date, March 6, 2017:

National Securities Corporation No. 6472
Contact: John Koenigsberg
Phone: (212) 417-8162

- Please update the NSCC Directory dated February 2017 (for OTC Executed-By List and for Municipal Bond Comparison System) 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>
<u>Clearing Broker Change, Effective First Trade Date, March 1, 2017</u>				
From: Fintech Securities	MLCO	0161	FINX	
To: Fintech Securities	LSCI	0512	FINX	

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