



Important Notice
National Securities Clearing Corporation

A#:	8939
P&S #:	8512
Date:	12/11/2020
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, December 11, 2020

KMS Financial Services, Inc.

No. 4835

As a result of the merger of KMS Financial Services, Inc. with and into Securities America, Inc., Securities America, Inc. (#0590) will assume all open contracts for KMS Financial Services, Inc. (#4835) 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, December 14, 2020

Securities America, Inc./KMS Financial Services

No. 4835

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

Last Trade Date, December 17, 2020

SEI Investments Distribution Company/The KP Funds

No. 1393

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

First Trade Date, December 10, 2020:

From: ALPS Distributors Inc./Resource Credit Income Fund

No. 7047

To: ALPS Distributors Inc./Alternative Credit Income Fund

No. 7047

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Non-Confidential

First Trade Date, December 11, 2020:

From: Foreside Distribution Services, L.P./Investec Asset Management North America No. 3171
To: Foreside Distribution Services, L.P./Ninety One North America No. 3171

From: Global Trust Company/CITI-Barings No. 4020
To: Global Trust Company/SSB-Barings No. 4020

From: Foreside Distribution Services, L.P./Investec Global Strategy Funds No. 5057
To: Foreside Distribution Services, L.P./Ninety One Global Strategy Fund No. 5057

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

First Trade Date, December 15, 2020:

Quasar Distributors, LLC/Intrepid No. 4815

First Trade Date, December 17, 2020:

Foreside Financial Services, LLC/AAMA Funds No. 1055

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

First Trade Date, December 10, 2020

Owl Rock Core Income Corp. No. 0MUS

First Trade Date, December 15, 2020

NAV Consulting Inc/Season Investments Alternative Credit & Equity Fund, L.P. No. 0MUW

First Trade Date, December 16, 2020

Black Creek Exchange LLC No. 0MUJ

- The following additional number has been assigned to Foreside Distribution Services, L.P. (#4967) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, December 16, 2020:

Foreside Distribution Services, L.P./Aviva Investors Société D'Investissement No. 2541
À Capital Variable (SICAV)
Contact: Katrina Lawrence
Phone: +35316131179

- 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>UIT</u>
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>	
<u>Clearing Broker Change, Effective First Trade Date, December 14, 2020</u>							
From: Farina & Associates, Inc.	WEDB	0103	FARA	✓	✓	✓	
To: Farina & Associates, Inc.	WSGD	8199	FARA	✓	✓	✓	
<u>Delete Last Trade Date, December 07, 2020</u>							
TCFG Wealth Management, LLC	NFSC	0226	TCFG		✓	✓	✓
<u>Delete Last Trade Date, December 11, 2020</u>							
Viewtrade Securities, Inc.	LGNT	0052	VIEW	✓	✓	✓	✓
<u>Add First Trade Date, December 10, 2020</u>							
Institutional Securities Corporation	RBCD	0235	DTEX	✓	✓	✓	✓
<u>Add First Trade Date, December 11, 2020</u>							
Lightspeed Financial Services Group LLC	SHMR	0695	LISG	✓			
Viewtrade Securities, Inc.	LGNT	0052	VTSC	✓	✓	✓	✓
<u>Add First Trade Date, December 14, 2020</u>							
Morgan Stanley & Co. LLC	MSCO	0050	MSFP	✓			
Morgan Stanley & Co. LLC	MSCO	0050	MSTI	✓			

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