



Important Notice
National Securities Clearing Corporation

A#:	8794
P&S #:	8367
Date:	01/03/2020
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 firms will retire from all services, as detailed below:

Last Trade Date, January 06, 2020:

OppenheimerFunds Distributor, Inc. No. 5511

Last Trade Date, January 08, 2020:

Quasar Distributors, LLC/Samson Funds No. 3346

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

First Trade Date, January 06, 2020

Union Bank & Trust Company No. 6583

First Trade Date, January 07, 2020

Ultimus Fund Distributors, LLC/Standpoint Funds No. 4417

- The following firm will begin participation in the MF Daily Price and Rate service, as detailed below:

First Trade Date, January 07, 2020

Quasar Distributors LLC/Horizon Investments Funds No. 3614

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

First Trade Date, January 08, 2020

Northern Lights Distributors, LLC/Holbrook Income Fund No. 9455

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>.

Non-Confidential

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

First Trade Date, January 02, 2020

U.S. Bancorp Fund Services, LLC/Brenton Partners LP No. 4461

First Trade Date, January 03, 2020

Cortland Fund Services, LLC/Group RMC Master Co-Invest Parallel Blocker, L.P. No. 4459
 Cortland Fund Services, LLC/Group RMC Master Co-Invest Blocker, L.P. No. 4460

- 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>Executing Broker Name Change, Effective</u>							
<u>First Trade Date, January 06, 2020</u>							
From: Piper Jaffray & Co.	PERS	0443	PIPR	✓	✓	✓	✓
To: Piper Sandler & Co.	PERS	0443	PIPR	✓	✓	✓	✓
From: Piper Jaffray & Co.	PERS	0443	PJCX	✓			
To: Piper Sandler & Co.	PERS	0443	PJCX	✓			
From: Piper Jaffray & Co.	PERS	0443	HPWD		✓	✓	
To: Piper Sandler & Co.	PERS	0443	HPWD		✓	✓	
<u>Delete Last Trade Date, January 02, 2020</u>							
Sabadell Securities USA, Inc.	PERS	0443	SABS	✓			
Canaccord Wealth Management (USA) Inc.	PERS	0443	NRAM	✓			
Genesis Global Trading, Inc	PERS	0443	GRDK	✓			
Wiley Bros.-Aintree Capital, LLC	PERS	0443	WBRO	✓			
SF Investments, Inc.	PERS	0443	SFPS	✓			
First Western Advisors	NFSC	0226	FWAI		✓	✓	✓
E-W Investments, Inc.	NFSC	0226	EWIN		✓	✓	✓
<u>Add First Trade Date, January 02, 2020</u>							
Boustead Securities, LLC	VSIN	0595	DIGG	✓	✓	✓	✓
<u>Add First Trade Date, January 03, 2020</u>							
Hutchinson, Shockey, Erley & Co.	PERS	0443	HUTC		✓		

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