



Important Notice
National Securities Clearing Corporation

A#:	8899
P&S #:	8472
Date:	09/18/2020
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, September 18, 2020:

Queens Road Securities, LLC

No. 4884

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 UMB Distribution Services, LLC (#4854) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 21, 2020

UMB Distribution Services, LLC/Queen Road Funds

No. 4884

Contact: Mike Huisman

Phone: (414) 299-2242

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

Last Trade Date, September 14, 2020:

PRS International Investment Advisory Services Inc

No. 3408

Last Trade Date, September 16, 2020:

Colorado Bankers Life Insurance Company

No. 7289

Last Trade Date, September 17, 2020:

Impact Financial Systems, Inc.

No. 2599

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Non-Confidential

- The following firms will begin participation in the MF Profile service, as detailed below:

First Trade Date, September 21, 2020:

Quasar Distributors, LLC/Brookfield Investment Funds	No.	3734
Quasar Distributors, LLC/Hood River Funds	No.	6620

First Trade Date, September 22, 2020:

Quasar Distributors, LLC/Convergence Funds	No.	5406
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- The following firm will begin participation in the MF Info Xchange service, as detailed below:

First Trade Date, September 22, 2020:

ALPS Distributors, INC./CIM Funds	No.	4263
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- The following firms will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, September 18, 2020:

Northern Lights Distributors, LLC/Kensington Funds	No.	4218
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First Trade Date, September 21, 2020:

Quasar Distributors, LLC/Thompson IM Funds	No.	5557
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, September 22, 2020

NESF Investment Services, LLC/Participant Capital Legacy Fund, LP	No.	0MRD
NESF Investment Services, LLC/Participant Capital Legacy Fund Feeder, LP	No.	0MRF

First Trade Date, September 23, 2020

OPUS Fund Services (USA) LLC/Colchis RBLF Ltd.	No.	0MRH
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- The following additional number has been assigned to Foreside Distribution Services, L.P (#4967) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment Axis and ACATS Fund/SERV services, as detailed below:

First Trade Date September 18, 2020:

Foreside Distribution Services, L.P/Threadneedle Lux Contact: Gina Dello Iacono Phone: (416) 506-8009	No.	3641
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- 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>	
<u>Delete Last Trade Date, September 15, 2020</u> FCG Advisors, LLC	NFSC	0226	FCGA	✓	✓	✓	✓
<u>Delete Last Trade Date, September 18, 2020</u> Southern Trust Securities Inc.	LGNT	0052	STSE	✓	✓	✓	✓
<u>Add First Trade Date, September 17, 2020</u> AEON Capital Inc	LGNT	0052	AEON	✓	✓	✓	✓
<u>Add First Trade Date, September 18, 2020</u> LEX Markets LLC	PFCL	0158	LEXM	✓			

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