



Important Notice
National Securities Clearing Corporation

A#:	9235
P&S #:	8808
Date:	11/25/2022
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 change their name only, as detailed below:

First Trade Date, November 23, 2022:

From: GWFS Equities, Inc.	No.	5330
To: Empower Financial Services, Inc.	No.	5330
From: GWFS Equities, Inc./Great-West Life & Annuity Ins Co - Mutual Fund Payment File	No.	1230
To: Empower Financial Services, Inc./Empower Annuity Ins Co of America - Mutual Fund Payment File	No.	1230
From: GWFS Equities, Inc./ Great-West Life & Annuity Ins Co of NY Third Party Payments	No.	1233
To: Empower Financial Services, Inc./Empower Life & Annuity Ins Co of NY Third Party Payments	No.	1233
From: GWFS Equities, Inc./Commission Product	No.	3354
To: Empower Financial Services, Inc. /Commission Product	No.	3354
From: GWFS Equities, Inc./Orchard Trust Company LLC	No.	3702
To: Empower Financial Services, Inc. /Orchard Trust Company LLC	No.	3702
From: GWFS Equities, Inc.	No.	0257
To: Empower Financial Services, Inc.	No.	0257
From: GWFS Equities, Inc./GWCM	No.	3038
To: Empower Financial Services, Inc./ECM	No.	3038

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Non-Confidential

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

First Trade Date, November 28, 2022:

From: Foreside Financial Services, LLC/Highland Funds	No. 5979
To: Foreside Financial Services, LLC/Nexpoint Funds	No. 5979

- The following firm will no longer participate in the DTCC Payment aXis service, as detailed below:

First Trade Date, December 09, 2022:

People's Securities, Inc.	No. 0220
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- The following firm will begin participating in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, December 01, 2022:

Franklin Distributors, LLC/Benefit Street Partners	No. 1763
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, November 25, 2022:

SS&C Technologies, Inc./Star Mountain US Lower Middle Market Secondary Fund II, LP	No. 12R8
SS&C Technologies, Inc./Star Mountain US Lower Middle Market Secondary Fund II (Offshore), LP	No. 12R9

First Trade Date, November 28, 2022:

Inland Real Estate Investment Corporation/Zero Coupon Essential Portfolio DST	No. 12RH
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First Trade Date, November 29, 2022:

Great Lakes Fund Solutions, Inc./King Operating Partners	No. 12RT
Gen II Fund Services, LLC/Opto Investments, Inc.	No. 12RU
SS&C Technologies, Inc./GT Partners Spv I, LP	No. 12RP
SS&C Technologies, Inc./GT Partners Spv II, LP	No. 12RQ

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

First Trade Date, December 01, 2022:

Ultimus Fund Distributors, LLC/RM Opportunity Trust	No. 3258
Contact: Chris Baird	
Phone: (402) 578-0172	

- 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>Delete Last Trade Date, November 22, 2022</u>							
Exane Inc.	PERS	0443	EXAN	✓	✓		✓
<u>Add First Trade Date, November 25, 2022</u>							
Asia Pacific Financial Management Group, Inc.	IBKR	0534	ASPI	✓			

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