



Important Notice
National Securities Clearing Corporation

A#:	8854
P&S #:	8427
Date:	05/29/2020
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, May 29, 2020

Stockcross Financial Services, Inc.

No. 0445

As a result of the merger of Stockcross Financial Services, Inc. with and into Muriel Siebert & Co., Inc., Muriel Siebert & Co., Inc. will assume all open contracts for Stockcross Financial Services, Inc. (#0445), which are to be cleared or settled through or by National Securities Clearing Corporation.

Consequently, Muriel Siebert & Co., 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, June 1, 2020

Muriel Siebert & Co., Inc.

No. 0445

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

Last Trade Date, May 29, 2020

Pensco Trust Company LLC

No. 0579

As a result of the merger of Pensco Trust Company LLC with and into Pacific Premier Bank, Pacific Premier Bank will assume all open contracts for Pensco Trust Company LLC (#0579), which are to be cleared or settled through or by National Securities Clearing Corporation.

Consequently, Pacific Premier Bank will open the following account retaining all current services. Please note that nothing will change operationally with regards to the account.

First Trade Date, June 1, 2020

Pacific Premier Bank

No. 0579

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

Last Trade Date, May 29, 2020:

ALPS Distributors Inc./Smead Fund

No. 6686

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 UMB Distribution Services (#4854) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, June 01, 2020

UMB Distribution Services, LLC/Smead

No. 6686

Contact: Darren Siverling

Phone: (414) 299-2160

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

Last Trade Date, May 29, 2020:

Virtu ITG LLC

No. 0099

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 Virtu Americas LLC (#0295) for the purpose of utilizing OTC Comparison, NYSE Listed and Obligation Warehouse services, as detailed below:

First Trade Date, June 01, 2020:

Virtu Americas LLC/Virtu ITG LLC

No. 0099

OTC Alpha Identifier

ITGI

NYSE Alpha Identifier

ITGI

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

Last Trade Date, May 29, 2020:

US Bancorp Fund Services LLC/OHP Ltd

No. 8230

US Bancorp Fund Services LLC/OHP II LP

No. 8366

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

First Trade Date, May 29, 2020

From: ALPS Distributors Inc./Resource Real Estate Diversified Income Fund

No. 7047

To: ALPS Distributors Inc./Resource Credit Income Fund

No. 7047

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

First Trade Date, June 01, 2020

Nuveen Securities, LLC/MI 529 Advisors Plan

No. 1958

The following firm will begin participation in the DTCC Payment aXis service, as details below:

First Trade Date, June 01, 2020

Lion Street Financial, LLC No. 7019

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

First Trade Date, June 03, 2020

West Coast Stock Transfer Inc./Niagara Plus Income Fund LP No. 1635

West Coast Stock Transfer Inc./Niagara Plus Income (Tax Exempt) Feeder LP No. 1638

- The following firm will begin participation in Municipal Comparison Only services, as detailed below:

First Trade Date, June 01, 2020:

The Central Trust Bank No. 1608

Muni Alpha Identifier: CTBK

- The following firm will begin participation in Insurance Processing Services, as detailed below:

First Trade Date, June 02, 2020

Capitas Financial, Inc. No. 1615

- 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>
<u>Executing Broker Name Change, Effective</u>							
<u>First Trade Date, June 01, 2020</u>							
From: Virtu ITG LLC	ITGI	0099	ITGI	✓			
To: Virtu Americas LLC	ITGI	0099	ITGI	✓			
From: ITG Inc.	ITGI	0099	ITGP	✓			
To: Virtu Americas LLC	ITGI	0099	ITGP	✓			
From: ITG INC.	NFSC	0226	ITGF	✓	✓		✓
To: Virtu Americas LLC	NFSC	0226	ITGF	✓	✓		✓
From: Altnet Securities Inc.	ITGI	0099	ALTX	✓			
To: Virtu Americas LLC	ITGI	0099	ALTX	✓			
From: Stockcross Financial Services, Inc.	STOX	0445	STOX	✓	✓	✓	✓
To: Muriel Siebert & Co., Inc.	STOX	0445	STOX	✓	✓	✓	✓
From: TMC Bonds, L.L.C.	PERS	0443	TMCC		✓	✓	✓
To: Ice Bonds Securities Corporation	PERS	0443	TMCC		✓	✓	✓

Clearing Broker Change, effective

First Trade Date, June 01, 2020

From: Central Trust Bank	SWST	0279	CTBK	✓	✓	✓
To: Central Trust Bank	CTBK	4270	CTBK	✓	✓	✓

Delete Last Trade Date, May 26, 2020

USAA Investment Management Company	NFSC	0226	USAA	✓	✓	✓	✓
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Delete Last Trade Date, June 01, 2020

Birchwood Securities Corp.	VSIN	0595	BWEX	✓		✓	
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Add First Trade Date, June 01, 2020

Great Point Capital LLC	PFCL	0158	GPCA	✓	✓	✓	
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.