



Important Notice
National Securities Clearing Corporation

A#:	8498
P&S #:	8073
Date:	12/29/2017
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, December 29, 2017:

Foreside Funds Distributors LLC/Metropolitan West Funds

No. 6644

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 TCW Funds Distributors (#6563) for the purpose of utilizing Fund/SERV, Networking, Omni/SERV Activity & Position, MF – Profile, DTCC Payment aXis, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 2, 2018:

TCW Funds Distributors/Metropolitan West Funds

No. 6644

Contact: Broker Dealer Services

Phone: (877) 332-2371

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

Last Trade Date, December 29, 2017:

Mercer Trust Company

No. 0347

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

Last Trade Date, December 27, 2017:

Scotia Capital Inc./Hollis Wealth/CDS

No. 5039

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

Last Trade Date, December 27, 2017:

Merrill Lynch, Pierce, Fenner & Smith Incorporated No. 0161

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

First Trade Date, January 2, 2018:

Unified Financial Securities, LLC/Fuller & Thaler Behavioral Core Equity Funds No. 3270

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

First Trade Date, January 2, 2018:

SS&C Technologies, Inc. No. 8061

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

First Trade Date, January 4, 2018:

GCG Financial, LLC No. 3007

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) 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, January 2, 2018:

Quasar Distributors, LLC/Heitman Funds No. 8027
 Contact: Casey Sauer
 Phone: (414) 203-9122

- 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, January 2, 2018</u>							
From: Virtu Americas LLC	NITC	0295	VABD		✓	✓	✓
To: Creditex Securities Corporation	NITC	0295	VABD		✓	✓	✓

Executing Broker Name Change, Effective							
First Trade Date, January 2, 2018							
From: BB&T Investment Services, Inc.	BBNT	0702	BBTT	✓	✓	✓	✓
To: BB&T Securities, LLC	BBNT	0702	BBTT	✓	✓	✓	✓
Delete Last Trade Date, December 28, 2017							
A.G. Quintal Investment Company, Inc.	PERS	0443	AGQU		✓		✓
Delete Last Trade Date, December 29, 2017							
FBT Investments, Inc.	PERS	0443	FBTI		✓	✓	✓
Griffin Securities, Inc.	ECUT	0100	GSEC	✓		✓	
Enclave Capital LLC	ECUT	0100	ENCL	✓			
Add First Trade Date, December 29, 2017							
Electronic Transaction Clearing, Inc	ETCC	0873	ETES	✓			
Add First Trade Date, January 2, 2018							
Muriel Siebert & Co., Inc.	STOX	0445	SBRX	✓	✓	✓	✓

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