



Important Notice
National Securities Clearing Corporation

A#:	8731
P&S #:	8306
Date:	08/02/2019
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 firms will retire from all services, as detailed below:

Last Trade Date, August 05, 2019:

Rafferty Capital Markets, LLC/Chou America Mutual Funds No. 5323

Last Trade Date, August 05, 2019:

Emmet & Co No. 5324

Last Trade Date, August 06, 2019:

Deer Isle Financial, LLC No. 9840

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

First Trade Date, August 01, 2019:

From: Mercer Investment Management, Inc. No. 8364

To: Mercer Investments LLC No. 8364

From: Mercer Investment Management, Inc. No. 9818

To: Mercer Investments LLC No. 9818

From: Mercer Investment Management, Inc./Mercer Private Investment Partners IV, LP No. 9308

To: Mercer Investments LLC/Mercer Private Investment Partners IV, LP No. 9308

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

First Trade Date, August 01, 2019:

Quasar Distributors, LLC/Pzena Funds No. 3041

- The following firm will begin participation in the Retirement Plan Reporting service, as detailed below:

First Trade Date, August 02, 2019:

D. A. Davidson & Co. No. 0361

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

First Trade Date, August 02, 2018:

U. S. Boston Capital Corporation No. 4919

- The following firms will begin participation in the Insurance Processing services, as detailed below:

First Trade Date, August 01, 2019:

Citigroup Global Markets Inc. No. 0505

First Trade Date, August 07, 2019:

The Capitol Life Insurance Company No. 4163

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

First Trade Date, August 01, 2019

UMB Fund Services, Inc./Corbin Multi-Strategy Fund, LLC. No. 4280

Essential Fund Services LLC/Infinity Special Situations III, LLC No. 4281

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF Profile and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 05, 2019:

Northern Lights Distributors, LLC/TransWestern Funds No. 4278

Contact: Mike Nielsen

Phone: (402) 896-7267

- 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>UIT</u>
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>	
<u>Clearing Broker Change, Effective First Trade Date, August 06, 2019</u>							
From: Emmet & Co.	EMET	5234	EMET			✓	
To: Emmet & Co.	SWST	0279	EMET			✓	
<u>Executing Broker Name Change, Effective First Trade Date, August 05, 2019</u>							
From: Weeden & Co. L.P.	MLCO	0161	WEED	✓	✓	✓	
To: Piper Jaffray & Co.	MLCO	0161	WEED	✓	✓	✓	
From: Weeden & Co. L.P.	MLCO	0161	WDNX	✓	✓		
To: Piper Jaffray & Co.	MLCO	0161	WDNX	✓	✓		
<u>Delete Last Trade Date, July 30, 2019</u>							
Longbow Securities, LLC	PERS	0443	LBOW	✓	✓		✓
Citadel Securities LLC	CDRG	8430	CSEC	✓			
<u>Delete Last Trade Date, August 05, 2019</u>							
Global Investor Services, L.C.	PERS	0443	HBCO	✓			
World Equity Group, Inc.	PERS	0443	WEGE	✓			
<u>Add First Trade Date, August 01, 2019</u>							
Citadel Securities LLC	CDRG	8430	CSEC	✓			

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