



Important Notice
National Securities Clearing Corporation

A#:	8992
P&S #:	8565
Date:	04/16/2021
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, April 23, 2021
UMB Distribution Services, LLC/ALTA Trust No. 3976

- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, April 19, 2021
Phoenix American Financial Services, Inc./Triline Global Sustainable Income Fund II No. 0MZF

- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:
First Trade Date, April 16, 2021:
State Street Bank and Trust Company/NRS/KPMG Pension Plan Trust No. 2939
Contact: Brent Blake
Phone: (617) 985-8547

- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:
First Trade Date, April 16, 2021:
State Street Bank and Trust Company/NRS/KPMG Partner Pension Plan Trust No. 2949
Contact: Brent Blake
Phone: (617) 985-8547

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- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 16, 2021:

Ultimus Fund Distributors, LLC/Left Brain Funds
 Contact: Chris Baird
 Phone: (402) 578-0172

No. 2953

- 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, April 12, 2021</u>							
SRT Securities LLC	VLOX	3856	IAEA	✓			
<u>Delete Last Trade Date, April 14, 2021</u>							
BNY Mellon Capital Markets LLC	PERS	0443	BKMM	✓			
<u>Delete Last Trade Date, April 16, 2021</u>							
ABN AMRO Clearing Chicago LLC	SHMR	0695	CSXX	✓			
RJL Capital Group, LLC	IBFS	0824	RJLC	✓			
RJL Capital Group	ICBC	0824	RJLC		✓		✓
<u>Add First Trade Date, April 15, 2021</u>							
Velocity Clearing, LLC	QNTX	0294	VCTY	✓			

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