



Important Notice
National Securities Clearing Corporation

A#:	8803
P&S #:	8376
Date:	01/24/2020
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 change their name only, as detailed below:

First Trade Date, January 23, 2020

From: US Bancorp Fund Services LLC/Hatteras Evergreen Private Equity Offshore Fund Ltd No. 4238
 To: US Bancorp Fund Services LLC/Hatteras Evergreen Private Equity Fund TEI, LLC Class 2 No. 4238

First Trade Date, January 24, 2020

From: US Capital Investment Management, LLC No. 8365
 To: US Capital Global Investment Management, LLC No. 8365

From: US Capital Investment Management, LLC/Noble Capital Texas Real Estate Income Fund LP No. 1057

To: US Capital Global Investment Management, LLC/Noble Capital Texas Real Estate Income Fund LP No. 1057

From: US Capital Investment Management, LLC/Metals House Inc. No. 4285

To: US Capital Global Investment Management, LLC/Metals House Inc. No. 4285

From: US Capital Investment Management, LLC/US Capital Business Credit Income Fund LP No. 8501

To: US Capital Global Investment Management, LLC/US Capital Business Credit Income Fund LP No. 8501

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

First Trade Date, January 28, 2020

Ultimus Fund Distributors, LLC/Q3 Funds No. 4454

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

First Trade Date, January 27, 2020

CCV LLC

No. 0011

- The following additional number has been assigned to Foreside Financial Services, LLC (#6532) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment Axis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 24, 2020

Foreside Financial Services, LLC/Rimrock Funds Trust

No. 0047

Contact: Anthony Giolli

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- 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 27, 2020</u>							
From: Haitong International Securities (USA) Inc.	SALI	0750	HTIS	✓			
To: Haitong International Securities (USA) Inc.	PERS	0443	HTIS	✓			
<u>Delete Last Trade Date, January 23, 2020</u>							
Moors & Cabot, Inc.	RBCD	0235	MCIN	✓	✓	✓	✓
<u>Add First Trade Date, January 23, 2020</u>							
Traderfield Securities Inc.	QNTX	0294	TDFV	✓			

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