



<b>A#:</b>	8930
<b>P&amp;S #:</b>	8503
<b>Date:</b>	11/13/2020
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, November 16, 2020**

Forside Financial Services, LLC/FNEX Ventures No. 0029

**Last Trade Date, November 18, 2020**

AETOS Alternatives Management, LP No. 4331

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

**First Trade Date, November 12, 2020:**

Paradigm Funds No. 5476

Nicholas Company, Inc. No. 5590

Adviser Dealer Services, Inc. No. 5706

**First Trade Date, November 13, 2020:**

Forside Fund Services LLC/Kayne Anderson Funds No. 1555

Ariel Distributors, LLC No. 5751

Forside Financial Services, LLC/Praxis Funds No. 5791

**First Trade Date, November 16, 2020:**

First Dominion Capital Corp/CBOE Vest Funds No. 2635

First Dominion Capital Corp/SIM Funds No. 3876

Ultimus Fund Distributors, LLC/PSI Funds No. 5335

First Dominion Capital Corp No. 5823

**First Trade Date, November 17, 2020:**

Forside Fund Services, LLC/WST Investment Trust No. 1325

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Ultimus Fund Distributors, LLC/HVIA Funds	No.	1521
Ultimus Fund Distributors, LLC/Hanlon Funds	No.	3263
Quasar Distributors, LLC/LKCM Funds	No.	4883
Quasar Distributors, LLC/Boston Common Funds	No.	5350

**First Trade Date, November 18, 2020:**

Parnassus Investments	No.	5783
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, November 13, 2020**

Stonepeak Partners LP	No.	0MRI
SS&C Technologies, Inc./CMMTP-2, LP_Cais Investors	No.	0MUD

**First Trade Date, November 16, 2020**

US Bancorp Fund Services LLC/Seer Capital Commercial Real Estate Debt Fund II Ltd	No.	0MUE
Sudrania Fund Services Corp/Kirkland Income Fund I, LLC	No.	0MUG
NESF Investment Services, LLC/Griffin Capital Qualified Opportunity Zone Fund II, L.P.	No.	0MUI

**First Trade Date, November 18, 2020**

iSelect Fund Management, LLC	No.	0MR7
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- The following firms will begin participation in Insurance Processing Services, as detailed below:

**First Trade Date, November 13, 2020**

Monticello Financial Group LLC	No.	2671
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**First Trade Date, November 16, 2020**

Gardner Wallace Financial Solutions, LLC.	No.	2583
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- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile and ACATS Fund/SERV services, as detailed below:

**First Trade Date, November 20, 2020:**

Ultimus Fund Distributors, LLC/Copley Funds	No.	2741
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>
<b><u>Clearing Broker Change, Effective First Trade Date, November 12, 2020</u></b>							
From: Cathay Securities, Inc.	SWST	0279	CATH	✓			
To: Cathay Securities, Inc.	IBKR	0017	CATH	✓			
<b><u>Executing Symbol Change, Effective First Trade Date, November 16, 2020</u></b>							
From: Southern Trust Securities, Inc.	VLOX	3856	IFLP	✓			
To: Southern Trust Securities, Inc.	VLOX	3856	STSV	✓			
<b><u>Delete Last Trade Date, November 09, 2020</u></b>							
Cathay Securities, Inc.	SWST	0279	CATH		✓		
<b><u>Delete Last Trade Date, November 13, 2020</u></b>							
Herold Bernard & Co.	PERS	0443	HERO	✓	✓	✓	✓
CFD Investments	RBCD	0235	VFDI	✓	✓	✓	✓
<b><u>Add First Trade Date, November 10, 2020</u></b>							
Instinet, LLC	INCA	0067	INDB	✓			
Lightspeed Financial Services Group LLC	SHMR	0695	LMPT	✓			
<b><u>Add First Trade Date, November 13, 2020</u></b>							
Western Equity Group, Inc.	RBCD	0235	WEGP	✓	✓	✓	✓
<b><u>Add First Trade Date, November 16, 2020</u></b>							
Velocity Clearing, LLC	QNTX	0294	VCGS	✓			

If you have any questions regarding this notice, please e-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).