

A#:	8934
P&S #:	8507
Date:	11/20/2020
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, November 20, 2020

Investacorp, Inc.

No. 0138

As a result of the merger of Investacorp, Inc. with and into Securities America, Inc., Securities America, Inc. (#0590) will assume all open contracts for Investacorp, Inc. (#0138) which are to be cleared or settled through or by National Securities Clearing Corporation.

Consequently, Securities America, Inc. will open the following account retaining all current services. Please note that nothing will change operationally with regards to the account.

First Trade Date, November 23, 2020

Securities America, Inc./Investacorp

No. 0138

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

Last Trade Date, November 20, 2020

Securities Service Network, Inc.

No. 0247

As a result of the merger of Securities Service Network, Inc. with and into Securities America, Inc., Securities America, Inc. (#0590) will assume all open contracts for Securities Service Network, Inc. (#0247) which are to be cleared or settled through or by National Securities Clearing Corporation.

Consequently, Securities America, Inc. will open the following account retaining all current services. Please note that nothing will change operationally with regards to the account.

First Trade Date, November 23, 2020

Securities America, Inc./Securities Service Network

No. 0247

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

Last Trade Date, November 25, 2020

CIT Bank, N.A. No. 9077

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

First Trade Date, November 18, 2020:

Ultimus Fund Distributors, LLC/Recurrent Funds No. 0893

Foreside Fund Services, LLC/North Square Funds No. 3677

First Trade Date, November 19, 2020:

Ultimus Fund Distributors, LLC/Alta Capital Funds No. 4046

First Trade Date, November 20, 2020:

Archer Distributors LLC/Arrow Funds No. 4824

Quasar Distributors, LLC/Huber Capital Funds No. 6530

Quasar Distributors, LLC/Dearborn Partners Funds No. 7060

First Trade Date, November 23, 2020:

ALPS Distributors, Inc./Stone Harbor Funds No. 5309

ALPS Distributors Inc./Vulcan Value Partners Funds No. 5313

ALPS Distributors Inc./Centre Funds No. 5455

ALPS Distributors Inc. /Brandes Funds No. 5693

ALPS Distributors, Inc./Mairs And Power Funds Trust No. 6546

UMB Distribution Services, LLC/Green Century Funds No. 6676

First Trade Date, November 24, 2020:

Ultimus Fund Distributors, LLC/Timothy Plan No. 6518

Ultimus Fund Distributors, LLC/Good Harbor Funds No. 7038

First Trade Date, November 25, 2020:

Foreside Fund Services, LLC/Morningstar Funds Trust No. 9189

- The following firm will begin participation in NYSE Listed service, as detailed below:

First Trade Date, November 23, 2020

Interactive Brokers LLC/Retail No. 0534

NYSE Alpha Identifier IBK

- The following firm will begin participation in the MF Daily Price & Rate service, as detailed below:

First Trade Date, November 25, 2020:

Hantz Financial Services, Inc. No. 0614

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

First Trade Date, November 25, 2020

Phoenix American Financial Services, Inc./JLLX Penfield DST	No.	0MUL
US Bancorp Fund Services LLC/MSC Capital Corporation	No.	0MUM
Phoenix American Financial Services, Inc./JLLX Milford Crossing DST	No.	0MUN

- 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>Delete Last Trade Date, November 16, 2020</u>							
Lime Brokerage LLC	SHMR	0695	LIWD	✓			
Limewire Brokerage LLC	SHMR	0695	LIWV	✓			
Lime Brokerage LLC	SHMR	0695	LIWX	✓			
<u>Add First Trade Date, November 17, 2020</u>							
Greenbird Capital LLC	LGNT	0052	GRBD	✓	✓	✓	✓
<u>Add First Trade Date, November 23, 2020</u>							
Roberts & Ryan Investments Inc.	RBCD	0235	HONR	✓	✓	✓	✓

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