



Important Notice
National Securities Clearing Corporation

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|-------------------|---|
| A#: | 9007 |
| P&S #: | 8580 |
| Date: | 05/28/2021 |
| 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, May 26, 2021
TFA Associates, LLC/Triton Pacific Investment Corporation, Inc No. 1185
- The following firm will no longer participate in the Obligation Warehouse service, as detailed below:
Last Trade Date, May 26, 2021:
Brown Brothers Harriman And Company/ETF No. 0109
- The following firm will begin participation in the MF Info Xchange service, as detailed below:
First Trade Date, May 28, 2021
J.P. Morgan Institutional Investments Inc. No. 4871
- The following firm will begin participation in the MF Profile, MF Info Xchange and Omni/SERV Activity and Position services, as detailed below:
First Trade Date, June 01, 2021
Matrix 360 Distributors, LLC/FM Investments Large Cap Focused Fund No. 1512

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Non-Confidential

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

First Trade Date, May 27, 2021

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|--|-----|------|
| Phoenix American Financial Services, Inc./Redwood Mortgage Investors VIII | No. | 0N04 |
| Phoenix American Financial Services, Inc./Redwood Mortgage Investors IX, LLC | No. | 0N05 |
| Phoenix American Financial Services, Inc./Redwood Mortgage Investors X | No. | 0N06 |

First Trade Date, June 01, 2021

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|--|-----|------|
| Fairway America, LLC/Fairway America Vivo GP Fund, LLC | No. | 0N07 |
|--|-----|------|

First Trade Date, June 02, 2021

| | | |
|---|-----|------|
| Cantor Fitzgerald Investors, LLC/CF Station Multifamily DST | No. | 0N08 |
| Cantor Fitzgerald Investors, LLC/CF Wyatt Multifamily DST | No. | 0N0A |
| Cantor Fitzgerald Investors, LLC/CF Mount Comfort DST | No. | 0N0B |
| Cantor Fitzgerald Investors, LLC/CF Summerfield Multifamily DST | No. | 0N0C |

- The following additional number has been assigned to Foreside Distribution Services, L.P. (#4967) 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, May 26, 2021:

| | | |
|---|-----|------|
| Foreside Distribution Services, L.P./Oyster | No. | 2983 |
| Contact: Samantha Job | | |
| Phone: (352) 4767-2216 | | |

- The following additional number has been assigned to Foreside Distribution Services, L.P. (#4967) 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, May 28, 2021:

| | | |
|---|-----|------|
| Foreside Distribution Services, L.P./AXA IM (Ireland) | No. | 2643 |
| Contact: Susan Healy | | |
| Phone: (353) 1776-1754 | | |

- 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, June 01, 2021

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|-----------------------------|------|------|------|---|
| From: Sidoti & Company, LLC | ECUT | 0100 | SIDC | ✓ |
| To: Sidoti & Company, LLC | MIRA | 1043 | SIDC | ✓ |

Delete Last Trade Date, May 28, 2021

| | | | | | | |
|----------------------------|------|------|------|---|---|---|
| Mariana Capital USA, LLC | ECUT | 0100 | MRNA | ✓ | | ✓ |
| United First Partners, LLC | ECUT | 0100 | UFPA | ✓ | ✓ | ✓ |

Add First Trade Date, May 28, 2021

| | | | | |
|-----------------------|------|------|------|---|
| Watchdog Capital, LLC | PFCL | 0158 | WDOG | ✓ |
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.