



Important Notice
National Securities Clearing Corporation

A#:	8911
P&S #:	8484
Date:	10/09/2020
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 07, 2020:
Allianz Global Investors Distributors LLC/ Oklahoma Dream 529 No. 5921

- The following firms will change their name only, as detailed below:
First Trade Date, October 09, 2020:
From: SQN Investment Advisors, LLC No. 2812
To: Arboretum Investment Advisors, LLC No. 2812

From: David A. Noyes & Company No. 7552
To: Sanctuary Securities, Inc. No. 7552

- The following firm will begin participation in the Fund/SERV and Networking services, as detailed below:
First Trade Date, October 07, 2020:
Virtu Americas LLC No. 0295

- The following firms will begin participation in the MF Profile service, as detailed below:
First Trade Date, October 07, 2020:
Arbor Court Capital LLC/Innovative Portfolios No. 4019
Arbor Court Capital LLC/Tactical Funds No. 4099

First Trade Date, October 08, 2020:
Arbor Court Capital LLC/Mercator International Opportunity Fund No. 6521

First Trade Date, October 13, 2020:
Quasar Distributors LLC/Hennessy Mutual FDS Inc No. 4869

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

First Trade Date, October 08, 2020:
FEF Distributors, LLC No. 5581

First Trade Date, October 12, 2020:
Foreside Financial Services, LLC/Primark Private Equity Fund No. 2115
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

First Trade Date, October 08, 2020:
Quasar Distributors, LLC/Palm Valley Funds No. 4112
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, October 12, 2020:
Foreside Distribution Services, L.P/MS Horizon Funds SICAV No. 4043
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, October 09, 2020
Bridgeport Financial Technology, Inc./Bridgeport No. 0MSG

First Trade Date, October 12, 2020
Watermark Lodging Trust, Inc. No. 0MSD

First Trade Date, October 13, 2020
SS&C Technologies, Inc./Bridge Seniors Housing Fund III - A LP No. 0MSH
- The following firm will begin participation in the Insurance Processing Services, as detailed below:

First Trade Date, October 09, 2020:
First Republic Securities Company, LLC No. 2395
- The following additional number has been assigned to Federated Securities Corp. (#5529) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate and ACATS Fund/SERV as detailed below:

First Trade Date, October 13, 2020:
Federated Securities Corp./Hermes Investment Management No. 4418
Contact: Anthony Davies
Phone: (353) 1- 553-9106
- 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 07, 2020

From: US Tiger Securities, Inc.
To: US Tiger Securities, Inc.

IBKR	0017	TIGE	✓			
PFCL	0158	TIGE	✓			

Delete Last Trade Date, October 06, 2020

BPU Investment Management Inc.
David Harris & Co., Inc.

RBCD	0235	BZPI	✓	✓	✓	✓
RBCD	0235	DHCO	✓	✓	✓	✓

Add First Trade Date, October 06, 2020

Velox Clearing LLC

VLOX	3856	VEAE	✓			
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Add First Trade Date, October 07, 2020

Lex Markets LLC

PFCL	0158	LEXA	✓			
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If you have any questions regarding this notice, please e-mail NSCCAA@DTCC.com.