



A#:	8884
P&S #:	8457
Date:	08/07/2020
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 AND CHANGE IN LISTING POLICY

This notice is to inform Members that NSCC is updating its client directories to include all current Members. NSCC has historically excluded certain Members from its directories at those Members' request. However, NSCC will no longer accept these requests in order to improve the transparency of its directories.

Therefore, effective August 7, 2020, the NSCC client directories that are published on our website at <https://www.dtcc.com/client-center/nscc-directories.aspx> will reflect all current Member memberships as of the date thereof. Client directories will continue to be updated monthly.

Any questions with respect to this notice can be directed to NSCCAA@dtcc.com

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/Recurrent Funds

No. 0893

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/Recurrent Funds

No. 0893

Contact: Doug Jones

Phone: (513) 587-3408

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>.

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/Armor Funds

No. 1306

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/Armor Funds

No. 1306

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/Redwood Managed Volatility Fund

No. 1365

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment aXis, Omni/SERV Activity & Position and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/Redwood Managed Volatility Fund

No. 1365

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/RESQ Funds

No. 3019

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/RESQ Funds

No. 3019

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/Newfound Funds No. 3068

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/Newfound Funds No. 3068

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/HCM Tactical Growth Fund No. 3103

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/HCM Tactical Growth Fund No. 3103

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/PCS Commodity Strategy Fund No. 3126

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/PCS Commodity Strategy Fund No. 3126

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/Counterpoint Tactical Income Fund No. 3145

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/Counterpoint Tactical Income Fund No. 3145

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/ACM Dynamic Opportunity Fund No. 3169

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/ACM Dynamic Opportunity Fund No. 3169

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, August 07, 2020:

Northern Lights Distributors, LLC/Anchor Funds No. 3247

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, MF Profile, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 10, 2020

Ultimus Fund Distributors, LLC/Anchor Funds No. 3247

Contact: Doug Jones

Phone: (513) 587-3408

- The following firm will no longer participate in the ACATS service, as detailed below:
Last Trade Date, August 13, 2020
People's Securities, Inc. No. 0220

- The following firms will begin participate in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, August 05, 2020:
Destra Capital Investments LLC No. 3739

- **First Trade Date, August 10, 2020:**
Quasar Distributors, LLC/Campbell & Company Investment Advisers LLC No. 2440

- The following firm will begin participation in NYSE Listed service, as detailed below:
First Trade Date, August 05, 2020
Axos Clearing LLC/Correspondent Flip Facilitation Account No. 1186
NYSE Alpha Identifier CNAB

- The following firm will begin participation in the MF Profile service, as detailed below:
First Trade Date, August 07, 2020
Quasar Distributors, LLC / Congress Asset Management No. 5741

- The following firms will begin participation in the MF Info Xchange service, as detailed below:
First Trade Date, August 10, 2020
Northern Trust Company/DTC No. 2669
Foreside Distribution Services, L.P./Permal Offshore FDS No. 4888
Foreside Distribution Services, L.P./Victory Funds No. 5686
Foreside Distribution Services, L.P./Cavanal Hill Funds No. 5807
Foreside Distribution Services, L.P./IRT Collective Funds No. 6614
Foreside Financial Services, LLC/Boston Trust Walden Funds No. 6622
Foreside Distribution Services, LP /Usallianz Mutual Funds No. 6628

- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, August 10, 2020
Fort Point Capital Partners LLC No. 1825

- **First Trade Date, August 12, 2020**
Trident Fund Services, Inc./Black Swift Credit Opportunity Fund, LP No. 1840
Trident Fund Services, Inc./Black Swift Partners Fund, LP No. 1842
Trident Fund Services, Inc./Black Swift Special Situations Fund, LP No. 1847
Trident Fund Services, Inc./Pro Cyclist Fund, LP No. 1852

- The following additional number has been assigned to Equitable Financial Life Insurance Company Of America (#4611) for the purpose of utilizing Insurance Products, as detailed below:

First Trade Date, August 12, 2020:

Equitable Financial Life Insurance Company Of America/Individual Annuity No. 1822

- 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>Clearing Broker Change, Effective First Trade Date, August 10, 2020</u>							
From: Marketaxess Corporation	PERS	0443	MKTX		✓	✓	✓
To: Marketaxess Corporation	MKTY	4265	MKTX		✓	✓	✓
<u>Name Change, Effective First Trade Date, August 10, 2020</u>							
From: INTL Fcstone Financial Inc.	MLCO	0161	INTL	✓			
To: Stonex Financial Inc.	MLCO	0161	INTL	✓			
From: INTL Fcstone Financial Inc.	MLCO	0161	IFCS	✓	✓	✓	✓
To: Stonex Financial Inc.	MLCO	0161	IFCS	✓	✓	✓	✓
From: INTL Fcstone Financial Inc.	PERS	0443	FCST	✓	✓		✓
To: Stonex Financial Inc.	PERS	0443	FCST	✓	✓		✓
From: INTL Fcstone Financial Inc.	SALI	0750	INTL		✓	✓	
To: Stonex Financial Inc.	SALI	0750	INTL		✓	✓	
From: INTL Fcstone Financial Inc.	SALI	0750	SALI	✓	✓	✓	✓
To: Stonex Financial Inc.	SALI	0750	SALI	✓	✓	✓	✓
From: GMP Securities, LLC	PERS	0443	MITR	✓	✓	✓	✓
To: Stonex Financial Inc.	PERS	0443	MITR	✓	✓	✓	✓
<u>Delete Last Trade Date, August 03, 2020</u>							
Michigan Securities, Inc.	NFSC	0226	MSIM		✓	✓	✓
<u>Add First Trade Date, August 04, 2020</u>							
Wallachbeth Capital LLC	LGNT	0052	WBAX	✓	✓	✓	✓
Hold Brothers Capital LLC	HBCL	0430	HOLD	✓			

Add First Trade Date, August 10, 2020

Marketaxess Corporation

MKTY

4265

MKTX



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