



Important Notice
National Securities Clearing Corporation

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|-------------------|---|
| A#: | 8839 |
| P&S #: | 8412 |
| Date: | 04/17/2020 |
| 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, April 21, 2020:
Pacific Global Fund, Inc. No. 4860
- The following firm will no longer participate in Fund/SERV, Networking, ACATS Fund/SERV and MF Info Xchange services, as detailed below:
Last Trade Date, April 20, 2020
Caldwell Trust Company No. 2687
- The following firm will begin participation in the MF Profile service, as detailed below:
First Trade Date, April 15, 2020
Integrity Funds Distributor, LLC No. 5657
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, April 17, 2020
Ultimus Fund Distributors, LLC/Centuar Mutual Funds No. 5337

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- The following firms will begin participation in the Networking service, as detailed below:

First Trade Date, April 20, 2020

| | | |
|--|-----|------|
| Prudential Annuities Life Assurance Corporation/SA Var Life | No. | 1314 |
| Prudential Annuities Life Assurance Corporation/SA Var Annuity | No. | 1319 |
| Pruco Life Insurance Company/SA Var Life | No. | 1338 |
| Pruco Life Insurance Company/SA Var Annuity | No. | 1339 |
| Pruco Life Insurance Company of New Jersey/SA Var Annuity | No. | 1341 |
| Pruco Life Insurance Company of New Jersey/SA Var Life | No. | 1346 |
| Prudential Insurance Company of America/SA Var Life | No. | 1388 |
| The Prudential Insurance Company of America/Hartford SA Var Life | No. | 3088 |

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

First Trade Date, April 16, 2020

| | | |
|-----------------------|-----|------|
| Waterway Capital, LLC | No. | 1331 |
|-----------------------|-----|------|

First Trade Date, April 21, 2020

| | | |
|------------------------------------|-----|------|
| Global AI Internet Freedom Fund LP | No. | 1479 |
|------------------------------------|-----|------|

First Trade Date, April 22, 2020

| | | |
|--|-----|------|
| US Bancorp Fund Services LLC/Zell Capital | No. | 1484 |
| Phoenix American Financial Services, Inc./JLLX San Marcos, DST | No. | 1490 |

- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking and MF Daily Price and Rate services, as detailed below:

First Trade Date, April 22, 2020:

| | | |
|---------------------------------|-----|------|
| Global Trust Company/CBNA-NWTDF | No. | 1318 |
| Contact: Arvind Kesireddy | | |
| Phone: (781) 970-5050 | | |

- The following additional number has been assigned to Velocity Capital LLC (#6019) for the purpose of utilizing OTC Comparison, ACATS and Obligation Warehouse services, as detailed below:

First Trade Date, April 20, 2020:

| | | |
|--|------|------|
| Velocity Capital LLC/Proprietary Account | No. | 4424 |
| OTC Alpha Identifier | VCPR | |

- 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>Delete Last Trade Date, April 15, 2020</u> Portfolio Advisors Alliance | RBCD | 0235 | PAAI | ✓ | ✓ | ✓ | ✓ |
| <u>Delete Last Trade Date, April 16, 2020</u> Ashton Young, Inc. | SWST | 0279 | MOMY | ✓ | ✓ | ✓ | ✓ |
| Meeschaert Capital Markets, Inc | SWST | 0279 | WMEI | ✓ | ✓ | ✓ | |
| <u>Delete Last Trade Date, April 17, 2020</u> Alexander Capital, L.P. | LGNT | 0052 | ACLN | ✓ | ✓ | ✓ | ✓ |
| <u>Add First Trade Date, April 16, 2020</u> Drivewealth, LLC | VLOX | 3856 | DWEL | ✓ | | | |
| <u>Add First Trade Date, April 17, 2020</u> Lime Brokerage LLC | SHMR | 0695 | LIWX | ✓ | | | |
| <u>Add First Trade Date, April 20, 2020</u> Insight Securities, Inc. | IBKR | 0017 | HORW | ✓ | | | |

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