



A#:	8925
P&S #:	8498
Date:	11/06/2020
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 06, 2020:

Northern Lights Distributors, LLC/Altegris Mutual Funds No. 5333

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

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

First Trade Date, November 09, 2020

Ultimus Fund Distributors, LLC/Altegris - Northern Lights Fund Trust No. 5333

Contact: Doug Jones
 Phone: (513) 587-3408

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

Last Trade Date, November 05, 2020

First Midstate Inc No. 6792
 MUNI Identifier FMID

Last Trade Date, November 10, 2020

First Trust Portfolios L.P./First Trust UCITS Funds No. 9471

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

First Trade Date, November 05, 2020:

Forside Financial Services, LLC/Cook & Bynum Funds No. 5928

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First Trade Date, November 09, 2020:

Quasar Distributors, LLC/Poplar Forest Partners Fund	No.	5404
Walhausen Funds	No.	5595

First Trade Date, November 10, 2020:

Ashmore Investment Management (US) Corporation	No.	5195
Forside Fund Services, LLC/Merger Fund	No.	6601

First Trade Date, November 11, 2020:

Ultimus Fund Distributors, LLC/Redwood Managed Volatility Fund	No.	1365
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, November 05, 2020

SS&C Technologies, Inc./Bridge Workforce And Affordable Housing Fund II - R LP	No.	0MUB
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SS&C Technologies, Inc./Bridge Workforce And Affordable Housing Fund II LP	No.	0MUC
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- The following additional number has been assigned to Forside Distribution Services, L.P. (#4967) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 05, 2020:

Forside Distribution Services, L.P./KKR Krest Fund Inc	No.	2577
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Contact: Donna McKenna
Phone: (508) 871-9411

- The following additional number has been assigned to The Prudential Insurance Company of America (#4596) for the purpose of utilizing Fund/SERV, Networking and MF Profile services, as detailed below:

First Trade Date, November 06, 2020:

The Prudential Insurance Company of America/Prudential Trust Company	No.	2574
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Contact: Kavita Gajrawala
Phone: (973) 716-6901

- 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 04, 2020</u> E.K. Riley Investments, LLC	WRET	0141	ERKI		✓	✓	✓
<u>Delete Last Trade Date, November 06, 2020</u> Roberts & Ryan Investments Inc.	LSCI	0512	HONR	✓	✓	✓	✓
OTCEX, LLC	LSCI	0512	MYDM	✓		✓	
OTCEX, LLC	LSCI	0512	OTCT	✓		✓	
<u>Add First Trade Date, November 06, 2020</u> Avenue Securities LLC	PFCL	0158	AVNU	✓			
First Midstate Incorporated	RBCD	0235	FMID			✓	
<u>Add First Trade Date, November 16, 2020</u> Maybank KIM ENG Securities USA Inc.	PERS	0443	KIME	✓	✓		
<u>Add First Trade Date, November 09, 2020</u> DRW Execution Services, LLC	SHMR	0695	DRWP	✓			

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