



Important Notice
National Securities Clearing Corporation

A#:	7670
P&S #:	7340
Date:	01/24/2014
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 firm will retire from all services, as detailed below:

Last Trade Date, January 24, 2014:

Quasar Distributors, LLC/Teberg Fund

No. 4916

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 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, January 27, 2014:

Northern Lights Distributors, LLC/Teberg Funds

No. 4916

Networking Symbol:

M5

Contact: Mike Nielsen

Phone: (402) 896-7267

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

Last Trade Date, January 23, 2014:

Wegener Investment Trust

No. 5361

Last Trade Date, January 27, 2014:

Symetra Life Insurance Company/Symetra Mutual Funds Trust

No. 3692

- The following firm will no longer participate in the MF – Profile service, as detailed below:

Last Trade Date, January 30, 2014:

Quasar Distributors, LLC/Muhlenkamp Fund

No. 4986

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

First Trade Date, January 31, 2014:

Ultimus Fund Distributors, LLC/TFS Capital Inv Tr No. 5430

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

First Trade Date, February 3, 2014:

ALPS Distributors, Inc./Paxworld Funds No. 4940

ALPS Distributors, Inc./The Arbitrage Fund No. 5521

First Trade Date, February 5, 2014:

BHIL Distributors, Inc./Diamond Hill Funds No. 4729

- The following additional number has been assigned to SEI Investments Distribution Company (#5717) for the purpose of utilizing Fund/SERV, Networking and MF - Daily Price & Rate services as detailed below:

First Trade Date, January 23, 2014:

SEI Investments Distribution Company/The KP Funds No. 1393

Networking Symbol: OM

Contact: Jim Volk

Phone: (610) 676-3107

- 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, January 28, 2014:

Northern Lights Distributors, LLC/Teton Valley Fund No. 3027

Networking Symbol: OO

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to Matrix Capital Group, Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF - Daily Price & Rate, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 29, 2014:

Matrix Capital Group, Inc./Foundry Partners No. 3025

Networking Symbol: OX

Contact: Brandon Byrd

Phone: (816) 787-0718

- Please update the NSCC Directory dated January 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, January 22, 2014</u>				
Regal Securities, Inc.	PFCL	0158	RGLD	
State Discount Brokers Inc.	PFCL	0158	STDB	
Aaron Capital, Incorporated	PFCL	0158	AACI	
<u>Add First Trade Date, January 24, 2014</u>				
H.C. Wainwright & Co., Inc.	WEDB	0103	WAIN	

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	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change Effective First Trade Date, January 27, 2014</u>				
From: Finance 500, Inc.		0235	FINF	
To: Finance 500, Inc.	PFCL	0158	FINF	
<u>Add First Trade Date, January 22, 2014</u>				
Camden Financial Services	LGNT	0052	CMDN	
<u>Add First Trade Date, January 23, 2014</u>				
SNC Capital Management Corp.	IBKR	0017	SNCC	
Finance 500, Inc.		0235	FINF	

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	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Add First Trade Date, January 27, 2014</u>				
Finance 500, Inc.	PFCL	0158	FINF	

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