



Important Notice
National Securities Clearing Corporation

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|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|
| A#: | 9380 |
| P&S #: | 8953 |
| Date: | 01/19/2024 |
| To: | ALL PARTICIPANTS |
| Attention: | OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS |
| From: | CLIENT ACCOUNT SERVICES |
| Subject: | CHANGES IN THE LIST OF PARTICIPANTS |

The following update from Important Notice A#9379 (P&S#8952) dated January 12, 2024 has been cancelled as follows:

- The following additional number has been assigned to Pacific Life & Annuity Company (#4589) for the purpose of utilizing Fund/SERV service detailed below:

First Trade Date, February 01, 2024

Pacific Life & Annuity Company/Institutional Division No. 1134

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

First Trade Date, January 19, 2024

Igre Capital Holdings, LLC No. 18VF

Olson Urban Housing, LLC No. 18ZC

Verivest, LLC No. 196Q

First Trade Date, January 22, 2024

KKR Capital Markets LLC/KKR Credit Opportunities Portfolio No. 19CO

JSQ Administrative Services LLC/Lcg2 Industrial Fund I, LP No. 19CP

First Trade Date, January 23, 2024

Great Lakes Fund Solutions, Inc./Noble Royalties No. 19DZ

First Trade Date, January 24, 2024

Phoenix American Financial Services, Inc./Hsr Income & Value Reit 3, Inc No. 19E0

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- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, MF Profile, MF Info Xchange and ACATS Fund/SERV services as detailed below:

First Trade Date, January 22, 2024:

Foreside Fund Services, LLC/Niagara Income Opportunities Fund
 Contact: Casey Sauer
 Phone: (414) 203-9122

No. 3260

- 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, January 19, 2024</u> | | | | | | | | |
| Painter, Smith And Amberg Inc. | WRET | 0141 | GTRN | ✓ | ✓ | ✓ | ✓ | |
| <u>Add First Trade Date, January 17, 2024</u> | | | | | | | | |
| Global Financial Services, L.L.C. | PERS | 0443 | GFSI | | | ✓ | ✓ | |
| Velocity Clearing, LLC | QNTX | 0294 | VCGL | ✓ | | | | |
| Citizens Securities, Inc. | NFSC | 0226 | CISV | ✓ | | | | |
| Heim, Young & Associates, Inc. | NFSC | 0226 | HYSI | ✓ | | | | |
| Ka Associates, Inc. | NFSC | 0226 | KALA | ✓ | | | | |
| Smith, Brown & Groover, Inc. | NFSC | 0226 | SGBI | ✓ | | | | |
| Quincy Cass Associates, Incorporated | NFSC | 0226 | QCAS | ✓ | | | | |
| Sigma Financial Corporation | NFSC | 0226 | SGFC | ✓ | | | | |
| Parkland Securities, LLC | NFSC | 0226 | SMNS | ✓ | | | | |
| <u>Add First Trade Date, January 18, 2024</u> | | | | | | | | |
| G. A. Repple & Company | NFSC | 0226 | REPP | ✓ | | | | |
| Valuable Capital Securities | QNTX | 0294 | VALU | ✓ | | | | |
| <u>Add First Trade Date, January 19, 2024</u> | | | | | | | | |
| Tcbi Securities, Inc. | PERS | 0443 | TCBI | ✓ | | | | |
| U.S. Securities, Intl. Corp. | NFSC | 0226 | USIC | ✓ | | | | |
| <u>Add First Trade Date, January 22, 2024</u> | | | | | | | | |
| Popular Securities, Inc. | NFSC | 0226 | POPS | ✓ | | | | |
| ETC Brokerage Services, LLC | LGNT | 0052 | INNO | ✓ | ✓ | ✓ | ✓ | |
| International Money Management Group, Inc. | NFSC | 0226 | IMMG | ✓ | | | | |
| FMN Capital Corporation | NFSC | 0226 | FMNC | ✓ | | | | |
| <u>Add First Trade Date, April 01, 2024</u> | | | | | | | | |
| Bernstein Institutional Services LLC | SGAS | 0286 | BISE | ✓ | | | | |

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