



Important Notice
National Securities Clearing Corporation

A#:	9004
P&S #:	8577
Date:	05/14/2021
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 update from Important Notice A#9000 (P&S#8573) dated May 07, 2021 has been revised as follows:

- 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>Add First Trade Date, May 06, 2021</u>								
Davenport & Company LLC	PERS	0443	DAVA	✓	✓	✓	✓	

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

Last Trade Date, May 13, 2021

Ultimus Fund Distributors, LLC/Iron Funds	No. 5301
ALPS Distributors Inc/Holland Balanced FD	No. 6597

Last Trade Date, May 14, 2021

Quasar Distributors, LLC/Bogle Investment Management	No. 5818
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Last Trade Date, May 18, 2021

Ultimus Fund Distributors, LLC/PCS Commodity Strategy Fund	No. 3126
Ultimus Fund Distributors, LLC/Two Oaks Funds	No. 3751

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

First Trade Date, May 17, 2021

Foreside Distribution Services, L.P./KKR Krest Fund Inc. No. 2917

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

First Trade Date, May 14, 2021

Theorem Fund Services, LLC/Ensconce Innovation Fund, LP No. 0MZU

First Trade Date, May 17, 2021

UMB Fund Services, Inc./Pender ABL II, LLP No. 0MZV

- The following additional number has been assigned to UMB Distribution Services, LLC (#4854) for the purpose of utilizing Fund/SERV, Networking, MF Profile and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 21, 2021:

UMB Distribution Services, LLC/Evaluator Funds No. 2984

Contact: Darren Siverling

Phone: (414) 299-2160

- 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>Delete Last Trade Date, May 12, 2021</u>							
JUMP Trading, LLC	SHMR	0695	JTKS	✓			
<u>Add First Trade Date, May 11, 2021</u>							
Wells Fargo Securities, LLC	WCHV	0250	WFES	✓			
Place Trade Financial, Inc.	IBKR	0534	PLTF	✓			
York Stockbrokers, Inc.	IBKR	0534	YSBI	✓			

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