



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	9214
<b>P&amp;S #:</b>	8787
<b>Date:</b>	09/23/2022
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will begin participating in Omni/SERV Activity and Position services, as detailed below:

**First Trade Date, September 26, 2022:**

Allianz Global Investors Distributors LLC No. 5609

- The following firms will begin participating in Networking services, as detailed below:

**First Trade Date, September 26, 2022:**

GWFS Equities, Inc./Great-West Life & Annuity Ins Co - Mutual Fund Payment File No. 1230

GWFS Equities, Inc./Great-West Life & Annuity Ins Co Of Ny Third Party Payments No. 1233

- The following firms will begin participating in Retirement Plan Reporting services, as detailed below:

**First Trade Date, September 26, 2022:**

GWFS Equities, Inc./Great-West Life & Annuity Ins Co - Mutual Fund Payment File No. 1230

GWFS Equities, Inc./Great-West Life & Annuity Ins Co Of Ny Third Party Payments No. 1233

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

**First Trade Date, September 23, 2022:**

Inland Real Estate Investment Corporation/Lakewood Ranch SFR II DST No. 12CV

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**First Trade Date, September 27, 2022**

Trident Fund Services, Inc./Defensive Private Credit Fund No. 12DC  
(QP) (TE Onshore), A Series Of Bluearc Core Alternatives, LLC  
Abacus Life Services, LLC/LMA Income Series, L.P. No. 12DH

**First Trade Date, September 28, 2022**

Phoenix American Financial Services, Inc./S2k Charlotte Multifamily Oz Fund, LLC No. 12DJ  
UMB Fund Services, Inc./Hartman Capital Fund LLC No. 12DK

- The following firm will begin participation in Insurance Processing services, as detailed below:

**First Trade Date, September 26, 2022:**

Conlan Holdings LLC No. 3551

- The following firm will begin participation in OTC Comparison, Obligation Warehouse and ACATS services, as detailed below:

**First Trade Date, September 30, 2022**

Royal Bank Of Canada, WFC Branch No. 3350  
OTC Alpha Identifier RNYB

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

**First Trade Date, September 26, 2022:**

Capitol Securities Management, Inc. No. 8435

- Updates to the NSCC MPID Directory for OTC, Corporates, Municipals, and UITs, as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	OTC	<u>Products OTC/CMU</u>		UIT
	Alpha	Numeric	Alpha		Corp	Muni	
<b><u>Delete Last Trade Date, September 22, 2022</u></b>							
Maia Securities, Inc.	RBCD	0235	MAIA	✓			
BMA Securities	LGNT	0052	BMAC	✓	✓	✓	✓
<b><u>Delete Last Trade Date, September 30, 2022</u></b>							
Jump Trading, LLC	PRST	0551	DUST	✓			
<b><u>Delete Last Trade Date, October 07, 2022</u></b>							
Electronic Transaction Clearing, Inc.	ETCC	0873	PERO	✓			

**Effective First Trade Date, September 20, 2022**

Lime Trading Corp	QNTX	0294	LIVC	✓				
Ceros Financial Services, Inc.	LGNT	0052	CFSI	✓	✓	✓	✓	✓

**Effective First Trade Date, September 21, 2022**

B. Riley Wealth Management, Inc.	NFSC	0226	BRWM	✓				
Speedtrader, Inc	CURV	3450	ZIPD	✓				

**Effective First Trade Date, September 23, 2022**

Enigma Securities Inc.	MLCO	0161	EMSI	✓	✓	✓	✓	✓
BOFA Securities, Inc.	MLCO	0161	MLZV	✓				

**Effective First Trade Date, September 28, 2022**

Jefferies LLC	JEFF	0019	JBLK	✓				
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**Effective First Trade Date, September 30, 2022**

Royal Bank of Canada, WFC Branch	RYNB	3350	RYNB	✓				
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).