



Important Notice
National Securities Clearing Corporation

A#:	7860
P&S #:	7430
Date:	06/20/2014
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 item is revised from Important Notice A#7854 (P&S#7424) dated June 6, 2014. The first trade date has changed from July 1, 2014 to June 23, 2014.

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, June 23, 2014:

Northern Lights Distributors, LLC/Cozad Small Cap Value Fund

No. 3067

Networking Symbol:

QQ

Contact: Mike Nielsen

Phone: (402) 896-7267

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

Last Trade Date, June 20, 2014:

Voya Investments Distributor, LLC/ING Offshore

No. 5473

Hartford Life Insurance Co/Corp Business

No. 4662

Hartford Life Insurance Co/Govt Business

No. 4663

Hartford Securities Distribution Company, Inc/RSI

No. 5919

In connection with the above account retirements, other member firms will now assume these same numbers, as detailed below:

- The following additional number has been assigned to Foreside Fund Services LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and MF - Daily Price & Rate services, as detailed below:

First Trade Date, June 23, 2014:

Foreside Fund Services LLC/ING Offshore

No. 5473

Networking Symbol:

O7

Contact: Killian Lonergan

Phone: (353) 1 603 6424

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- The following additional numbers have been assigned to Massachusetts Mutual Life Insurance Company (#4545) for the purpose of utilizing the Insurance Processing service, as detailed below:

First Trade Date, June 23, 2014:

Massachusetts Mutual Life Insurance Company/RS Plans Corporate	No.	4662
Massachusetts Mutual Life Insurance Company/RS Plans TEM & NFP	No.	4663

- The following additional number has been assigned to Massachusetts Mutual Life Insurance Company (#4545) for the purpose of utilizing the DTCC Payment aXis service, as detailed below:

First Trade Date, June 23, 2014:

Massachusetts Mutual Life Insurance Company/RS Plans Mutual Funds	No.	5919
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- The following firms will retire from all services, as detailed below:

Last Trade Date, June 20, 2014:

WorldCommodity Funds, Inc.	No.	3727
Forside Distribution Services, LP/Old Mutual Global Funds PLC	No.	5940

- The following firms will change their names only, as detailed below:

First Trade Date, June 19, 2014:

From: Frontier Trust Company	No.	2563
To: Ascensus Trust Company	No.	2563
From: Frontier Trust Company/EFC Financial Services LLC	No.	1328
To: Ascensus Trust Company/EFC Financial Services LLC	No.	1328

First Trade Date, June 23, 2014:

From: Guggenheim Funds Distributors, Inc.	No.	0526
To: Guggenheim Funds Distributors, LLC	No.	0526

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

First Trade Date, June 20, 2014:

Ceros Financial Services, Inc.	No.	5331
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- The following firm will begin participation in the ACATS service, as detailed below:

First Trade Date, June 25, 2014:

Industrial and Commercial Bank of China Financial Services LLC	No.	0388
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- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, June 30, 2014:

Forside Funds Distributors LLC /Fundvantage Trust	No.	5611
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, June 20, 2014:

SS&C Technologies, Inc.
Fourthstone LLC

No. 1670
No. 1633

- The following additional number has been assigned to ALPS Distributors Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, July 1, 2014:

ALPS Distributors Inc./Cupps Funds
Networking Symbol:
Contact: Brian Montgomery
Phone: (720) 917-0746

No. 3062
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- Please update the NSCC Directory dated June 2014 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, June 16, 2014</u>				
Chela Technology Partners, LLC	BSSC	0352	CAMM	
Castlewood Securities LLC	BSSC	0352	RFLI	
Reliant Trading	BSSC	0352	RTRS	
Spring Street Partners, LP	BSSC	0352	SSPT	
Vector Partners, LP	BSSC	0352	VCTR	
New Windsor Associates L.P.	BSSC	0352	WINS	
<u>Add First Trade Date, June 20, 2014</u>				
Cornerstone Macro LLC	MLCO	0161	CSMS	
M. E. Allison & Co., Inc.	NFSC	0226	MEAL	
<u>Add First Trade Date, July 14, 2014</u>				
W.R. Hambrecht + Co., LLC		0235	HAMR	

- Please update the NSCC Directory dated June 2014 (for OTC Executed-By List) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, June 16, 2014</u>				
Aradir Corp.	BSSC	0352	ARAD	
Chicago Board of Options Exchange/Bear Stearns	BSSC	0352	CBOH	
Specialist Clearance	BSSC	0352	SPCL	
William M. Toll	BSSC	0352	TOLL	

Delete Last Trade Date, June 18, 2014

Seidel & Shaw LLC
Lime Brokerage LLC
Redsky Financial, LLC
Wedbush Securities Inc.

PFCL	0158	DAVW
PCAP	0608	LBNE
PCAP	0608	RSFI
PCAP	0608	WMNE

Add First Trade Date, June 17, 2014

Seidel & Shaw LLC

ICBK	0388	SEID
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Add First Trade Date, June 18, 2014

WRP Investments, Inc.

SALI	0750	WRPI
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- Please update the NSCC Directory dated June 2014 (for Municipal Bond Comparison System) as detailed below:

Clearing Broker Change Effective First Trade Date, June 18, 2014

From: WRP Investments, Inc.
To: WRP Investments, Inc.

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
NFSC	0226	WRPI	
SALI	0750	WRPI	

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