



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

<b>A#:</b>	7838
<b>P&amp;S #:</b>	7408
<b>Date:</b>	05/09/2014
<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 firm will retire from all services, as detailed below:

**Last Trade Date, May 9, 2014:**

Northern Lights Distributors LLC/SouthernSun Funds

No. 6604

*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 AMG Funds LLC (#5736) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, ACATS Fund/SERV and MF - Daily Price & Rate services, as detailed below:

**First Trade Date, May 12, 2014:**

AMG Funds LLC/SouthernSun Funds

No. 6604

Networking Symbol:

5Z

Contact: Donald Rumery

Phone: (203) 299-3522

- The following firm will no longer participate in the Municipal Bond Comparison service, as detailed below:

**Last Trade Date, May 15, 2014:**

SMBC Nikko Securities America, Inc.

No. 6700

MUNI Alpha Identifier:

SUMI

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

**Last Trade Date, May 16, 2014:**

State Street Global Markets, LLC

No. 0189

- The following firm will begin participation in the ACATS service, as detailed below:  
**First Trade Date, May 8, 2014:**  
First Investors Corporation No. 5545
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:  
**First Trade Date, May 9, 2014:**  
Northern Lights Distributors, LLC/Innealta Funds No. 3795
- The following firm will begin participation in the MF – Daily Price and Rate, Networking and DTCC Payment aXis services, as detailed below:  
**First Trade Date, May 12, 2014:**  
Quasar Distributors LLC/Muzinich Offshore Funds No. 3058  
Networking Symbol: KH  
Contact: Marcella Ryan  
Phone: +353 1 776 8787
- The following firm will begin participation in Corporate Bond Comparison service, as detailed below:  
**First Trade Date, May 16, 2014:**  
ITG Inc. No. 0099
- The following firm will begin participation in the MF – Profile service, as detailed below:  
**First Trade Date, May 20, 2014:**  
Northern Lights Distributors, LLC/Anfield Funds No. 3386
- The following additional numbers have been assigned to Sun Life Assurance Company of Canada (U.S.) (#4518) for the purpose of utilizing Insurance Processing services, as detailed below:  
**First Trade Date, May 12, 2014:**  
Sun Life Assurance Company of Canada (U.S.)/Annuity (SE2) No. 3053  
Sun Life Assurance Company of Canada (U.S.)/Life (SE2) No. 3054
- The following additional numbers have been assigned to Sun Life Insurance & Annuity Company of New York (#4519) for the purpose of utilizing Insurance Processing services, as detailed below:  
**First Trade Date, May 12, 2014:**  
Sun Life Insurance & Annuity Company of New York/Annuity (SE2) No. 3055  
Sun Life Insurance & Annuity Company of New York/Life (SE2) No. 3056
- The following additional numbers have 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, May 15, 2014:**  
Northern Lights Distributors, LLC/Cane Alternative Strategies Fund No. 3066  
Networking Symbol: LG  
Contact: Mike Nielsen  
Phone: (402) 896-7267

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

Northern Lights Distributors, LLC/Newfound Funds

Networking Symbol:

Contact: Mike Nielsen

Phone: (402) 896-7267

No. 3068

US

- 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, May 19, 2014:**

Foreside Fund Services LLC/Carlyle Select Trust

Networking Symbol:

Contact: Shaun Collins

Phone: (617) 662-9816

No. 3070

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- 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>Delete Last Trade Date, May 6, 2014</u></b> Greenwich Financial Services, LLC	MLCO	0161	GFSL	
<b><u>Delete Last Trade Date, May 7, 2014</u></b> Kota Global Securities Inc.	MLCO	0161	KOTA	

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	<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>Delete Last Trade Date, May 6, 2014</u></b> Kaiser And Company Baird Patrick & Co., Inc.	PERS	0443	WYOM	
	PERS	0443	BPAT	
<b><u>Delete Last Trade Date, May 12, 2014</u></b> U.S. Financial Investments, Inc.	WEDB	0103	USFI	
<b><u>Add First Trade Date, May 6, 2014</u></b> GTS Securities, LLC Clearpool Execution Services, LLC	WEDB	0103	GTSX	
	IBFS	0824	CPEX	

**Add First Trade Date, May 7, 2014**

LXM Group	IBFS	0824	LXMG
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**Add First Trade Date, May 12, 2014**

Sovereign Global Advisors, LLC	NFSC	0226	SOVG
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- Please update the NSCC Directory dated May 2014 (for Municipal Bond Comparison System) as detailed below:

**Add First Trade Date, May 8, 2014**

Franklin Street Securities, Inc.  
 FBT Investments, Inc.  
 Highlander Capital Group, 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	FSST	
PERS	0443	FBTI	
PERS	0443	HIGH	

**Add First Trade Date, May 9, 2014**

CommunityAmerica Financial Solutions, LLC	PERS	0443	CAFS
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).