



*Important Notice*

**National Securities Clearing Corporation**

<b>A#:</b>	7758
<b>P&amp;S #:</b>	7327
<b>Date:</b>	12/20/2013
<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, December 20, 2013:**

Primevest Financial Services, Inc.

No. 0701

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

- The following firm will begin participation in the Fund/SERV, Networking, DTCC Payment aXis, MF – Profile, ACATS, ACATS Fund/SERV, Insurance Processing Services, Trade Comparison, Trade Recording, OTC Comparison, Bond Comparison, Obligation Warehouse, Envelope Settlement services, as detailed below:

**First Trade Date, December 23, 2013:**

Cetera Investment Services LLC

No. 0701

OTC/MUNI Alpha Identifier:

BANK

Networking Symbol:

BB

Contact: Kim Holweger

Phone: (320) 656-4370

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

**Last Trade Date, December 16, 2013:**

Sungard Brokerage & Securities Services LLC

No. 0442

**Last Trade Date, December 18, 2013:**

BOFA Distributors, Inc./Bank of America Global Liquidity U.S. Dollar Fund PLC

No. 1347

**Last Trade Date, December 19, 2013:**

OCTEG, LLC

No. 0341

**Last Trade Date, December 20, 2013:**

Lazard Capital Markets LLC No. 0308

**Last Trade Date, December 27, 2013:**

Managers Investment Group, LLC/Brandywine Funds No. 4978

**Last Trade Date, December 30, 2013:**

Macquarie Private Wealth Inc./CDS No. 5025

***GMP SECURITIES L.P./CDS (#5016) will assume all open contracts for Macquarie Private Wealth Inc./CDS (#5025), which are to be cleared or settled through or by National Securities Clearing Corporation.***

**Last Trade Date, December 31, 2013:**

BHIL Distributors, Inc./Lion Global Investors Limited No. 3368

- The following firm will no longer participate in the Fund/SERV, Networking, DTCC Payment aXis, MF Profile, ACATS Fund/SERV, ACATS, NYSE Listed, Trade Comparison, Trade Recording, Obligation Warehouse and Envelope Settlement services, as detailed below:

**Last Trade Date, December 16, 2013:**

Lazard Capital Markets LLC No. 0308  
NYSE Alpha Identifier: LAZ

- The following firm will no longer participate in the Trade Comparison, Trade Recording, and OTC Comparison services, as detailed below:

**Last Trade Date, December 23, 2013:**

Macquarie Private Wealth Inc./CDS No. 5010  
OTC Alpha Identifier: YKTN

- The following firms will no longer participate in the MF Daily Price & Rate service, as detailed below:

**Last Trade Date, December 23, 2013:**

Quasar Distributors, LLC/Nuance Funds No. 5369  
Quasar Distributors, LLC/Convergence Funds No. 5406

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

**First Trade Date, December 20, 2013:**

From: Northern Lights Distributors, LLC/Alternative Avenue Fund No. 7017  
To: Northern Lights Distributors, LLC/Conductor Global Fund No. 7017

**First Trade Date, December 23, 2013:**

From: Symetra Investment Services, Inc. No. 0427  
To: Signator Financial Services, Inc. No. 0427

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

**First Trade Date, January 15, 2014:**

Modern Woodmen of America No. 4760

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

**First Trade Date, December 27, 2013:**

UMB Fund Services, Inc. No. 1463

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

**First Trade Date, December 23, 2013:**

Foreside Fund Services, LLC/BP Capital Funds No. 1389

Networking Symbol: 60

Contact: Casey Sauer

Phone: (414) 299-2160

- 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, January 2, 2014:**

Global Trust Company/ACI No. 3015

Networking Symbol: 76

Contact: Christopher Hulse

Phone: (781) 970-5015

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) 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, January 2, 2014:**

ALPS Distributors, Inc./Brinker Capital Funds No. 1329

Networking Symbol: 3F

Contact: Brian Montgomery

Phone: (720) 917-0746

- Please update the NSCC Directory dated December 2013 (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>

**Delete Last Trade Date, December 18, 2013**

The Winchester Group, Inc.

NFSC	0226	WINC	
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**Add First Trade Date, December 23, 2013**

Lampert Capital Markets Inc.

WEDB	0103	LPCM	
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- Please update the NSCC Directory dated December 2013 (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, December 17, 2013</u></b>				
ABN AMRO Clearing Chicago LLC	APMA	0396	OPTA	
ABN AMRO Clearing Chicago LLC	SHMR	0695	SETA	
<b><u>Delete Last Trade Date, December 20, 2013</u></b>				
Wedbush Morgan Securities Inc.	WEDB	0103	WESG	
<b><u>Add First Trade Date, December 20, 2013</u></b>				
Investment Professionals, Inc.	PERS	0443	INPR	
<b><u>Add First Trade Date, December 24, 2013</u></b>				
Macquarie Private Wealth/CDS	GMPS	5016	YKTN	

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