



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

<b>A#:</b>	8842
<b>P&amp;S #:</b>	8415
<b>Date:</b>	05/01/2020
<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 firm will retire from all services, as detailed below:

**Last Trade Date, April 30, 2020**

Cowen Execution Services LLC

No. 0100

*As a result of the merger of Cowen Execution Services LLC with and into Cowen and Company LLC, Cowen and Company LLC will assume all open contracts for Cowen Execution Services LLC (#0100), which are to be cleared or settled through or by National Securities Clearing Corporation.*

Consequently, Cowen and Company LLC will open the following account retaining all current services. Please note that nothing will change operationally with regards to the account.

**First Trade Date, May 1, 2020**

Cowen And Company LLC

No. 0100

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

**Last Trade Date, April 30, 2020:**

ALPS Distributors Inc./Index Funds

No. 6534

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

**First Trade Date, May 01, 2020**

Ultimus Fund Distributors, LLC/Index Funds

No. 6534

Contact: Doug Jones

Phone: (513) 587-3408

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

IFS Securities, Inc. No. 6958

**Last Trade Date, April 30, 2020:**

Securities Transfer Corporation/Emerge Funds Investments, Ltd No. 8847

- The following firm will begin participation in the Prime Broker service, as detailed below:

**First Trade Date, April 29, 2020**

Velox Clearing LLC No. 3856

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

**First Trade Date, May 01, 2020**

Ultimus Fund Distributors, LLC/Crawford Funds No. 5296

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

**First Trade Date, May 05, 2020**

NESF Investment Services, LLC No. 1368

Securities Transfer Corporation/InvestX Global Growth Equity LP No. 1516

- The following firm will begin participation in Networking and Retirement Plan Reporting services, as detailed below:

**First Trade Date, April 30, 2020**

LeafHouse Financial Advisors, LLC No. 1317

Contact: Chad Brown

Phone: (512) 582-8214

- The following firm will begin participation in Insurance Processing services, as detailed below:

**First Trade Date, May 04, 2020**

M. H. LeBlang, Inc. No. 1362

- The following additional number has been assigned to Matrix 360 Distributors, LLC (#5681) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and MF Daily Price and Rate services, as detailed below:

**First Trade Date, May 01, 2020:**

Matrix 360 Distributors, LLC/FM Investments Large Cap Focused Fund No. 1512

Contact: Ted Akins

Phone: (816) 787-0723

- 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>Executing Broker Name Change, effective</u></b>							
<b><u>First Trade Date, May 01, 2020</u></b>							
From: Cowen Execution Services LLC	ECUT	0100	ECUT	✓		✓	
To: Cowen and Company LLC	ECUT	0100	ECUT	✓		✓	
<b><u>Clearing Broker Change, effective</u></b>							
<b><u>First Trade Date, May 04, 2020</u></b>							
From: National Banc Financial Inc.	FMAF	5008	NBKT	✓			
To: National Bank of Canada Financial Inc.	PTLV	8353	NBKT	✓			
<b><u>Delete Last Trade Date, April 28, 2020</u></b>							
Advanced Equities, Inc.	LGNT	0052	ADVA	✓		✓	
Aurora Capital LLC	LGNT	0052	AURC	✓	✓	✓	✓
AX Trading, LLC	LGNT	0052	AXTN	✓			
First Standard Financial Company LLC	LGNT	0052	FSFC	✓		✓	
K.C. Ward Financial	LGNT	0052	KCWF	✓		✓	
Success Trade Securities, Inc.	LGNT	0052	STJT	✓			
Success Trade Securities, Inc.	LGNT	0052	STSS	✓			
World Trade Financial Corporation	LGNT	0052	WORL	✓		✓	
World Trade Financial Corporation	LGNT	0052	WORX	✓		✓	
<b><u>Add First Trade Date, April 28, 2020</u></b>							
LBMZ Securities, Inc.	IBKR	0017	ZACK	✓			
<b><u>Add First Trade Date, April 29, 2020</u></b>							
Aventura Securities, LLC	NFSC	0226	AVEN	✓			
<b><u>Add First Trade Date, April 30, 2020</u></b>							
Jump Trading, LLC	SHMR	0695	CBUZ	✓			
<b><u>Add First Trade Date, May 01, 2020</u></b>							
DV Securities, LLC	SHMR	0695	DVSE	✓			

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