



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

<b>A#:</b>	9460
<b>P&amp;S #:</b>	9033
<b>Date:</b>	07/19/2024
<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>	CLIENT ACCOUNT SERVICES
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

*Effective with the opening of business on July 23, 2024, American Funds Distributors, Inc. will change its primary account number from 5504 to 5107. As a result, the following account changes will occur:*

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

**First Trade Date, July 23, 2024:**

From: American Funds Distributors, Inc.	No.	5504
To: Capital Client Group, Inc./American Funds	No.	5504
From: American Funds Distributors, Inc./Capital International Funds	No.	5107
To: Capital Client Group, Inc.	No.	5107

- The following firms will now become a sub account of 5107 Capital Client Group, Inc., as detailed below.

**First Trade Date, July 23, 2024:**

From: American Funds Distributors, Inc.	No.	0754
To: Capital Client Group, Inc.	No.	0754
From: American Funds Distributors, Inc./Capital Bank and Trust CITS	No.	4103
To: Capital Client Group, Inc./Capital Bank and Trust CITS	No.	4103
From: American Funds Distributors, Inc./Capital Bank and Trust CITS	No.	4873
To: Capital Client Group, Inc./Capital Bank and Trust CITS II	No.	4873
From: American Funds Distributors, Inc./LC Planpremier	No.	6508
To: Capital Client Group, Inc./LC Planpremier	No.	6508
From: American Funds Distributors, Inc./Capital Bank and Trust Company	No.	8504
To: Capital Client Group, Inc./Capital Bank and Trust Company	No.	8504

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

**Last Trade Date, July 15, 2024**

Prudential Insurance Company Of America/Prudential Insurance Company Of America No. 4733

**Last Trade Date, July 19, 2024**

Calchoice Financial Inc. No. 1766

**Last Trade Date, July 23, 2024**

Foreside Fund Services, LLC/Terra Firma Funds No. 1630

- The following firm will begin participating in MF Info Xchange API services, as detailed below:

**First Trade Date, July 23, 2024**

Alliancebernstein Investment Research and Management, Inc. No. 5515

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

**First Trade Date, July 18, 2024**

Apollo S3 Ric Management, L.P. No. 1C8C

**First Trade Date, July 19, 2024**

Phoenix American Financial Services, Inc./HPI Real Estate Fund Xiv, LLC No. 1CBB

US Bancorp Fund Services LLC/Mariner Cicero CMBS Opportunities Fund, LP No. 1CBI

NAV Consulting Inc/Alpha Prosperity Fund No. 1CBL

NAV Consulting Inc/Investment Research Partners, LLC No. 1CBM

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

**First Trade Date, July 17, 2024:**

Ultimus Fund Distributors, LLC/Texas Capital No. 1231

Contact: Chris Baird

Phone: (402) 578-1072

- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

**First Trade Date, July 17, 2024:**

State Street Bank and Trust Company/Alight Solutions/J.C. Penney  
Corporation, Inc. Savings Plan Master Trust  
Contact: Brent Blake  
Phone: (617) 985-8547

No. 1520

- 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>
<b><u>Name Change, Effective First Trade Date, July 18, 2024</u></b>							
From: Lincoln Financial Securities Corporation	NFSC	0226	CHUB	✓	✓	✓	
To: Osaic FS, Inc.	NFSC	0226	CHUB	✓	✓	✓	
<b><u>Name Change, Effective First Trade Date, July 18, 2024</u></b>							
From: Lincoln Financial Advisors Corporation	NFSC	0226	LFAC	✓	✓	✓	✓
To: Osaic FA, Inc.	NFSC	0226	LFAC	✓	✓	✓	✓
<b><u>Delete Last Trade Date, July 17, 2024</u></b>							
Torc Investments and Research LLC	AFCO	0284	TORX	✓			
The Fig Group, LLC	SNEX	0750	FIGG	✓	✓		✓
First National Capital Markets	SNEX	0750	FNCM		✓	✓	
Global Credit Partners, LLC	SNEX	0750	GCPL	✓			
Hall & Romkema Financial Services, LLC	SNEX	0750	HRFS	✓	✓	✓	✓
Intl Custody & Clearing Solutions Inc.	SNEX	0750	ICCS	✓	✓	✓	✓
Arca Capital Investments, Inc.	SNEX	0750	INST		✓		
Arque Capital, Ltd.	SNEX	0750	RHPP	✓	✓	✓	✓
Watkins Financial Services, Inc.	SNEX	0750	SALT	✓			
Excelsior Equities	MIRA	1043	EXEQ	✓	✓	✓	
<b><u>Delete Last Trade Date, July 18, 2024</u></b>							
Matrix Executions LLC	CNAB	1186	MTRX	✓			
<b><u>Delete Last Trade Date, July 19, 2024</u></b>							
Securities America, Inc.	NFSC	0226	SAIN	✓	✓	✓	✓
<b><u>Add First Trade Date, July 19, 2024</u></b>							
Momentum Securities LLC	SNEX	0750	MOMS		✓	✓	

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