



Important Notice
National Securities Clearing Corporation

A#:	9227
P&S #:	8800
Date:	10/28/2022
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, October 27, 2022:

Flexible Plan Investments, Ltd No. 6819

Last Trade Date, November 02, 2022:

Quasar Distributors, LLC/First Republic Investment Management No. 0006

Ultimus Fund Distributors, LLC/Left Brain Funds No. 2953

Ultimus Fund Distributors, LLC/Little Harbor Funds No. 3412

- The following firm will begin participating in the Networking, MF Daily Price and Rate services, as detailed below:

First Trade Date, November 01, 2022:

Global Trust Company/SSB-Intech No. 0934

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

First Trade Date, October 28, 2022:

Capital Integration Systems LLC/CAIS-Graham Capital Management No. 12K7

The Parker Transfer Agency, Inc./USED Opportunity Zone Fund II LP No. 12K8

First Trade Date, October 31, 2022:

Apex Fund Services (Canada) Ltd./Chapelgate Credit Opportunity Fund LP No. 12KX

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Non-Confidential

First Trade Date, November 01, 2022:

The Bank Of New York Mellon/Port Capital	No.	12LM
Theorem Fund Services, LLC/Thiele Marketplace Income Fund, LP	No.	12LN
Theorem Fund Services, LLC/Thiele Offshore Partners Ltd	No.	12LO

- The following additional number has been assigned to BNY Mellon Securities Corporation (#5523) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price and Rate as detailed below:

First Trade Date, November 21, 2022:

BNY Mellon Securities Corporation/Insight	No.	3560
Contact: Danielle Pagano		
Phone: (212) 365-3132		

- The following additional number has been assigned to BNY Mellon Securities Corporation (#5523) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price and Rate as detailed below:

First Trade Date, November 21, 2022:

BNY Mellon Securities Corporation/Investor Solutions	No.	3564
Contact: Scott Heinauer		
Phone: (412) 234-5169		

- The following additional number has been assigned to BNY Mellon Securities Corporation (#5523) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price and Rate as detailed below:

First Trade Date, November 21, 2022:

BNY Mellon Securities Corporation/Newton Investment Management	No.	3568
Contact: Mark Carey		
Phone: (617) 722-3513		

- 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, October 28, 2022

From: Fog Equities LLC	WSGD	8199	FOGS	✓
To: Fog Equities LLC	RBCD	0235	FOGS	✓

Clearing Broker Change, Effective First Trade Date, October 31, 2022

From: Fox Chase Capital Partners, LLC	WSGD	8199	FOXC	✓			
To: Fox Chase Capital Partners, LLC	WEDB	0103	FOXC	✓			
From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETDR	✓			
To: Clear Street LLC	CLST	9132	ETDR	✓			
From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETFU	✓			
To: Clear Street LLC	CLST	9132	ETFU	✓			

Delete Last Trade Date, October 26, 2022

Richfield Orion International, Inc.	RBCD	0235	ROIB	✓	✓	✓	✓
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Delete Last Trade Date, October 27, 2022

Wedbush Morgan Securities Inc.	FBCO	0355	WEDE	✓			
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Delete Last Trade Date, October 28, 2022

Global Direct Equities, LLC	WEDB	0103	GDEQ	✓			
Montecito Advisors, Inc.	WEDB	0103	MAWI	✓		✓	
Western Financial Corporation	WEDB	0103	WEFI	✓	✓	✓	✓
Western International	WEDB	0103	WISW	✓	✓	✓	✓

Add First Trade Date, October 28, 2022

Fog Equities LLC	RBCD	0235	FOGS		✓	✓	✓
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Add First Trade Date, October 31, 2022

First Tryon Securities, LLC	SWST	0279	TRYN	✓	✓	✓	✓
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.