



**Important Notice**  
The Depository Trust & Clearing Corporation

<b>A#:</b>	9695
<b>P&amp;S #:</b>	9268
<b>Date:</b>	12/12/2025
<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

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

**Last Trade Date, December 15, 2025:**

JSQ Administrative Services LLC/IAI Alpha Cogp Fund, L.P. No. 1RNR

- The following firm will begin participation in OTC Comparison, Obligation Warehouse and ACATS services, as detailed below:

**First Trade Date, December 22, 2025:**

Interchange Clearing LLC No. 3036  
OTC Alpha Identifier INCH

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

**First Trade Date, December 12, 2025:**

Formidium Corp./FCP Venture X QP LLC, Series XIV No. 1S5R  
SGGG Fund Services (U.S.) Inc/Little River Capital Partners No. 1S6T

**First Trade Date, December 15, 2025:**

UMB Fund Services, Inc./BRC Multi-Family Dislocation Fund, LP No. 1S7P  
UMB Fund Services, Inc./BRC Multi-Family Dislocation TE Feeder Fund, LP No. 1S7Q

**First Trade Date, December 16, 2025:**

Open Investment Management, LP No. 1S6R  
The Bank Of New York Mellon/Guggenheim No. 1S4Y

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**First Trade Date, December 18, 2025:**

UMB Fund Services, Inc./Sourcerock Fund LP No. 1S8M  
UMB Fund Services, Inc./Sourcerock Offshore Fund Ltd No. 1S8N

- 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 and ACATS Fund/SERV services, as detailed below:

**First Trade Date, December 15, 2025:**

Foreside Distribution Services, L.P./Concise Capital No. 0029  
Contact: Erica Rankine  
Phone: (414) 710-3034

- 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>		
<b><u>Clearing Broker Change, Effective First Trade Date, December 12, 2025</u></b>								
From: Independence Point Securities LLC	RBCD	0235	INPS		✓	✓		
To: Independence Point Securities LLC	PERS	0443	INPS		✓	✓		
<b><u>Clearing Broker Change, Effective First Trade Date, January 13, 2026:</u></b>								
From: TD Securities (USA) LLC	AFCO	0284	TDED	✓				
To: TD Securities (USA) LLC	ECUT	0100	TDED	✓				
<b><u>Delete Last Trade Date, December 09, 2025:</u></b>								
Dempsey Lord Smith, LLC	NFSC	0226	DLSI	✓	✓	✓	✓	
<b><u>Delete Last Trade Date, December 10, 2025:</u></b>								
Inter&Co Securities LLC	PFCL	0158	INTB	✓				
<b><u>Delete Last Trade Date, December 11, 2025:</u></b>								
Independence Point Securities LLC	RBCD	0235	INPS	✓			✓	
Liberty Associates, Inc.	RBCD	0235	LRBC	✓	✓	✓	✓	
<b><u>Delete Last Trade Date, December 12, 2025:</u></b>								
Drexel Hamilton, LLC	PERS	0443	DREX	✓	✓	✓	✓	
<b><u>Add First Trade Date, December 08, 2025:</u></b>								
Berthel, Fisher & Company Financial Services, Inc.	RBCD	0235	BFCF	✓	✓	✓	✓	
<b><u>Add First Trade Date, December 11, 2025:</u></b>								
DRW Execution Services, LLC	SHMR	0695	FTDE	✓				

**Add First Trade Date, December 15, 2025:**

Usmart (USA)	PFCL	0158	SMRT	✓			
Galaxy Securities, LLC	CLST	9132	GLXY		✓		✓
GTN Americas Financial Services Inc	CLST	9132	GTNC		✓		✓
Drexel Hamilton, LLC	RBCD	0235	DREX	✓	✓	✓	✓

**Add First Trade Date, December 22, 2025:**

Interchange Clearing LLC	INCH	3036	INCH	✓			
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**Add First Trade Date, January 13, 2026:**

TD Securities (USA) LLC	ECUT	0100	TDED		✓	✓	✓
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**Add First Trade Date, February 02, 2026:**

Mosaic ATS, LLC	INCA	0067	MOAT	✓			
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).