



Important Notice
National Securities Clearing Corporation

A#:	8802
P&S #:	8375
Date:	01/17/2020
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 firms will retire from all services, as detailed below:

Last Trade Date, January 13, 2020:

Stephens Inc. No. 0419

Last Trade Date, January 24, 2020:

Delaware Distributors, L.P./Macquarie Collective Funds PLC No. 6572

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

Last Trade Date, January 21, 2020

Royal Alliance Associates, Inc./Signator Financial No. 0427

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

Last Trade Date, January 21, 2020

Royal Alliance Associates, Inc./Signator Investors No. 0372

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

Last Trade Date, January 27, 2020

Mirae Asset Securities (USA) Inc. No. 1043

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

First Trade Date, January 31, 2020

Invesco Distributors, Inc./Offshore No. 6592

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- The following firm will begin participation in the DTCC Payment aXis Service, as detailed below:
First Trade Date, February 03, 2020
 Quasar Distributors, LLC/Campbell & Company Investment Advisers LLC No. 2440
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, January 16, 2020
 Vistra USA, LLC/Clarity Private Income Fund II (Cayman) LP No. 4469

First Trade Date, January 17, 2020
 CNL Capital Markets, LLC/CNL Strategic Capital LLC S Shares No. 4470

First Trade Date, January 22, 2020
 Birge & Held Asset Management, LLC No. 4436
- The following additional number has been assigned to Foreside Fund Services, LLC. (#5659) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate and ACATS Fund/SERV services, as detailed below:
First Trade Date, January 16, 2020
 Foreside Fund Services, LLC/Alphacentric Prime Meridian Fund No. 4315
 Contact: Casey Sauer
 Phone: (414) 203-9122
- The following additional number has been assigned to Alps Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, ToRA, Networking, MF Daily Price & Rate and ACATS Fund/SERV services, as detailed below:
First Trade Date, January 21, 2020
 ALPS Distributors, Inc./Stoneridge Residential Real Estate Income Fund I, Inc. No. 4350
 Contact: Casey Sauer
 Phone: (414) 203-9122
- The following additional number has been assigned to Quasar Distributors, LLC. (#5368) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate and ACATS Fund/SERV services, as detailed below:
First Trade Date, January 22, 2020
 Quasar Distributors, LLC/First Republic Investment Management No. 0006
 Contact: Casey Sauer
 Phone: (414) 203-9122

- The following additional number has been assigned to Harbor Funds Distributors, Inc. (#5471) for the purpose of utilizing Fund/SERV, Networking, Omni/SERV Activity & Position, Retirement Plan Reporting, MF Info Xchange, DTCC Payment aXis, MF Profile and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 23, 2020

Harbor Funds Distributors, Inc./Harbor Trust Company

No. 0009

Contact: Dana Steiner

Phone: (312) 443-4567

- 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>
<u>Clearing Broker Change, effective</u>							
<u>First Trade Date, January 23, 2020</u>							
From: Moors & Cabot, Inc.	WRET	0141	MCBT	✓	✓	✓	✓
To: Moors & Cabot, Inc.	RBCD	0235	MCBT	✓	✓	✓	✓
<u>Clearing Broker Change, effective</u>							
<u>First Trade Date, January 17, 2020</u>							
From: The Benchmark Company, LLC	IBFS	0824	BNCH	✓			
To: The Benchmark Company, LLC	RBCD	0235	BNCH	✓			
<u>Clearing Broker Change, effective</u>							
<u>First Trade Date, January 23, 2020</u>							
From: Abel/Noser Corp.	IBFS	0824	ANOS	✓			
To: Abel Noser, LLC.	NFSC	0226	ANOS	✓			
<u>Delete Last Trade Date, January 15, 2020</u>							
Primary Capital, LLC	LGNT	0052	JLEO	✓	✓	✓	✓
<u>Add First Trade Date, January 15, 2020</u>							
Meridian Equity Partners, Inc.	VSIN	0595	MERP	✓	✓	✓	✓
<u>Add First Trade Date, January 16, 2020</u>							
Melvin Securities, L.L.C.	LGNT	0052	MLVN		✓	✓	
<u>Add First Trade Date, January 17, 2020</u>							
The Benchmark Company, LLC	RBCD	0235	BNCH		✓	✓	✓
CIBC World Markets Corp.	CWMK	0438	CDEA	✓			
<u>Add First Trade Date, January 23, 2020</u>							
Abel Noser, LLC.	NFSC	0226	ANOS		✓	✓	✓

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