



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

<b>A#:</b>	7905
<b>P&amp;S #:</b>	7475
<b>Date:</b>	09/26/2014
<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, September 30, 2014:**

Tweedy, Browne Company LLC

No. 5488

*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, MF Profile, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, October 1, 2014:**

AMG Funds LLC/Tweedy Browne Company

No. 5488

Contact: Sean Lynch

Phone: (508) 871-3856

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

**Last Trade Date, September 29, 2014:**

Quasar Distributors, LLC/WY Funds

No. 4874

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

**Last Trade Date, September 24, 2014:**

GSECLP/Princeton Securities Group

No. 0151

NYSE Alpha Identifier

PSX

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

**Last Trade Date, September 25, 2014:**

First Brokers Securities LLC	No. 0763
OTC/MUNI Alpha Identifier:	FATS

*\*See below for additional information*
- The following firm will no longer participate in the Bond Comparison service, as detailed below:

**Last Trade Date, September 26, 2014:**

Lombard Odier Transatlantic, Limited Partnership	No. 0408
--------------------------------------------------	----------
- The following firms will change their names only, as detailed below:

**First Trade Date, September 24, 2014:**

From: M&I Distributors, LLC	No. 5352
To: BMO Investment Distributors, LLC	No. 5352
From: M&I Distributors LLC/BMO Lloyd George Frontier Markets Equity Fund	No. 1392
To: BMO Investment Distributors, LLC/ George Frontier Markets Equity Fund	No. 1392
From: M&I Distributors LLC/BMO Funds	No. 6561
To: BMO Investment Distributors, LLC/BMO Funds	No. 6561
- The following firm will begin participation in the ACATS service, as detailed below:

**First Trade Date, September 26, 2014:**

Foreside Fund Services, LLC/Turner Funds	No. 5592
------------------------------------------	----------
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

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

GAM Fund Management Ltd	No. 3605
-------------------------	----------
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, September 25, 2014:**

UMB Fund Services, Inc.	No. 2853
-------------------------	----------

**First Trade Date, October 1, 2014:**

Woodfield Fund Administration, LLC	No. 2968
------------------------------------	----------
- The following additional number has been assigned to Hartford Funds Distributors, LLC (#4856) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price and Rate services as detailed below:

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

Hartford Funds Distributors, LLC/HIMCO Variable Insurance Trust	No. 3130
-----------------------------------------------------------------	----------

Contact: Laura Quade  
Phone: (651) 738-4662

- The following additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, DTCC Payment Axis, Networking, ACATS Fund/SERV, and MF – Daily Price and Rate services as detailed below:

**First Trade Date, October 1, 2014:**

Unified Financial Securities, Inc./Spouting Rock Funds

No. 3141

Contact: Craig Glenn

Phone: (317) 964-6145

- Please update the NSCC Directory dated September 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>Executing Broker Name Change Effective First Trade Date, September 29, 2014</u></b>				
From: Sea Port Group Securities, LLC	MLCO	0161	SPGS	
To: Seaport Global Securities LLC	MLCO	0161	SPGS	
<b><u>Delete Last Trade Date, September 26, 2014</u></b>				
Curtiswood Capital, LLC	LGNT	0052	CTWD	
Blackrock Capital Markets, LLC	BSSC	0352	BRCM	
<b><u>Add First Trade Date, September 26, 2014</u></b>				
First Brokers Securities LLC	PERS	0443	FATS	
<b><u>Add First Trade Date, September 29, 2014</u></b>				
CP Capital Securities	LGNT	0052	CPCS	

- Please update the NSCC Directory dated September 2014 (for OTC Executed-By List) 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, September 26, 2014</u></b>				
From: Greenwich Prime Trading Group, LLC	SILK	0501	GPTG	
To: Greenwich Prime Trading Group, LLC	MLCO	0161	GPTG	
<b><u>Clearing Broker Change Effective First Trade Date, October 1, 2014</u></b>				
From: Puma Capital, LLC	LSCI	0512	PUMA	
To: Puma Capital, LLC	PFCL	0158	PUMA	

**Delete Last Trade Date, September 23, 2014**

NSX Securities LLC

MSCO 0050 NSXM

**Delete Last Trade Date, September 24, 2014**

NSX Securities LLC

MSCO 0050 NSXS

**Delete Last Trade Date, September 25, 2014**

TCAdvisors Network, Inc.

PERS 0443 TCAN

**Add First Trade Date, September 25, 2014**

Precision Securities, LLC

ETCC 0873 PINT

**Add First Trade Date, September 26, 2014**

Barclays Capital Inc.\*

Stoeber, Glass &amp; Company Inc.

Wall Street Access

LEHM 0229 BCDX  
PERS 0443 STOV  
IBFS 0824 WSAG**Add First Trade Date, September 29, 2014**

ConvergEx Execution Solutions LLC

ECUT 0100 CPES

**Add First Trade Date, October 15, 2014**

Conifer Securities LLC

ECUT 0100 CNFX

\* Barclays Capital Inc. (BCDX) was originally announced on September 19, 2014 with an effective First Trade Date of November 10, 2014, however, this was revised to First Trade Date September 26, 2014 as listed above.

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