



Important Notice
National Securities Clearing Corporation

A#:	8962
P&S #:	8535
Date:	01/29/2021
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, January 29, 2021:

Allianz Global Investors Distributors LLC/#2

No. 5554

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 VP Distributors, LLC (#5517) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis, Omni/SERV Activity & Position, Global Update, MF Info Xchange, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 01, 2021

VP Distributors, LLC/AllianzGI

No. 5554

Contact: Heidi Griswold

Phone: (413) 775-6020

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

Last Trade Date, January 29, 2021:

Allianz Global Invts Dists LLC/College Access Plan

No. 5579

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 VP Distributors, LLC (#5517) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and MF Info Xchange services, as detailed below:

First Trade Date, February 01, 2021

VP Distributors, LLC/College Access Plan

No. 5579

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit <http://www.dtcc.com/rss-feeds.aspx>.

Contact: Heidi Griswold
Phone: (413) 775-6020

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

Last Trade Date, January 29, 2021

Dearborn Capital Management, LLC	No.	3425
Foreside Fund Services, LLC/Kellner Funds	No.	3644

Last Trade Date, February 01, 2021

BPU Investment Management, Inc.	No.	1413
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- The following firm will begin participation in the MF Daily Price & Rate service, as detailed below:

First Trade Date, January 27, 2021:

Invesco Distributors, Inc./Offshore Liquidity INST MMKT	No.	2836
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- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, January 28, 2021:

Principal Securities, Inc./PGI	No.	5212
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First Trade Date, February 04, 2021:

Foreside Fund Services, LLC/Pictet Funds	No.	5793
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, January 28, 2021

Phoenix American Financial Services, Inc./JLLX Villas Legacy DST	No.	0MWC
Phoenix American Financial Services, Inc./Lighthouse Life Capital, LLC	No.	0MWD
SS&C Technologies, Inc./Specialized Multifamily Partners Foreign Fund I, L.P.	No.	0MWF
SS&C Technologies, Inc./Specialized Multifamily Partners U.S. Fund I, L.P.	No.	0MWG

First Trade Date, February 02, 2021

Great Lakes Fund Solutions, Inc./Altera Investments	No.	0MWH
Great Lakes Fund Solutions, Inc./Capview Partners	No.	0MWI
Great Lakes Fund Solutions, Inc./KL Funds Management	No.	0MWJ
Great Lakes Fund Solutions, Inc./BDP Holdings	No.	0MWK
Great Lakes Fund Solutions, Inc./Gryphon Private Wealth Mgt .	No.	0MWM

- The following additional number has been assigned to SEI Investments Distribution Company (#5717) for the purpose of utilizing Fund/SERV, Networking, MF Profile, Omni/SERV Activity & Position, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:
First Trade Date, January 28, 2021:
SEI Investments Distribution Company/Kraneshares No. 2857
Contact: Stephen Connors
Phone: (610) 676-3632
- The following additional number has been assigned to Nassau Life Insurance Company (#4579) for the purpose of utilizing Insurance Processing Services, as detailed below:
First Trade Date, February 01, 2020:
Nassau Life Insurance Company/NNY Commissions No. 2676
- The following additional number has been assigned to Nassau Life and Annuity Company (#4759) for the purpose of utilizing Insurance Processing Services, as detailed below:
First Trade Date, February 01, 2020:
Nassau Life and Annuity Company/NLA Commissions No. 2702
- The following additional number has been assigned to PHL Variable Insurance Company (#4582) for the purpose of utilizing Insurance Processing Services, as detailed below:
First Trade Date, February 01, 2020:
PHL Variable Insurance Company/PHL Commissions No. 2713
- The following additional number has been assigned to American Century Investment Services, Inc.(#5646) for the purpose of utilizing Fund/SERV, Networking and MF Daily Price & Rate services, as detailed below:
First Trade Date, February 01, 2021:
American Century Investment Services, Inc./Nomura Funds Ireland PLC No. 2816
Contact: Alastair McIlwraith
Phone: +44 20 7521 1033
- The following additional number has been assigned to Capital Investment Group, Inc. (#5664) for the purpose of utilizing Fund/SERV, Networking, MF Profile, Omni/SERV Activity & Position, DTCC Payment aXis, MF Info XChange and ACATS Fund/SERV services services, as detailed below:
First Trade Date, February 01, 2021:
Capital Investment Group, Inc./Nottingham Shareholder Services LLC No. 2860
Contact: Brooke Cockrell
Phone: (800) 773-3863 Ext. 236

- 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>
<u>Clearing Broker Change, Effective First Trade Date, February 01, 2021</u>							
From: Redburn Partners (USA) LP	PFCL	0158	RDBN	✓			
To: Redburn Partners (USA) LP	PERS	0443	RDBN	✓			
<u>Delete Last Trade Date, January 26, 2021</u>							
Sagetrader, LLC	WEDB	0103	SAGW	✓			
<u>Delete Last Trade Date, January 27, 2021</u>							
Wolfe Research Securities	ECUT	0100	WOLF	✓			
<u>Delete Last Trade Date, January 29, 2021</u>							
Redburn Partners (USA) LP	PFCL	0158	RDBN		✓		✓
<u>Delete Last Trade Date, February 01, 2021</u>							
Ultralat Corporation	PERS	0443	ULAT		✓	✓	✓
<u>Add First Trade Date, January 29, 2021</u>							
Simplex Trading, LLC	PRST	0551	SIMP	✓			

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