



Important Notice
National Securities Clearing Corporation

A#:	9273
P&S #:	8846
Date:	03/03/2023
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, March 02, 2023:

GAM Fund Management LTD/Lux Funds No. 4261

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

First Trade Date, March 07, 2023:

4101 Powell Ave., LLC No. 13KG

NESF Investment Services, LLC/Glide Direct Series LLC - Claro Bain No. 13OD

Technology Opportunities Fund

NESF Investment Services, LLC/Glide Direct Series LLC - USCA Braavos No. 13OE

Capital Fund II

Opus Fund Services (USA) LLC/OFW Low Beta, LLC No. 13OM

First Trade Date, March 09, 2023:

Fig LLC No. 13EG

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

First Trade Date, March 06, 2023:

Flourish Insurance Agency LLC No. 3573

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Non-Confidential

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

	<u>Clearing Broker</u>		<u>Executing Broker</u>	<u>OTC</u>	<u>Products OTC/CMU</u>		<u>UIT</u>
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>		<u>Corp</u>	<u>Muni</u>	
<u>Name Change, Effective First Trade Date, March 02, 2023</u>							
From: Red Capital Markets, Inc.	PERS	0443	PSIN		✓	✓	✓
To: Lument Securities, LLC	PERS	0443	PSIN		✓	✓	✓
<u>Delete Last Trade Date, March 01, 2023</u>							
Boenning & Scattergood, Inc.	WRET	0141	BOSC	✓	✓		✓
<u>Delete Last Trade Date, March 03, 2023</u>							
Brown Advisory Securities, LLC	WRET	0141	BSEC	✓	✓	✓	✓
Maybank Kim ENG Securities USA Inc.	PERS	0443	KIME	✓	✓		
<u>Delete Last Trade Date, March 09, 2023</u>							
Cabrera Capital Markets, Inc.	MLCO	0161	CABA	✓	✓	✓	
<u>Add First Trade Date, March 01, 2023</u>							
Blue Ocean ATS, LLC	VLNT	4305	BLUE	✓			
Apex Clearing Corporation	PFCL	0158	APBO	✓	✓	✓	✓
<u>Add First Trade Date, March 03, 2023</u>							
SVB Securities LLC	PERS	0443	SVBS	✓			
Velocity Clearing, LLC	QNTX	0294	VCFL	✓			
<u>Add First Trade Date, March 06, 2023</u>							
Apex Clearing Corporation	PFCL	0158	ABDA	✓	✓	✓	✓

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