



Important Notice
National Securities Clearing Corporation

A#:	7661
P&S #:	7331
Date:	01/03/2014
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 firms will change their name only, as detailed below:

First Trade Date, January 2, 2014:

From: DWM Securities Inc./CDS No. 5039
To: Scotia Capital Inc./(DWM Securities Inc.)/CDS No. 5039

First Trade Date, January 3, 2014:

From: ALPS Distributors, Inc./Brinker Capital Funds No. 1329
To: ALPS Distributors, Inc./Crystal Strategy Funds No. 1329

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

First Trade Date, January 3, 2014:

Mid Atlantic Trust Company No. 8150

- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

First Trade Date, January 9, 2014:

Quasar Distributors, LLC/Aberdeen Offshore Funds No. 4957

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

First Trade Date, January 2, 2014:

Opus Fund Services (USA) LLC No. 1470
Opus Fund Services (USA) LLC No. 1471

First Trade Date, January 3, 2014:

Steadfast Capital Markets Group, LLC No. 1432
Steadfast Capital Markets Group, LLC No. 1464
Steadfast Capital Markets Group, LLC No. 1469

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Non-Confidential

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

First Trade Date, January 6, 2014:

ALPS Distributors, Inc./Insignia Funds

No. 3024

Networking Symbol:

GH

Contact: Brian Bishop

Phone: (720) 917-0617

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF - Daily Price & Rate and ACATS Fund/SERV services as detailed below:

First Trade Date, January 7, 2014:

Quasar Distributors, LLC/Smith Group

No. 1376

Networking Symbol:

JW

Contact: Casey Sauer

Phone: (414) 203-9122

- Please update the NSCC Directory dated December 2013 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

Clearing Broker Identifiers

Executing Broker Identifiers

Alpha

Numeric

Alpha

Numeric

Executing Broker Name Change Effective

First Trade Date, January 6, 2014

From: Braver Stern Securities LLC

To: White, Weld & Co. Securities, LLC

PERS

0443

WELD

PERS

0443

WELD

Delete Last Trade Date, January 2, 2014

Kern, Suslow Securities, Inc.

PFCL

0158

SLOW

Delete Last Trade Date, January 3, 2014

Alamo Capital

FSWC

0309

ALAM

Add First Trade Date, January 6, 2014

Alamo Capital

FSWC

0309

ALAC

- Please update the NSCC Directory dated December 2013 (for OTC Executed-By List) as detailed below:

Clearing Broker Identifiers

Executing Broker Identifiers

Alpha

Numeric

Alpha

Numeric

Delete Last Trade Date, January 2, 2014

First American Municipals, Inc

0235

FAMI

- Please update the NSCC Directory dated December 2013 (for Municipal Bond Comparison System) as detailed below:

Add First Trade Date, January 2, 2014

Tradition Asiel Securities Inc.

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
PERS	0443	TMBS	

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