



Important Notice
National Securities Clearing Corporation

A#:	8709
P&S #:	8284
Date:	05/24/2019
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 revised as follows:

- The following additional number has been assigned to SEI Investments Distribution Company (#5717) for the purpose of utilizing Fund/SERV, Networking, MF - Profile, Omni/SERV Activity & Position, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

First Trade Date, June 03, 2019:

SEI Investments Distribution Company/Frost Family of Funds No. 4173
Contact: Steve Connors
Phone: (610) 676-3632

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

Last Trade Date, May 24, 2019:

Oppenheimerfunds Distributors, Inc. No. 3792

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

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

First Trade Date, May 28, 2019:

Invesco Distributors, Inc/OPP AIP No. 3792

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

Last Trade Date, May 24, 2019:

Oppenheimerfunds Distributor, Inc./OFI Carlyle No. 4171

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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 Invesco Distributors, Inc. (#5540) for the purpose of utilizing Fund/SERV, Networking, and MF – Profile services, as detailed below:

First Trade Date, May 28, 2019:

Invesco Distributors, Inc./Carlyle No. 4171
Contact: Bill Canny
Phone: (713) 214-1605

Effective with the opening of business on May 24, 2019, Waypoint Residential, LLC will activate new primary AIP account number 4058. Current primary AIP number, 1482, will become a sub account of the new AIP Primary number 3557.

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

First Trade Date, May 24, 2019:

Waypoint Residential, LLC No. 4058

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

Last Trade Date, May 24, 2019:

Lombard Odier TransAtlantic, Limited Partnership No. 0408
ALPS Distributors, Inc./Aspen Funds No. 3717
ALPS Distributors, Inc./USCF Mutual Funds Trust No. 7419

- The following firm will no longer participate in the MF - Profile service, as detailed below:

Last Trade Date, May 22, 2019:

Mid Atlantic Trust Company No. 4079

- The following firm will begin participation in the MF – Daily Price & Rate service, as detailed below:

First Trade Date, May 23, 2019:

Mid Atlantic Trust Company No. 4079

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

First Trade Date, May 24, 2019:

Ultimus Fund Distributors, LLC/Segall Bryant and Hamill Trust No. 4137

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

First Trade Date, June 3, 2019:

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

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

First Trade Date, May 24, 2019

Waypoint Residential, LLC/Waypoint Portfolio VI Access Fund, LP	No.	4199
Waypoint Residential, LLC/Waypoint Development Fund, LLC	No.	4200
Waypoint Residential, LLC/WP Marlborough MA Holdings, LLC	No.	4201

First Trade Date, May 28, 2019

Opus Fund Services (USA) LLC/Victori Fund Ltd.	No.	4210
SS&C Technologies, Inc./Specialized Multifamily Partners Foreign Fund I, L.P	No.	4211

First Trade Date May 29, 2019

Michael J. Liccar & Company, LLC/TRO Investment Partners II, LLC	No.	4213
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- The following firm will begin participation in the OTC Comparison, Obligation Warehouse and ACATS services, as detailed below:

First Trade Date, May 29, 2019:

Velox Clearing LLC	No.	3856
OTC Alpha Identifier		VLOX

- The following additional number has been assigned to ICMA-RC Services, LLC (#4942) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price & Rate services, as detailed below:

First Trade Date, May 24, 2019:

ICMA-RC Services, LLC/Plus Fund	No.	4182
Contact: Jon Brant		
Phone: (202) 962-3438		

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>Delete Last Trade Date, May 23, 2019</u>							
APB Financial Group, LLC	WEDB	0103	APBI	✓			
First Wilshire Securities Management, Inc.	WEDB	0103	FWIL	✓			
<u>Delete Last Trade Date, May 24, 2019</u>							
Great Nation Investment Corporation	SWST	0279	GNTS	✓	✓	✓	

Add First Trade Date, May 21, 2019

M. S. Howells & Co.	ETCC	0873	MSHC	✓				
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Add First Trade Date, May 22, 2019

Financorp Group International Corporation	IBKR	0017	FGIC	✓				
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Add First Trade Date, May 23, 2019

Dinosaur Financial Group, L.L.C	WEDB	0103	DINO	✓	✓	✓	✓	✓
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Add First Trade Date, May 24, 2019

H.C.Wainwright & Co., LLC	ETCC	0873	HCWC	✓				
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Add First Trade Date, May 29, 2019

Velox Clearing LLC	VLOX	3856	VLOX	✓				
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.