



Important Notice
National Securities Clearing Corporation

A#:	8691
P&S #:	8266
Date:	03/22/2019
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#8690 (P&S#8265) dated March 15, 2019 has been cancelled:

- The following firm will no longer participate in the OTC Comparison, Trade Comparison and Trade Recording and Obligation Warehouse services, as detailed below:

Last Trade Date, March 21, 2019:

Citigroup Global Markets, Inc./Correspondent Clearing	No. 0418
OTC Alpha Identifier	CFSC
MUNI Identifier	SBSH
CORP BONDS Identifier	SBSH

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

Last Trade Date, March 14, 2019:

Unified Financial Securities, LLC/Spouting Rock Funds	No. 3141
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- The following firm will no longer participate in the ACATS service, as detailed below:

Last Trade Date, March 22, 2019:

Citigroup Global Markets, Inc./Correspondent Clearing	No. 0418
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- The following firms will begin participation in the MF - Profile service, as detailed below:

First Trade Date, March 22, 2019:

American Century Investment Services Inc./Kansas Postsecondary Savings Program	No. 5338
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- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, March 22, 2019:
 Quasar Distributors, LLC/Ziegler Funds No. 4044
- The following firm will begin participation in the Retirement Plan Reporting and Networking services, as detailed below:
First Trade Date, April 01, 2019:
 H. Beck, Inc. No. 0731
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, April 15, 2019:
 Capital Guardian Trust Company/Capital International Funds No. 5107
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, March 21, 2019
 SS&C Technologies, Inc./VICOFI III Feeder, LP No. 4125
 SS&C Technologies, Inc./Harbourvest Access-2019 Global Fund Cayman LLC No. 4126
 Cottonwood Residential, Inc./CR II Non-Voting Common Stock No. 4127
- First Trade Date, March 22, 2019**
 Validus Investment Management, LLC No. 4054
- First Trade Date, March 26, 2019**
 Related Fund Management, LLC No. 4108
 CNL Capital Markets, LLC/CNL Strategic Capital A Shares 1st Global No. 4139
- The following additional number has been assigned to Lazard Asset Management Securities LLC (#4850) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:
First Trade Date, March 25, 2019:
 Lazard Asset Management Securities LLC/Lazard Esc Funds LLC No. 4045
 Contact: Chris Snively
 Phone: (212) 632-8211

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, March 21, 2019</u>							
From: Puma Capital, LLC	MLCO	0161	PUMX	✓	✓	✓	
To: Puma Capital, LLC	WSGD	8199	PUMX	✓			
<u>Clearing Broker Change, effective</u>							
<u>First Trade Date, March 25, 2019</u>							
From: United First Partners, LLC	GSCO	0005	UFPA	✓			
To: United First Partners, LLC	ECUT	0100	UFPA	✓			
<u>Delete Last Trade Date, March 20, 2019</u>							
National Securities Corporation	NFSC	0226	VFIN	✓			
Delta Trust Investments, Inc.	WRET	0141	DTII		✓	✓	✓

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