



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

<b>A#:</b>	8774
<b>P&amp;S #:</b>	8348
<b>Date:</b>	11/15/2019
<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 firms will retire from all services, as detailed below:

**Last Trade Date, November 13, 2019:**

Voyager Pacific Opportunity Fund II, LLC No. 9300

**Last Trade Date, November 15, 2019:**

Deer Creek Capital Partners, LLC No. 7294

**Last Trade Date, November 20, 2019:**

Investment Professionals, Inc. No. 6052

- The following firm will begin participation in MF Profile services, as detailed below:

**First Trade Date, November 14, 2019**

Arbor Court Capital LLC/Ancora No. 4951

- The following firm will begin participation in Omni/SERV Activity & Position services, as detailed below:

**First Trade Date, November 18, 2019**

Natixis Distribution, L.P./Natixis International Funds (Dublin) I No. 6678

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

**First Trade Date, November 14, 2019**

US Bancorp Fund Services LLC/Drug Royalties Solutions Fund LLC	No.	4413
US Bancorp Fund Services LLC/Drug Royalties Solutions Offshore Fund LLC	No.	4414

**First Trade Date, November 18, 2019**

Great Lakes Fund Solutions, Inc./Tom Sawyer Barges	No.	4421
Trident Fund Services, Inc./Insolve Global Credit Fund IV LP	No.	4422

**First Trade Date, November 19, 2019**

Michael J. Liccar & Company, LLC/TRO Investment Partners III, LLC	No.	4425
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**First Trade Date, November 20, 2019**

Aetos Alternatives Management, LP	No.	4331
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- The following additional number has been assigned Thrivent Mutual Funds (#5106) for the purpose of utilizing Fund/SERV, Networking, MF Profile and Omni/SERV Activity & Position services, as detailed below:

**First Trade Date, November 18, 2019:**

Thrivent Mutual Funds/Thrivent Series Fund	No.	4397
Contact: Kathryn Stelter		
Phone: (612) 844-4035		

- The following additional number has been assigned Principal Securities, Inc. (#5546) for the purpose of utilizing Fund/SERV, Networking, MF Profile, Omni/SERV 529 Aggregation & DTCC Payment aXis services, as detailed below:

**First Trade Date, November 18, 2019:**

Principal Securities, Inc./NM529	No.	4402
Contact: Brian Arthur		
Phone: (916) 941-4672		

- The following additional number has been assigned Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking & ACATS Fund/SERV services, as detailed below:

**First Trade Date, November 18, 2019:**

Ultimus Fund Distributors, LLC/Standpoint Funds	No.	4417
Contact: Doug Jones		
Phone: (513) 587-3408		

- 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>
<b><u>Clearing Broker Change, effective</u></b>							
<b><u>First Trade Date, November 18, 2019</u></b>							
From: Arctic Securities LLC	IBFS	0824	ARSC	✓			
To: Arctic Securities LLC	MIRA	1043	ARSC	✓			
<b><u>Clearing Broker Change, effective</u></b>							
<b><u>First Trade Date, November 18, 2019</u></b>							
From: Arctic Securities LLC	ICBC	0824	ARSC		✓		
To: Arctic Securities LLC	MIRA	1043	ARSC		✓		
<b><u>Delete Last Trade Date, November 12, 2019</u></b>							
Buck Kwasha Securities LLC	PERS	0443	XERO		✓	✓	
<b><u>Delete Last Trade Date, November 14, 2019</u></b>							
Primary Capital, LLC	VSIN	0595	JLPC	✓	✓	✓	✓
<b><u>Delete Last Trade Date, November 15, 2019</u></b>							
Rosenblatt Securities Inc.	IBFS	0824	ROSN	✓			
Baldwin ( Leigh ) & Co., L.L.C.	NFSC	0226	LEBO	✓			
<b><u>Add First Trade Date, November 12, 2019</u></b>							
American Trust Investment Services, Inc.	RBCD	0235	AMER	✓	✓	✓	✓
<b><u>Add First Trade Date, November 13, 2019</u></b>							
Pacific Century Securities, LLC	IBKR	0017	PCSG	✓			
<b><u>Add First Trade Date, November 18, 2019</u></b>							
Moneylion Securities, LLC	PFCL	0158	MLTR	✓			
Creditex Securities Corporation	ICEX	4264	VABD		✓	✓	

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