



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	8818
<b>P&amp;S #:</b>	8391
<b>Date:</b>	02/28/2020
<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, February 26, 2020:**

Broadstone Asset Management LLC No. 4306

**Last Trade Date, February 28, 2020:**

Virtu Financial Capital Markets LLC No. 0749

BMO Investment Distributors, LLC No. 5352

AR Global Investments, LLC/Business Development Corporation of America No. 9414

AR Global Investments, LLC/American Realty Capital Retail Centers of America, Inc. No. 9415

AR Global Investments, LLC/American Finance Trust, Inc. (Formerly No. 9416

American Realty Capital Trust V, Inc.)

AR Global Investments, LLC/Realty Finance Trust, Inc. No. 9418

AR Global Investments, LLC/American Realty Capital Global Trust II, Inc. No. 9423

AR Global Investments, LLC/American Realty Capital Healthcare Trust III, Inc. No. 9425

**Last Trade Date, March 02, 2020:**

Pershing LLC /BNYM I.S. Trust FBO Managers Fund Wrap Program No. 0657

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

**First Trade Date, March 02, 2020**

From: AR Global Investments, LLC/American Realty Capital No. 9421  
 New York City Reit, Inc.

To: AR Global Investments, LLC/New York City Reit No. 9421

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- The following firm will begin participating in the MF Profile service, as detailed below:  
**First Trade Date, March 02, 2020**  
 Quasar Distributors, LLC/Cushing Funds No. 8026
- The following firms will begin participating in the MF Info XChange service, as detailed below:  
**First Trade Date, March 02, 2020**  
 Columbia Management Investment Distributors, Inc./Trust Collective Funds No. 4843  
 Columbia Management Investment Distributors, Inc. No. 5501  
 Columbia Management Investment Distributors, Inc./Future Scholar No. 5601
- The following firm will begin participating in the Omni/SERV Activity & Position service, as detailed below:  
**First Trade Date, March 03, 2020**  
 Foreside Financial Services, LLC/Robeco Institutional Asset Management B.V. No. 3607
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, March 04, 2020**  
 Pomona Investment Fund No. 1091  
 US Bancorp Fund Services LLC/Nuveen Churchill BDC Inc. No. 1218  
 Fairway America, LLC/EQ Income Fund I LLC No. 1289
- The following firm will begin participation in Insurance Processing Services, as detailed below:  
**First Trade Date, March 02, 2020**  
 Veritas Independent Partners, LLC No. 4416
- 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, March 02, 2020**  
 Ultimus Fund Distributors, LLC/Red Cedar Funds No. 1169  
 Contact: Doug Jones  
 Phone: (513) 587-3408
- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) 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, March 02, 2020**  
 ALPS Distributors, Inc./Barings Umbrella Funds PLC No. 1174  
 Contact: Laura Bissett  
 Phone: + 353 (1) 776 8890

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, Global Update, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

**First Trade Date, March 02, 2020**

ALPS Distributors, Inc./CIM Funds

No. 4263

Contact: Anita Rose

Phone: (816) 435-3781

- The following additional number has been assigned to Federated Securities Corp. (#5529) 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, March 06, 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>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>
<b><u>Delete Last Trade Date, February 27, 2020</u></b>							
Drivewealth LLC	QNTX	0294	DRVW	✓			
<b><u>Add First Trade Date, February 25, 2020</u></b>							
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFU	✓			
<b><u>Add First Trade Date, February 27, 2020</u></b>							
Electronic Transaction Clearing, Inc	ETCC	0873	ETFV	✓			
<b><u>Add First Trade Date, March 02, 2020</u></b>							
Stifel, Nicolaus & Company, Incorporated	STFL	0793	STFX	✓			

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