



Important Notice
National Securities Clearing Corporation

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|-------------------|---|
| A#: | 9028 |
| P&S #: | 8601 |
| Date: | 07/16/2021 |
| 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 update from Important Notice A#9024 (P&S#8597) dated July 09, 2021 has been cancelled:

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

Last Trade Date, July 23, 2021:

Arbor Court Capital LLC/Tactical Funds

No. 4099

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

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

First Trade Date, July 26, 2021

Ultimus Fund Distributors, LLC/TFA Funds

No. 4099

Contact: Chris Baird

Phone: (402) 578-0172

- The following firm will begin participation in the DTCC Payment aXis Service, as detailed below:

First Trade Date, July 20, 2021:

New York Life Insurance and Annuity Corp/Fixed Transactions

No. 4571

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

First Trade Date, July 15, 2021

Argos Alternative Funds, LLC - Leonidas Cryptocurrency Fund

No. 0N0T

Argos Alternative Funds, LLC - Leonidas Macro Fund

No. 0N0W

Argos Alternative Funds, LLC - Vulcan Metals Fund

No. 0N0X

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- The following firm will begin participation in Fund/SERV and Networking services, as detailed below:

First Trade Date, July 15, 2021

The Lincoln National Life Insurance Company
 Contact: Stephen Muldoon
 Phone: (260) 455-2993

No. 2994

- 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> |
| <u>Clearing Broker Change, Effective First Trade Date, July 19, 2021</u> | | | | | | | |
| From: Rencap Securities, Inc. | ECUT | 0100 | RENC | ✓ | | ✓ | |
| To: Rencap Securities, Inc. | RBCD | 0235 | RENC | ✓ | | ✓ | |
| <u>Delete Last Trade Date, July 13, 2021</u> | | | | | | | |
| Loop Capital Markets LLC | ECUT | 0100 | LCMC | ✓ | | ✓ | |
| Intercontinental Asset Management Group, Ltd. | PERS | 0443 | ICON | | ✓ | ✓ | ✓ |
| <u>Add First Trade Date, July 13, 2021</u> | | | | | | | |
| Sanctuary Securities, Inc. | PERS | 0443 | SWSS | | ✓ | ✓ | ✓ |
| <u>Add First Trade Date, July 19, 2021</u> | | | | | | | |
| Rencap Securities, Inc. | RBCD | 0235 | RENC | | ✓ | | ✓ |
| H.C.Wainwright & Co., LLC | RBCD | 0235 | HCWW | ✓ | ✓ | ✓ | ✓ |
| Interactive Brokers Corp. | IBKR | 0534 | IBCO | ✓ | | | |
| <u>Add First Trade Date, July 20, 2021</u> | | | | | | | |
| Apex Clearing Corporation | PFCL | 0158 | APXO | ✓ | ✓ | ✓ | ✓ |

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