



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

<b>A#:</b>	7841
<b>P&amp;S #:</b>	7411
<b>Date:</b>	05/23/2014
<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 item is revised from Important Notice A#7839 (P&S#7409) dated May 16, 2014. The First Trade Date has changed from June 13, 2014 to June 2, 2014.*

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

**First Trade Date, June 2, 2014:**

Eagle Fund Distributors, Inc. No. 5822

- The following firm will change its name only, as detailed below:

**First Trade Date, May 21, 2014:**

From: Genworth Financial Trust Company No. 5970

To: AssetMark Trust Company No. 5970

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

**First Trade Date, May 28, 2014:**

BHIL Distributors, Inc./Highland Funds No. 5979

- The following firm will begin participation in the Corporate Bond Comparison service, as detailed below:

**First Trade Date, May 29, 2014:**

ITG Inc. No. 0099

- The following firm will begin participation in the NYSE Listed service, as detailed below:

**First Trade Date, June 2, 2014:**

First Southwest Company No. 0309

NYSE Alpha Identifier: FSWC

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

**First Trade Date, May 27, 2014:**

AllianceBernstein Investments, Inc. No. 1236

**First Trade Date, May 28, 2014:**

Apro II, LLC No. 1532

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

**First Trade Date, May 27, 2014:**

Global Trust Company/IRM No. 3076  
Networking Symbol: @B  
Contact: Christopher Hulse  
Phone: (781) 970-5015

- The following additional number has been assigned to Pinnacle Investments, LLC (#4925) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

**First Trade Date, May 29, 2014:**

Pinnacle Investments LLC/PCM Funds No. 3075  
Networking Symbol: @A  
Contact: Doug Jones  
Phone: (513) 587-3408

- Please update the NSCC Directory dated May 2014 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<b><u>Clearing Broker Identifiers</u></b>		<b><u>Executing Broker Identifiers</u></b>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Clearing Broker Change Effective First Trade Date, May 23, 2014</u></b>				
From: Elevation, LLC	SALI	0750	ELEV	
To: Elevation, LLC	MLCO	0161	ELEV	
<b><u>Delete Last Trade Date, May 19, 2014</u></b>				
Pentegra Distributors, Inc.	LGNT	0052	RSDI	
Nextrend Securities, Inc.	PFCL	0158	NTNT	

- Please update the NSCC Directory dated May 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>
<b><u>Delete Last Trade Date, May 19, 2014</u></b>				
Wedbush Securities Inc.	WEDB	0103	WMBY	
Wedbush Securities Inc.	WEDB	0103	WMKO	
Havkit Corporation	LGNT	0052	HAVK	
<b><u>Delete Last Trade Date, May 21, 2014</u></b>				
H. Rivkin & Co., Inc.	LGNT	0052	HRCO	
<b><u>Add First Trade Date, May 27, 2014</u></b>				
Wolverine Execution Services, LLC	SHMR	0695	WEXA	

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