



Important Notice
National Securities Clearing Corporation

A#:	9000
P&S #:	8573
Date:	05/07/2021
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 06, 2021

ALPS Distributors, Inc./Janus Henderson Fund No. 3083
ALPS Distributors, Inc./Janus Henderson Horizon Fund No. 5866

Last Trade Date, May 10, 2021

Calamos Financial Services LLC/Calamos Global Fund PLC No. 6621

Last Trade Date, May 11, 2021

Foreside Distribution Services, LP/IVA Fiduciary Trust No. 4724

- The following firm will no longer participate in the OTC and Bond Comparison service, as detailed below:

Last Trade Date, May 05, 2019

Davenport & Company LLC No. 0715
OTC Alpha Identifier: DAVA
CORP Alpha Identifier: DAVA
MUNI Alpha Identifier: DAVA
UIT Alpha Identifier: DAVA

- The following firms will change their name, as detailed below:

First Trade Date, May 05, 2021:

From: Tradition Securities and Derivatives Inc. No. 0370
To: Tradition Securities and Derivatives LLC No. 0370

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Non-Confidential

First Trade Date, May 06, 2021:

From: H. Beck, Inc. No. 0731
To: Grove Point Investments, LLC No. 0731

From: H. Beck, Inc. No. 3911
To: Grove Point Investments, LLC No. 3911

First Trade Date, May 07, 2021:

From: Cottonwood Residential, Inc./Richmond At Millcreek, LLC No. 4335
To: Cottonwood Residential, Inc./Promissory Note No. 4335

From: Liberty Life Assurance Company of Boston No. 4641
To: Lincoln Life Assurance Company of Boston No. 4641

First Trade Date, May 11, 2021:

From: Cottonwood Residential, Inc./CR II 2016 Preferred No. 3947
To: Cottonwood Residential, Inc./CCI 2016 Preferred Stock No. 3947

From: Cottonwood Residential, Inc./CR II 2017 Preferred No. 3948
To: Cottonwood Residential, Inc./CCI 2017 Preferred Stock No. 3948

- The following firm will begin participation in the MF Profile, MF Info Xchange, Omni/SERV Activity & Position, Omni/SERV 529 Aggregation, and DTCC Payment aXis services, as detailed below:

First Trade Date, May 07, 2021

Blackrock Investments, LLC/529 Plan No. 2916

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

First Trade Date, May 11, 2021

Foreside Fund Services, LLC/361 Capital No. 3349

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

First Trade Date, May 07, 2021

Gemini Fund Services, LLC/Forum Capital Advisors No. 0MZR
Theorem Fund Services LLC/Ironwood Funding XIII LLC No. 0MZQ

First Trade Date, May 10, 2021

Fenix Securities, LLC/Grand Bridge Investment Fund Ltd No. 0MZS

- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking and MF Daily Price & Rate services, as detailed below:

First Trade Date, May 07, 2021:

Global Trust Company/SSB-GMO
 Contact: Arvind Kesireddy
 Phone: (781) 970-5050

No. 2969

- 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>Executing Broker Name Changes, Effective First Trade Date, May 05, 2021</u>								
From: Tradition Securities and Derivatives Inc.	ASEL	0370	ASEL	✓			✓	
To: Tradition Securities and Derivatives LLC	ASEL	0370	ASEL	✓			✓	
From: Tradition Securities and Derivatives Inc.	ASEL	0370	ASLB	✓	✓			
To: Tradition Securities and Derivatives LLC	ASEL	0370	ASLB	✓	✓			
From: Tradition Securities and Derivatives Inc.	PERS	0443	TMIN	✓				
To: Tradition Securities and Derivatives LLC	PERS	0443	TMIN	✓				
From: Tradition Securities and Derivatives Inc.	PERS	0443	TFAS	✓	✓	✓	✓	✓
To: Tradition Securities and Derivatives LLC	PERS	0443	TFAS	✓	✓	✓	✓	✓
<u>Delete Last Trade Date, May 03, 2021</u>								
Univest Securities, LLC	VSIN	0595	UNIS	✓	✓	✓	✓	✓
<u>Add First Trade Date, May 06, 2021</u>								
Davenport & Company LLC	PERS	0443	DAVA	✓	✓	✓	✓	✓
<u>Add First Trade Date, May 07, 2021</u>								
Bardi Co. LLC	IBKR	0534	BDCO	✓				

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