



Important Notice
National Securities Clearing Corporation

A#:	9005
P&S #:	8578
Date:	05/21/2021
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 firms will retire from all services, as detailed below:

Last Trade Date, May 28, 2021

Pacific Premier Bank

No. 5998

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

First Trade Date, May 19, 2021:

David Lerner Associates, Inc.

No. 5144

- The following firms will begin participation in the Omni/SERV Transparency service, as detailed below:

First Trade Date, May 20, 2021

Needham & Company, LLC

No. 5587

First Trade Date, May 25, 2021

Ultimus Fund Distributors, LLC/Sierra Funds

No. 5628

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

First Trade Date, May 21, 2021

North Capital Administrator Services Inc.

No. 0MZK

First Trade Date, May 24, 2021

NESF Investment Services, LLC/Ellavoz Neighborhood Homes Fund, LLC

No. 0MZX

NESF Investment Services, LLC/HS Union Station OZ Fund - A, LLC

No. 0MZY

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NESF Investment Services, LLC/HS Union Station OZ Fund - B, LLC	No.	0N01
NESF Investment Services, LLC/Urban Catalyst Opportunity Zone Fund II LLC	No.	0N02

- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 20, 2021:

Foreside Fund Services, LLC/Euro Pacific Funds	No.	2989
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>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>OTC</u>	<u>Corp</u>	<u>Muni</u>	<u>UIT</u>

Clearing Broker Change, Effective First Trade Date, May 24, 2021

From: Rice, Voelker, LLC	ECUT	0100	CEON	✓	✓	✓
To: Rice, Voelker, LLC	RBCD	0235	CEON	✓	✓	✓
From: Dalzell Trading, LLC	ECUT	0100	DLZT	✓	✓	✓
To: Dalzell Trading, LLC	RBCD	0235	DLZT	✓	✓	✓
From: Livermore Trading Group, Inc.	ECUT	0100	LVMR	✓		
To: Livermore Trading Group, Inc.	DAIN	0235	LVMR	✓		
From: Ferretti Group, Inc.	ECUT	0100	STEP	✓		
To: Ferretti Group, Inc.	DAIN	0235	STEP	✓		
From: Watermill Institutional Trading LLC	ECUT	0100	WMLL	✓		
To: Watermill Institutional Trading LLC	DAIN	0235	WMLL	✓		

Executing Broker Name Changes, Effective First Trade Date, May 24, 2021

From: Stifel	STFL	0793	CSAI		✓	✓
To: Stifel Independent Advisors, LLC	STFL	0793	CSAI		✓	✓

Add First Trade Date, May 18, 2021

Compass Point Research & Trading, LLC	VSIN	0595	COMP	✓	✓	✓	✓
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Add First Trade Date, May 19, 2021

DRW Execution Services, LLC	PRST	0551	CMBA	✓			
DRW Execution Services, LLC	PRST	0551	CMBB	✓			
DRW Execution Services, LLC	PRST	0551	CMBC	✓			
DRW Execution Services, LLC	PRST	0551	CMBD	✓			
DRW Execution Services, LLC	PRST	0551	DEXP	✓			

Add First Trade Date, May 24, 2021

Rice, Voelker, LLC	RBCD	0235	CEON				✓
Dalzell Trading, LLC	RBCD	0235	DLZT				✓
Livermore Trading Group, Inc.	RBCD	0235	LVMR	✓	✓		✓
Ferretti Group, Inc.	RBCD	0235	STEP	✓	✓		✓

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