



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

|                   |   |
|-------------------|---|
| <b>A#:</b>        | 9329  |
| <b>P&amp;S #:</b> | 8902  |
| <b>Date:</b>      | 08/11/2023  |
| <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 retire from all services, as detailed below:

**Last Trade Date, August 11, 2023**

Wilmington Trust Company

No. 4894

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following firm will begin participation in the Fund/SERV, Networking and MF Daily Price & Rate services, as detailed below:

**First Trade Date, August 14, 2023:**

Great Gray Trust Company, LLC

No. 4894

Contact: Christopher D. Randall

Phone: (702) 817-0652

- The following firm will retire from all services, as detailed below:

**Last Trade Date, August 11, 2023**

Wilmington Trust Company/Northern Trust Settlements

No. 1827

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following firm will begin participation in the Fund/SERV, Networking and MF Daily Price & Rate services, as detailed below:

**First Trade Date, August 14, 2023:**

Great Gray Trust Company, LLC/Northern Trust Settlements

No. 1827

Contact: Christopher D. Randall

Phone: (702) 817-0652

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Non-Confidential

- The following firm will retire from all services, as detailed below:

**Last Trade Date, August 11, 2023**

Wilmington Trust Company/WTNA Outside Funds

No. 6041

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following firm will begin participation in the Fund/SERV, Networking and MF Daily Price & Rate services, as detailed below:

**First Trade Date, August 14, 2023:**

Great Gray Trust Company, LLC/Outside Funds

No. 6041

Contact: Christopher D. Randall

Phone: (702) 817-0652

- The following firm will retire from all services, as detailed below:

**Last Trade Date, August 11, 2023:**

Merrill Lynch Professional Clearing Corp.

No. 0551

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following additional number has been assigned to BOFA Securities, Inc. (#0161) for the purpose of utilizing ACATS, OTC Comparison and Obligation Warehouse services, as detailed below:

**First Trade Date, August 14, 2023**

BOFA Securities, Inc./BOFA Prime Broker

No. 0551

OTC Alpha Identifier

PRST

NYSE Alpha Identifier

PRO

- The following firms will retire from all services, as detailed below:

**Last Trade Date, August 10, 2023:**

Acadia Life International Limited

No. 6902

**Last Trade Date, August 11, 2023:**

Ecovest Capital, Inc.

No. 0NY2

**Last Trade Date, August 14, 2023:**

Ultimus Fund Distributors, LLC/Alphamark Investment Trust

No. 5653

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

**First Trade Date, August 09, 2023**

|   |     |      |
|---|-----|------|
| Kendall Sustainable Infrastructure, LLC   | No. | 17KZ |
| Phoenix American Financial Services, Inc./Panther Plus Growth Fund II LP              | No. | 17MB |
| Phoenix American Financial Services, Inc./Panther Plus Growth Tax Exempt Feeder II LP | No. | 17MC |
| Nesf Investment Services, LLC/UC Multifamily Equity I LLC                             | No. | 17M4 |

**First Trade Date, August 14, 2023**

|              |     |      |
|--------------|-----|------|
| Foxfield LLC | No. | 17EL |
|--------------|-----|------|

**First Trade Date, August 15, 2023**

|                             |     |      |
|-----------------------------|-----|------|
| Water Asset Management, LLC | No. | 17ME |
|-----------------------------|-----|------|

- 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>UIT</u> |
|------------------------|----------------|-------------------------|------------|-------------------------|-------------|--|------------|
| <u>Alpha</u>           | <u>Numeric</u> | <u>Alpha</u>            | <u>OTC</u> | <u>Corp</u>             | <u>Muni</u> |  |            |

**Executing Broker Name Change, Effective**

**First Trade Date, August 14, 2023**

|   |      |      |      |   |   |   |
|---|------|------|------|---|---|---|
| From: Merrill Lynch Professional Clearing Corp. | PRST | 0551 | PRST | ✓ | ✓ | ✓ |
| To: BOFA Securities, Inc.                       | PRST | 0551 | PRST | ✓ | ✓ | ✓ |

**Delete Last Trade Date, August 11, 2023**

|  |      |      |      |   |   |   |
|--|------|------|------|---|---|---|
| Penserra Securities, LLC                         | MLC  |      |      | ✓ | ✓ | ✓ |
|  | O    | 0161 | PNSA |   |   |   |
| OTA, LLC   | PRST | 0551 | OTAS | ✓ |   |   |
| Weeden Prime Services, LLC.                      | PRST | 0551 | WPSM | ✓ |   |   |
| Lipper Convertibles, L.P.                        | PRST | 0551 | LPCO |   |   | ✓ |
| Virtu Americas LLC                               | PRST | 0551 | PRNT |   | ✓ |   |
| Spyglass Trading L.P.                            | PRST | 0551 | SPGL |   |   | ✓ |
| Susquehanna Fixed Income, LP                     | PRST | 0551 | SUSF |   |   | ✓ |
| Merrill Lynch Pierce Fenner & Smith Incorporated | PRST | 0551 | WVAS |   |   | ✓ |
| Drivewealth, LLC                                 | LGNT | 0052 | DWTH | ✓ |   |   |

**Add First Trade Date, August 09, 2023**

|                |      |      |      |   |  |  |
|----------------|------|------|------|---|--|--|
| Atreyu Trading | VLNT | 4305 | ATRA | ✓ |  |  |
|----------------|------|------|------|---|--|--|

**Add First Trade Date, August 11, 2023**

Arete Wealth Management, LLC

PERS 0443 KAWM ✓

**Add First Trade Date, August 14, 2023**

Penserra Securities, LLC

RBCD 0235 PNSA ✓ ✓ ✓ ✓

**Add First Trade Date, August 17, 2023**

Dasta Financial, LLC

PFCL 0158 ECFI ✓

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).