



Important Notice
National Securities Clearing Corporation

A#:	8750
P&S #:	8325
Date:	09/27/2019
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 firm will retire from all services, as detailed below:

Last Trade Date, September 27, 2019:

Merrill Lynch, Pierce, Fenner & Smith Incorporated/Nextgen 529 No. 4221

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 Networking services, as detailed below:

First Trade Date, September 30, 2019:

Merrill Lynch, Pierce, Fenner & Smith Incorporated No. 4221
Contact: Susan Yung
Phone: (646) 855-5002

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

Last Trade Date, September 30, 2019:

Delaware Life Insurance Company of New York/Annuity SE2 No. 3055

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 Delaware Life Insurance Company (#4518) for the purpose of utilizing Insurance Processing Services, as detailed below:

First Trade Date, October 01, 2019:

Delaware Life Insurance Company/DLIC No. 3055
Contact: James Lemkin
Phone: (781) 790-8853

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Non-Confidential

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

Last Trade Date, September 27, 2019:

Transamerica Life Insurance Company/TLIAC No. 4543

Last Trade Date, September 30, 2019:

ALPS Distributors, Inc./Broadview Funds No. 1349

Last Trade Date, October 01, 2019:

Investment Professionals, Inc. No. 6052

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

First Trade Date, September 25, 2019:

From: H.D. Vest Investment Securities, Inc. No. 0268

To: Avantax Investment Services, Inc. No. 0268

From: H.D. Vest Investment Securities, Inc. No. 7242

To: Avantax Investment Services, Inc. No. 7242

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

First Trade Date, September 30, 2019

Ascensus Broker Dealer Services, LLC/Envision No. 3031

- The following firm will begin participation in the MF - Daily Price and Rate service, as detailed below:

First Trade Date, October 01, 2019

Northern Trust Securities, Inc. No. 0523

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

First Trade Date, September 26, 2019

US Bancorp Fund Services LLC/Longtail Fund I LP No. 4322

Phoenix American Financial Services, Inc./American Hospitality Properties Fund III No. 4323

Phoenix American Financial Services, Inc./American Hospitality Properties Reit, Inc No. 4324

First Trade Date, September 30, 2019

ExchangeRight Real Estate, LLC No. 4321

- The following firm will begin participation in the Obligation Warehouse, ACATS, OTC Comparison and Bond Comparison services, as detailed below:

First Trade Date, September 30, 2019:

BETA Capital Securities LLC	No. 4077
OTC Alpha Identifier	BCWM
CORP BOND Alpha Identifier	BCWM
MUNI Alpha Identifier	BCWM
UIT Alpha Identifier	BCWM

- The following additional number has been assigned to Reliance Trust Company (#4896) for the purpose of utilizing Fund/SERV, Networking, and MF - Daily Price and Rate services, as detailed below:

First Trade Date, October 01, 2019:

Reliance Trust Company/Vulcan	No. 4291
Contact: James Kramer	
Phone: (312) 557-3592	

- 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>
<u>Executing Broker Name Change, Effective</u>							
<u>First Trade Date, September 25, 2019</u>							
From: HD Vest Investment Services	NFSC	0226	HDVS		✓	✓	✓
To: Avantex Investment Services, Inc.	NFSC	0226	HDVS		✓	✓	✓
<u>Executing Broker Clearing Change, Effective</u>							
<u>First Trade Date, September 26, 2019</u>							
From: Roberts & Ryan Investments, Inc.	IBFS	0824	RRII	✓			
To: Roberts & Ryan Investments, Inc.	ITGI	0099	RRII	✓			
<u>Delete Last Trade Date, September 26, 2019</u>							
BOE Securities Inc.	ITGI	0099	BOSE	✓			
Penson Financial Services, Inc.	ITGI	0099	PFAR	✓			
Seslia Securities	ITGI	0099	SESL	✓			
Wedbush Securities Inc.	ITGI	0099	WMIT	✓			
<u>Add First Trade Date, September 24, 2019</u>							
Spartan Capital Securities, LLC	LGNT	0052	SPCS	✓	✓	✓	✓
<u>Add First Trade Date, September 25, 2019</u>							
EQX LLC	WSGD	8199	EQXI	✓			

Add First Trade Date, September 27, 2019

M.Y. Safra Securities, Inc.	PFCL	0158	MYSS	✓	✓	✓
Citigroup Derivatives Markets Inc.	GSCO	0005	CDMI	✓		

Add First Trade Date, October 04, 2019

Options AI Financial, LLC	PFCL	0158	OAIF	✓		
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.