



Important Notice
National Securities Clearing Corporation

A#:	9228
P&S #:	8801
Date:	11/04/2022
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 firm will retire from all services, as detailed below:

Last Trade Date, November 03, 2022:

Carter Financial Group, Inc. No. 3541

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

Last Trade Date, November 18, 2022:

Forside Fund Services, LLC/Corner Cap Funds No. 5384

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

First Trade Date, November 03, 2022:

From: Prudential Annuities Life Assurance Corporation No. 4504

To: Fortitude Life Insurance & Annuity Company No. 4504

From: Prudential Annuities Life Assurance Corporation/Sa Var Annuity No. 1319

To: Fortitude Life Insurance & Annuity Company/Sa Var Annuity No. 1319

From: Prudential Annuities Life Assurance Corporation/Sa Var Life No. 1314

To: Fortitude Life Insurance & Annuity Company/Sa Var Life No. 1314

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- The following firm will begin participating in the Omni/SERV Transparency service, as detailed below:

First Trade Date, November 09, 2022:

Lazard Asset Management Securities, LLC/Lazard Global Investment Funds, PLC No. 8890

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

First Trade Date, November 03, 2022:

SS&C Technologies, Inc./Gyroscope Enhanced Liquid Income Offshore Fund, LTD No. 12LZ
 SS&C Technologies, Inc./Gyroscope Enhanced Liquid Income Fund, LP No. 12M0

- The following firm will begin participation in DTCC Payment Axis, Networking, Fund/SERV and Insurance Processing services, as detailed below:

First Trade Date, November 07, 2022:

Sammons Financial Network LLC/Sammons Financial Network (SFN) No. 3576

- 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 01, 2022</u>							
H.C.Wainwright & Co., LLC	ETCC	0873	HCWC	✓			
<u>Delete Last Trade Date, November 04, 2022</u>							
FIS Brokerage & Securities Services LLC	GSCO	0005	FRET	✓			
<u>Effective First Trade Date, November 02, 2022</u>							
Sarna Finance LLC	WGSD	8199	SRNA	✓			

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