



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	8811
<b>P&amp;S #:</b>	8384
<b>Date:</b>	02/07/2020
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will no longer participate in the Retirement Plan Reporting service, as detailed below:  
**Last Trade Date, February 07, 2020**  
Harbor Funds Distributors, Inc./Harbor Trust Company No. 0009
- The following firm will no longer participate in DTCC Payment aXis services, as detailed below:  
**Last Trade Date, February 07, 2020**  
Quasar Distributors, LLC/ Aegis Funds No. 6612
- The following firm will no longer participate in Bond Comparison services, as detailed below:  
**Last Trade Date, February 07, 2020**  
ITG Inc. No. 0099
- The following firms will begin participation in MF Info Xchange services, as detailed below:  
**First Trade Date, February 07, 2020**  
Dodge & Cox Funds No. 5483  
  
**First Trade Date, February 10, 2020**  
Lazard Asset Management Securities LLC No. 4850
- The following firms will begin participation in MF Profile services, as detailed below:  
**First Trade Date, February 10, 2020**  
Ultimus Fund Distributors, LLC/Karner Blue No. 4377

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**First Trade Date, February 11, 2020**

ALPS Distributors, Inc./Stone Ridge Trust III	No.	3201
ALPS Distributors, Inc./Stone Ridge Trust V	No.	3324
ALPS Distributors, Inc./Axonic Alternative Income Fund	No.	4029
ALPS Distributors, Inc./StoneRidge Residential Real Estate Income Fund I, Inc.	No.	4350
ALPS Distributors, Inc./Stone Ridge Trust VI	No.	4395
ALPS Distributors, Inc./Stone Ridge Funds	No.	7055
ALPS Distributors, Inc./Stone Ridge Trust IV	No.	8210

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

**First Trade Date, February 07, 2020**

US Bancorp Fund Services LLC/BC Partners Lending Corporation	No.	0072
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**First Trade Date, February 12, 2020**

JB Capital Management, LLC	No.	0056
UMB Fund Services, INC./Abraham Trading LP	No.	0080

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

**First Trade Date, February 06, 2020**

The Ayco Company, LP	No.	6939
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- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking, and MF Daily Price & Rate services, as detailed below:

**First Trade Date, February 14, 2020**

Global Trust Company/SSB-Dimensional	No.	4237
Contact: Arvind Kessiredy		
Phone: (781) 970-5050		

- Updates to the NSCC MPID Directory for OTC, Corporates, Municipals, and UITs, as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	<u>OTC</u>	<u>Products OTC/CMU</u>		
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>		<u>Corp</u>	<u>Muni</u>	<u>UIT</u>
<b><u>Delete Last Trade Date, February 06, 2020</u></b>							
WNJ Capital, Inc	SWST	0279	WNJC	✓	✓	✓	
<b><u>Delete Last Trade Date, February 07, 2020</u></b>							
Odeon Capital Group LLC	PERS	0443	ODNC		✓	✓	✓
Potamus Trading, LLC	MLCO	0161	HPPO	✓	✓		
Potamus Trading, LLC	MLCO	0161	HPPX	✓	✓	✓	✓
Virtu Americas LLC	MLCO	0161	EMCC	✓			

**Add First Trade Date, February 06, 2020**

First Southern, LLC	PERS	0443	ESHC		✓			
Folger Nolan Fleming Douglas Incorporated	PERS	0443	FNFD	✓	✓	✓	✓	

**Add First Trade Date, February 07, 2020**

TRC Markets LLC	SHMR	0695	TRCX	✓			
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).