



Important Notice
National Securities Clearing Corporation

A#:	8915
P&S #:	8488
Date:	10/16/2020
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 firm will retire from all services, as detailed below:

Last Trade Date, October 14, 2020:

Artivist Advisors LLC/Artivist Direct - Mackay Shields LLC No. 1580

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

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

First Trade Date, October 15, 2020

iCapital Advisors, LLC/Artivist Direct - Mackay Shields LLC No. 1580

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

Last Trade Date, October 14, 2020:

Cortland Fund Services LLC/Castellan Real Estate Income Fund II LP No. 8515

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

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

First Trade Date, October 15, 2020

SS&C Technologies, Inc./Castellan Real Estate Income Fund II LP No. 8515

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

Last Trade Date, October 14, 2020:

Artivist Advisors LLC/Artivist Advisors LLC No. 9369

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Non-Confidential

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

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

First Trade Date, October 15, 2020

iCapital Advisors, LLC/Artinvest Advisors LLC No. 9369

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

Last Trade Date, October 15, 2020

Transamerica Premier Life Insurance Company/Life P Plus No. 1953

Transamerica Premier Life Insurance Company/People
Benefit Life Insurance Company No. 4565

Transamerica Premier Life Insurance Company/WRL No. 4567

Transamerica Premier Life Insurance Company/P5 Annuity No. 7365

Last Trade Date, October 16, 2020

Transamerica Premier Life Insurance Company No. 4564

- The following firms will change their name only, as detailed below:

First Trade Date, October 14, 2020:

From: U.S. Bancorp Fund Services, LLC/Tortoise Direct Municipal
Opportunities Fund, LP No. 1357

To: US Bancorp Fund Services, LLC/Ecofin Direct Municipal
Opportunities Fund, LP No. 1357

From: US Bancorp Fund Services LLC/Tortoise Education
Opportunities Fund, LP No. 1640

To: US Bancorp Fund Services, LLC/Ecofin
Education Opportunities Fund, LP No. 1640

From: U.S. Bancorp Fund Services, LLC/Tortoise Direct
Social Infrastructure No. 4072

To: US Bancorp Fund Services, LLC/Ecofin
Direct Social Infrastructure Fund II, LP No. 4072

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

First Trade Date, October 15, 2020:

Quasar Distributors, LLC/Osterweis Fund No. 4840

Quasar Distributors, LLC/Boston Partners Funds No. 5800

Quasar Distributors, LLC/Can Slim Funds No. 6567

First Trade Date, October 16, 2020:

Ultimus Fund Distributors, LLC/Davenport & Co. No. 5567

First Trade Date, October 20, 2020:

Forside Financial Services, LLC/Primark Private Equity Fund No. 2115

First Trade Date, October 21, 2020:

Forside Fund Services, LLC/Fiera Capital Series Trust No. 5487

First Trade Date, November 02, 2020:

Frontier Funds, Inc. No. 5507

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

First Trade Date, October 15, 2020:

Quasar Distributors, LLC/Wiscap Funds No. 6674

- The following firm will begin participation in Insurance Processing Services, as detailed below:

First Trade Date, October 16, 2019:

Mid Atlantic Clearing & Settlement Corporation No. 0359

- The following firms will begin participation in the MF Info Xchange service, as detailed below:

First Trade Date, October 20, 2020:

Forside Fund Services, LLC/Carlyle No. 4171

Forside Distribution Services, L.P./Blackstone/GSO Floating Rate No. 7586

Enhanced Income Fund

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

First Trade Date, October 14, 2020

OPUS Fund Services (USA) LLC/Colchis RBLF L.P. No. 0MSJ

Phoenix American Financial Services, Inc./Sealy Industrial Partners III, LP No. 0MSM

First Trade Date, October 15, 2020

Galaxy Digital Capital Management, LP No. 0MR0

Fairway America, LLC/Gray Harbor Government Income Reit, Inc. No. 0MSN

First Trade Date, October 16, 2020

iCapital Advisors, LLC/Altegris Funds

No. 0MSO

- The following firms will begin participation in the Insurance Processing Services, as detailed below:

First Trade Date, October 15, 2020:

Insurance Designers Of Kansas City, LLC

No. 2376

First Trade Date, October 19, 2020:

First Financial Equity Corporation

No. 1333

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV as detailed below:

First Trade Date, October 20, 2020:

Ultimus Fund Distributors, LLC/Vela Funds

No. 2420

Contact: Doug Jones

Phone: (513) 587-3408

- 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>

Clearing Broker Change, Effective

First Trade Date, October 16, 2020

From: Drivewealth, LLC

VLOX 3856 DWTH ✓

To: Drivewealth, LLC

LGNT 0052 DWTH ✓

Executing Broker Name Change, Effective

First Trade Date, October 16, 2020

From: Brinker Capital Securities Corp.

NFSC 0226 BRNK ✓ ✓ ✓

To: Brinker Capital Securities, LLC

NFSC 0226 BRNK ✓ ✓ ✓

Delete Last Trade Date, October 13, 2020

Ross, Sinclair & Associates, LLC

RBCD 0235 RSIN ✓ ✓ ✓ ✓

Add First Trade Date, October 15, 2020

MSEC, LLC

RBCD 0235 MSEC ✓ ✓ ✓ ✓

First Midstate Incorporated

RBCD 0235 FMID ✓ ✓ ✓ ✓

Add First Trade Date, October 19, 2020

Sagetrader, LLC

VLOX

3856

SAGT



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