



Important Notice
National Securities Clearing Corporation

A#:	8707
P&S #:	8282
Date:	05/17/2019
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 update from Important Notice A#8704 (P&S#8279) dated May 10, 2019 has been cancelled:

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>Add First Trade Date, May 13, 2019</u>								
VELOX Clearing LLC	VLOX	3856	VLOX	✓				

The following update from Important Notice A#8704 (P&S#8279) dated May 10, 2019 has been revised as follows:

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

Last Trade Date, May 10, 2019

C.L. King & Associates, Inc.

No. 0743

OTC Alpha Identifier:

KING

CORP Alpha Identifier:

KING

MUNI Alpha Identifier:

KING

UIT Alpha Identifier:

KING

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

Last Trade Date, May 16, 2019:

Foreside Distribution Services, L.P./Stira Alcentra Global Credit Fund

No. 3529

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- The following firm will begin participation in the MF - Profile service, as detailed below:
First Trade Date, May 16, 2019:
 Quasar Distributors, LLC/Shenkman Funds No. 3374
- The following firm will begin participation in the MF Info Xchange service, as detailed below:
First Trade Date, May 20, 2019:
 AIG Capital Services, Inc. No. 5596
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, May 20, 2019
 GTIS OZ LLC No. 4190
 Cortland Fund Services LLC/SRE Opportunity Fund III LP No. 4197
 Invesco Distributors, Inc./Invesco Real Estate Income Trust No. 4203
- The following firm will begin participation in the Insurance Processing service, as detailed below:
First Trade Date, May 21, 2019:
 CBIZ Financial Solutions, Inc./CBIZ Life Insurance Solutions Inc. No. 4193
- The following additional number has been assigned to Legg Mason Investor Services, LLC (#5749) for the purpose of utilizing Fund/SERV, Networking, MF – Profile, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:
First Trade Date, June 03, 2019:
 Legg Mason Investor Services, LLC/Interval Fund No. 4178
 Contact: Deborah Fox
 Phone: (410) 454-3893

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>Clearing Broker Change, effective</u>							
<u>First Trade Date, May 16, 2019</u>							
From: Amerivet Securities, Inc.	IBKR	0017	AVSI	✓			
To: Amerivet Securities, Inc.	PERS	0443	AVSI	✓			

Add First Trade Date, May 15, 2019

Amerivet Securities, Inc.	PERS	0443	AVSI		✓	✓		
Arca Capital Investments, Inc.	IBKR	0017	INST	✓				
Israel A. Englander & Co., LLC	MLCO	0161	IAEW	✓	✓	✓	✓	✓

Add First Trade Date, May 16, 2019

Roberts & Ryan Investments Inc.	LSCI	0512	HONR	✓	✓	✓	✓	✓
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Add First Trade Date, May 20, 2019

Fenix Securities, LLC	VSIN	0595	FENX	✓	✓	✓	✓	✓
TJM Investments, LLC	ICBK	0388	MNDT	✓				

Add First Trade Date, June 03, 2019

Flow Traders U.S. Institutional Trading LLC	GSCO	0005	FTIT	✓				
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.