**Important Notice**
National Securities Clearing Corporation

A#: 8891
P&S #: 8464
Date: 08/21/2020
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, August 21, 2020:**
  Northern Lights Distributors, LLC/Ascendant Funds No. 3743

  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 and ACATS Fund/SERV services, as detailed below:
  **First Trade Date, August 24, 2020**
  Ultimus Fund Distributors, LLC/Ascendant Funds No. 3743
  Contact: Doug Jones
  Phone: (513) 587-3408

- The following firm will retire from all services, as detailed below:
  **Last Trade Date, August 21, 2020:**
  Northern Lights Distributors, LLC/North Star Funds No. 3783

  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 Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:
  **First Trade Date, August 24, 2020**
  Ultimus Fund Distributors, LLC/North Star Funds No. 3783
  Contact: Doug Jones
  Phone: (513) 587-3408

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

**Last Trade Date, August 21, 2020:**
Northern Lights Distributors, LLC/Innealta Funds

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 Daily Price & Rate, DTCC Payment aXis, Omni SERV Activity & Position and ACATS Fund/SERV services, as detailed below:

**First Trade Date, August 24, 2020**
Ultimus Fund Distributors, LLC/Innealta Funds
Contact: Doug Jones
Phone: (513) 587-3408

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

**Last Trade Date, August 21, 2020:**
Northern Lights Distributors, LLC/Beech Hill Total Return Fund

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, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

**First Trade Date, August 24, 2020**
Ultimus Fund Distributors, LLC/Beech Hill Total Return Fund
Contact: Doug Jones
Phone: (513) 587-3408

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

**Last Trade Date, August 21, 2020:**
Northern Lights Distributors, LLC/Power Income Fund

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 and ACATS Fund/SERV services, as detailed below:

**First Trade Date, August 24, 2020**
Ultimus Fund Distributors, LLC/Power Income Fund
Contact: Doug Jones
Phone: (513) 587-3408
• The following firm will retire from all services, as detailed below:
  **Last Trade Date, August 21, 2020:**
  Northern Lights Distributors, LLC/PSI Funds
  No. 5335

  *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 Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:
  **First Trade Date, August 24, 2020**
  Ultimus Fund Distributors, LLC/PSI Funds
  No. 5335
  Contact: Doug Jones
  Phone: (513) 587-3408

• The following firm will retire from all services, as detailed below:
  **Last Trade Date, August 21, 2020:**
  Northern Lights Distributors, LLC/Princeton Futures Strategy Fund
  No. 5381

  *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, August 24, 2020**
  Ultimus Fund Distributors, LLC/Princeton Futures Strategy Fund
  No. 5381
  Contact: Doug Jones
  Phone: (513) 587-3408

• The following firm will retire from all services, as detailed below:
  **Last Trade Date, August 21, 2020:**
  Northern Lights Distributors, LLC/Astor Funds
  No. 5400

  *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 and ACATS Fund/SERV services, as detailed below:
  **First Trade Date, August 24, 2020**
  Ultimus Fund Distributors, LLC/Astor Funds
  No. 5400
  Contact: Doug Jones
  Phone: (513) 587-3408
• The following firm will retire from all services, as detailed below:
  **Last Trade Date, August 21, 2020:**
  Northern Lights Distributors, LLC/BTS Funds
  No. 5401
  
  *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, August 24, 2020**
  Ultimus Fund Distributors, LLC/BTS Funds
  No. 5401
  Contact: Doug Jones
  Phone: (513) 587-3408

• The following firms will retire from all services, as detailed below:
  **Last Trade Date, August 21, 2020:**
  PNC Funds Distributor, LLC
  No. 5151
  
  **Last Trade Date, August 25, 2020:**
  Allianz Global Investors Distributors LLC/Premier Multi-Series VIT
  No. 5703

• The following firm will no longer participate in Trade Comparison, Trade Recording and Obligation Warehouse services, as detailed below:
  **Last Trade Date, August 19, 2020**
  People’s Securities, Inc.
  No. 0220

• The following firms will change their name only, as detailed below:
  **First Trade Date, August 21, 2020:**
  From: Ascensus Broker Dealer Services, LLC/Phoenix Platform Account
  To: Ascensus Broker Dealer Services, LLC/Unite Platform Account
  No. 5670
  
  From: Centerstate Bank, National Association
  To: South State Bank, National Association
  MUNI Alpha Identifier: CSFL
  No. 6770

• The following firms will begin participate in the MF Profile service, as detailed below:
  **First Trade Date, August 19, 2020:**
  Quasar Distributors, LLC/Ziegler Funds
  No. 4044
  Foreside Financial Services, LLC/Boston Trust Walden Funds
  No. 6622
The following firm will begin participate in the Omni SERV Activity & Position service, as detailed below:

**First Trade Date, August 24, 2020:**
Foreside Fund Services, LLC/Aberdeen Offshore Funds
No. 4957

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

**First Trade Date, August 19, 2020**
JPMorgan Chase Bank, National Association
Chatham Capital Holdings, Inc.
No. 1565
No. 1938

**First Trade Date, August 20, 2020**
Cantor Fitzgerald Investors, LLC/Cantor Fitzgerald Income Trust, Inc.
No. 1949

**First Trade Date, August 21, 2020**
EAS Accounting Services, CPA LLC/Aegis Capital
No. 1954

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

**First Trade Date, August 21, 2020**
Horan Securities, Inc.
No. 1813

The following firm will begin participation in Networking and DTCC Payment aXis services, as detailed below:

**First Trade Date, August 25, 2020**
People’s Securities, Inc.
No. 0220
Updates to the NSCC MPID Directory for OTC, Corporates, Municipals, and UITs, as detailed below:

<table>
<thead>
<tr>
<th>Clearing Broker Change, Effective</th>
<th>Executing Broker</th>
<th>Products OTC/CMU</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Trade Date, August 24, 2020</td>
<td></td>
<td></td>
</tr>
<tr>
<td>From: Ice Bonds Securities Corporation</td>
<td>PERS 0443</td>
<td>TMCC</td>
</tr>
<tr>
<td>To: Ice Bonds Securities Corporation</td>
<td>ICEX 4264</td>
<td>TMCC</td>
</tr>
</tbody>
</table>

Delete Last Trade Date, August 17, 2020

| Electronic Transaction Clearing, Inc. | ETCC 0873 | ETEY | ✓ |

Delete Last Trade Date, August 19, 2020

| People's Securities, Inc. | PEOP 0220 | PEOP | ✓ |
| Citadel Securities LLC | CDRG 8430 | ICRD | ✓ |

Delete Last Trade Date, August 20, 2020

| Jump Trading | GSCO 0005 | DYSO | ✓ |

Add First Trade Date, August 19, 2020

| JMP Securities LLC | MIRA 1043 | JSSM | ✓ |

Add First Trade Date, August 20, 2020

| Citadel Securities LLC | PRST 0551 | ICRD | ✓ |
| Cherry Trading | VLOX 3856 | CHRD | ✓ |
| Sprinklebrokerage, Inc. | VLOX 3856 | SPBR | ✓ |

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