



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

<b>A#:</b>	9313
<b>P&amp;S #:</b>	8886
<b>Date:</b>	06/16/2023
<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, June 14, 2023:**

Electronic Transaction Clearing, Inc. No. 0873  
OTC Alpha Identifier ETCC  
NYSE Alpha Identifier ETCC

*As a result, effective June 20, 2023 Apex Clearing Corporation (#0158) will assume all open contracts for Electronic Transaction Clearing, Inc. (#0873), which are to be cleared or settled through or by National Securities Clearing Corporation.*

- The following firm will begin participation in the OTC Comparison service, as detailed below:

**First Trade Date, June 13, 2023**

Santander Us Capital Markets LLC/OCC Clearing No. 3499  
OTC Alpha Identifier: SANC

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

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

Granite Hall Partners Inc. No. 16SJ  
US Bancorp Fund Services LLC/Cirrix Capital, L.P. No. 16UX  
SS&C Technologies, Inc./Obra Insurance Special Situations Fund, LP No. 16UY

**First Trade Date, June 15, 2023:**

The Northern Trust Company No. 16NP  
Wasserstein Debt Opportunities Management, LP No. 16U8

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>.

Non-Confidential

- The following additional number has been assigned to Reliance Trust Company (#4896) for the purpose of utilizing Fund/SERV, Networking and MF Daily Price & Rate services as detailed below:

**First Trade Date, March 12, 2021:**

Reliance Trust Company/Polar Capital  
 Contact: Kelly Bradford  
 Phone: (678) 274-1678

No. 3758

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

**First Trade Date, June 22, 2023:**

Talcott Resolution Life Insurance Company/FBO Guardian Insurance  
 Annuity Company

No. 3084

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

	<u>Clearing</u>		<u>Executing</u>	OTC	<u>Products</u>		UIT
	<u>Broker</u>	<u>Alpha</u>	<u>Broker</u>		<u>OTC/CMU</u>	<u>Corp</u>	
<b><u>Delete Last Trade Date, June 13, 2023</u></b>							
Volant Liquidity, LLC	SHMR	0695	BZXL	✓			
Wolverine Execution Services, LLC	SHMR	0695	WEXA	✓			
Xambala Capital, LLC	SHMR	0695	XBLA	✓			
<b><u>Delete Last Trade Date, June 14, 2023</u></b>							
Bayes Capital LLC	ETCC	0873	BAYE	✓			
Blinkbox, Ltd.	ETCC	0873	BBOX	✓			
Bardown Capital LLC	ETCC	0873	BDWN	✓			
Bayes Capital LLC	ETCC	0873	BETC	✓			
Biltmore International Corporation	ETCC	0873	BMIC	✓			
The Benchmark Company, LLC	ETCC	0873	BNCO	✓			
Coda Markets, Inc.	ETCC	0873	CODZ	✓			
Capstone Investments	ETCC	0873	CPSE	✓			
Choicetrade	ETCC	0873	CTDE	✓			
Divy Equities, Inc.	ETCC	0873	DIVY	✓			
Dinosaur Financial Group, L.L.C	ETCC	0873	DSTO	✓			
Essex Radez LLC	ETCC	0873	ERCO	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAA	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAC	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAD	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAE	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAF	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAG	✓			
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAH	✓			



Electronic Transaction Clearing, Inc.	ETCC	0873	ETDD	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDF	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDH	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDI	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDN	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDO	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDQ	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDS	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDT	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETED	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEG	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEP	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEQ	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETES	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETET	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEV	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETEX	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFC	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFD	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFE	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFF	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFG	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFH	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFI	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFK	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFP	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFR	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETFT	✓
Electronic Transaction Clearing, Inc.	ETCC	0873	ETNF	✓
Keystone Capital Corporation	ETCC	0873	KSTC	✓
Keystone Capital Corporation	ETCC	0873	KSTE	✓
Keystone Capital Corporation	ETCC	0873	KSTS	✓
Whitewood Group, Inc	ETCC	0873	LGLL	✓
Lightspeed Trading, LLC	ETCC	0873	LSTE	✓
Precision Securities, LLC	ETCC	0873	PINT	✓
Precision Securities, LLC	ETCC	0873	PRSC	✓
Quantex Clearing, LLC	ETCC	0873	QANT	✓
Quantlab Securities LP	ETCC	0873	QETC	✓
Rem Securities	ETCC	0873	RRCM	✓
Mint Global Markets, Inc.	ETCC	0873	SASG	✓
Acs Execution Services, LLC	ETCC	0873	SLWY	✓
Speedroute LLC	ETCC	0873	SPDE	✓
Sterling Trader Execution Services, Inc.	ETCC	0873	STHL	✓
Sterling Trader Execution Services, Inc.	ETCC	0873	STRL	✓
T3 Securities, Inc.	ETCC	0873	TTSI	✓
Tzero Ats, LLC	ETCC	0873	TZAT	✓
Tzero ATS, LLC	ETCC	0873	TZRA	✓

Arive Capital Markets LLC	ETCC	0873	TZRO	✓
Ustocktrade Securities, Inc.	ETCC	0873	USTA	✓
Ustocktrade Securities, Inc.	ETCC	0873	USTK	✓
Ustocktrade Securities, Inc.	ETCC	0873	USTT	✓
World-Xecution Strategies	ETCC	0873	WLDX	✓
Global Liquidity Execution Services, LLC	ETCC	0873	YKNA	✓
Great Point Capital LLC	PFCL	0158	GPCA	✓

**Delete Last Trade Date, June 16, 2023**

TJM Investments LLC	PRST	0551	TJMI	✓			
Steven L. Falk & Associates	RBCD	0235	FALK	✓	✓	✓	✓
Cummins Financial Corporation	RBCD	0235	JDCO	✓	✓	✓	✓

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

Balanced Security Planning, Inc.	RBCD	0235	BSPI	✓	✓	✓	✓
Muriel Siebert & Co., Inc.	STOX	0445	MSBT	✓			

**Add First Trade Date, June 20, 2023**

MM Global Securities, Inc.	IBKR	0534	LGLL	✓			
BDT & MSD Partners, LLC	RBCD	0235	BDTM	✓	✓	✓	✓

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