



<b>A#:</b>	8771
<b>P&amp;S #:</b>	8345
<b>Date:</b>	11/08/2019
<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 retire from all services, as detailed below:

**Last Trade Date, November 08, 2019:**

Foreside Fund Services, LLC/Ranger Funds Investment Trust No. 3775

*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 Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

**First Trade Date, November 11, 2019**

Arbor Court Capital LLC/Ranger Funds No. 3775

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

**Last Trade Date, November 11, 2019:**

Northern Lights Distributors, LLC/KCM Macro Trends Fund No. 5041

Northern Lights Distributors, LLC/Chadwick & D'Amato Fund No. 5382

**Last Trade Date, November 13, 2019:**

Crescent Securities Group Inc/Archon Growth & Income - Residential LP Class D No. 4371

Crescent Securities Group Inc/Archon Growth & Income - Residential LP Class B No. 4372

Crescent Securities Group Inc/Archon Growth & Income - Residential LP Class A No. 4373

Valley Forge Private Equity, Inc./VF Real Estate II, LP No. 8341

**Last Trade Date, November 14, 2019:**

Valley Forge Private Equity, Inc. No. 9443

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**Last Trade Date, November 15, 2019:**

Great Lakes Fund Solutions, Inc./District Investments No. 6898

- The following firm will no longer participate in Fund/SERV and Networking services, as detailed below:

**Last Trade Date, November 13, 2019**

ALPS Distributors, Inc. No. 5642

- The following firm will no longer participate in OTC Comparison and Bond Comparison services, as detailed below:

**Last Trade Date, November 13, 2019:**

Stephens Inc. No. 0419

OTC Alpha Identifier: SPHN

CORP Alpha Identifier: SPHN

MUNI Alpha Identifier: SPHN

UIT Alpha Identifier: SPHN

- The following firm will no longer participate in ACATS services, as detailed below:

**Last Trade Date, November 19, 2019**

Stephens Inc. No. 0419

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

**First Trade Date, November 13, 2019:**

From: Crescent Securities Group Inc/Archon Growth & Income – Residential LP Class I No. 4370

To: Crescent Securities Group Inc/Archon Growth & Income - Residential LP No. 4370

- The following firms will begin participation in the Omni/SERV Activity & Position services, as detailed below:

**First Trade Date, November 07, 2019**

Fiduciary Management, Inc. No. 6664

**First Trade Date, November 11, 2019**

Foreside Distribution Services, L.P./Matthews International Capital Management LLC No. 5150

**First Trade Date, November 18, 2019**

Natixis Distribution, L.P./Natixis International Funds (LUX) I No. 6677

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

**First Trade Date, November 12, 2019:**

Foreside Distribution Services, L.P./Jupiter Global Fund No. 8172

- The following firms will begin participation in MF Info Exchange services, as detailed below:

**First Trade Date, November 11, 2019**

NYLife Securities LLC No. 0368

**First Trade Date, November 12, 2019**

ALPS Distributors, Inc./Meridian Funds	No.	1324
ALPS Distributors, Inc./FS Investments	No.	2460
ALPS Distributors, Inc./Stone Ridge Trust II	No.	3004
ALPS Distributors Inc./Griffin Institutional Access Real Estate Fund	No.	3086
ALPS Distributors, Inc./1290 Funds	No.	3144
ALPS Distributors, Inc./Stone Ridge Trust III	No.	3201
ALPS Distributors Inc./Clough Funds	No.	3254
ALPS Distributors, Inc./Stone Ridge Trust V	No.	3324
ALPS Distributors, Inc./Total Income Plus	No.	3387
ALPS Distributors, Inc./Emerald Funds	No.	3619
ALPS Distributors, Inc./Cullen Funds PLC	No.	3710
ALPS Distributors, Inc./Brown Capital	No.	3740
ALPS Distributors, Inc./Redmont Funds	No.	3787
ALPS Distributors, Inc./XA Investments LLC	No.	3950
ALPS Distributors, Inc./IWS Credit Income Fund	No.	4030
ALPS Distributors Inc./Longleaf Partner Funds	No.	4863
ALPS Distributors Inc./Litman Gregory Masters Funds	No.	4892
ALPS Distributors, Inc./Firsthand Funds	No.	4901
ALPS Distributors, Inc./Paxworld Funds	No.	4940
ALPS Distributors, Inc./Stone Harbor Funds	No.	5309
ALPS Distributors, Inc./Vulcan Value Partners Fund	No.	5313
ALPS Distributors, Inc./Brown Advisory Funds	No.	5437
ALPS Distributors Inc./Centre Funds	No.	5455
ALPS Distributors, Inc./Cullen Funds	No.	5466
ALPS Distributors, Inc./The Arbitrage Fund	No.	5521
ALPS Distributors, Inc./Heartland Funds	N	5571
ALPS Distributors Inc./James Advantage Funds	No.	5613
ALPS Distributors Inc./Brandes Funds	No.	5693
ALPS Distributors, Inc./Wilmington Funds	No.	5696
ALPS Distributors, Inc./BBH Funds	No.	5722
ALPS Distributors, Inc./Wasatch Fund Advisors	No.	5773
ALPS Distributors, Inc./AGR Funds	No.	5922
ALPS Distributors Inc./Index Funds	No.	6534
ALPS Distributors, Inc./Mairs And Power Funds Trust	No.	6546
ALPS Distributors, Inc./Holland Balanced Fund	No.	6597
ALPS Distributors, Inc./CRM Funds	No.	6619

ALPS Distributors, Inc./Smead Fund	No.	6686
ALPS Distributors, Inc./Stadion Funds	No.	6692
ALPS Distributors Inc./Resource Real Estate Diversified Income Fund	No.	7047
ALPS Distributors, Inc./Stone Ridge Trust	No.	7055
ALPS Distributors, Inc./Broadstone Real Estate LLC	No.	7588
ALPS Distributors, Inc./Babson Capital Funds Trust	No.	7957
ALPS Distributors, Inc./Stone Ridge Trust IV	No.	8210
ALPS Distributors, Inc./Northstar Funds	No.	8221
ALPS Distributors, Inc./Stone Harbor UCITS Funds	No.	8269
ALPS Distributors, Inc./Cion Ares	No.	8343
ALPS Distributors Inc./Goehring & Rozenewajg	No.	8378
ALPS Distributors Inc./Alps Funds Services	No.	8391
ALPS Distributors, Inc./Flat Rock	No.	8849
ALPS Distributors, Inc./Sierra Total Return Fund	No.	9452

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

**First Trade Date, November 07, 2019**

Great Lakes Fund Solutions, Inc./Blue Duck Express	No.	4407
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**First Trade Date, November 12, 2019**

CION Investment Group, LLC/CION Ares Diversified Credit Fund – U	No.	4409
CION Investment Group, LLC/CION Ares Diversified Credit Fund - W	No.	4410
Trident Fund Services, Inc./MVP All-Star Fund IV LP	No.	4411
Great Lakes Fund Solutions, Inc./S.T.L. Resources	No.	4412

**First Trade Date, November 13, 2019**

UMB Fund Services, Inc./Flowstone Opportunity Fund	No.	4391
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- The following firm will begin participation in the Obligation Warehouse and Bond Comparison services, as detailed below:

**First Trade Date, November 12, 2019:**

ICE Securities Execution & Clearing, LLC	No.	4264
CORP BOND Alpha Identifier	ICEX	
MUNI Alpha Identifier	ICEX	
UIT Alpha Identifier	ICEX	

- The following firm will begin participation in the Fund/SERV, Networking, DTCC Payment aXis and MF Daily Price & Rate services, as detailed below:

**First Trade Date, November 13, 2019:**

PFM Asset Management LLC	No.	4207
Contact: Christopher Jones		
Phone: (717) 232-2723		

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

**First Trade Date, November 07, 2019:**

Ultimus Fund Distributors, LLC/Karner Blue  
 Contact: Doug Jones  
 Phone: (513) 587-3408

No. 4377

- 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>
<b><u>Delete Last Trade Date, November 04, 2019</u></b> NYPPE, LLC	RBCD	0235	NYPP	✓	✓	✓	✓
<b><u>Delete Last Trade Date, November 07, 2019</u></b> 1st Global Capital Corp.	NFSC	0226	FGCC	✓	✓	✓	✓
<b><u>Add First Trade Date, November 11, 2019</u></b> MSEC, LLC	NFSC	0226	MTSL		✓	✓	✓
<b><u>Add First Trade Date, November 14, 2019</u></b> Stephens Inc.	PERS	0443	SPHN	✓	✓	✓	✓

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).