



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

<b>A#:</b>	8096
<b>P&amp;S #:</b>	7671
<b>Date:</b>	10/09/2015
<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, October 9, 2015:**

BMO Capital Markets GKST Inc.

No. 2344

*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 Piper Jaffray & Co. (#0311) for the purpose of utilizing ACATS, Obligation Warehouse, and Municipal Bond Comparison services, as detailed below:

**First Trade Date, October 12, 2015:**

Piper Jaffray & Co./BMO GKST  
MUNI Alpha Identifier:

No. 2344  
GKST

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

**Last Trade Date, October 9, 2015:**

ALPS Dist, Inc./State St Institutional INV Trust

No. 6516

*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 State Street Global Markets, LLC (#5641) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, and MF – Profile services, as detailed below:

**First Trade Date, October 12, 2015:**

State Street Global Markets, LLC/State Street Institutional Investment Trust  
Contact: Antonio Pisano  
Phone: (617) 662-9773

No. 6516

- The following firm will retire from all services, as detailed below:  
**Last Trade Date, October 7, 2015:**  
SEI Investments Distribution Company/Kraneshares Trust No. 3102
- The following firm will begin participation in the MF – Profile service, as detailed below:  
**First Trade Date, October 14, 2015:**  
Advisors Clearing Network, Inc. No. 0359
- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:  
**First Trade Date, October 15, 2015:**  
Northern Lights Distributors, LLC/Atlas Funds No. 3262
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, October 8, 2015:**  
Conifer Financial Services, LLC No. 9824  
Conifer Financial Services, LLC No. 9825  
Conifer Financial Services, LLC No. 9826  
Conifer Financial Services, LLC No. 9827  
Conifer Financial Services, LLC No. 9828  
  
**First Trade Date, October 13, 2015:**  
The Bank of New York Mellon No. 9830
- Please update the NSCC Directory dated October 2015 (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, October 5, 2015</u></b>				
Aspen Equity Partners, LLC	FSWC	0309	ASPN	
Caprock Securities, Inc.	SWST	0279	CLSI	
<b><u>Delete Last Trade Date, October 13, 2015</u></b>				
Lowell & Company	FSWC	0309	LOWL	
<b><u>Add First Trade Date, October 7, 2015</u></b>				
Precision Securities, LLC	VSIN	0595	POIN	
<b><u>Add First Trade Date, October 9, 2015</u></b>				
Jane Street Execution Services, LLC	MLCO	0161	JSEB	

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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>
<b><u>Clearing Broker Change Effective First Trade Date, October 12, 2015</u></b>				
From: Olivetree USA, LLC	PERS	0443	OTUS	
To: Olivetree USA, LLC	IBFS	0824	OTUS	
<b><u>Delete Last Trade Date, October 5, 2015</u></b>				
O'Brien & Shepard, Inc.	SWST	0279	OBSH	
Perkins Smart & Boyd, Inc.	FSWC	0309	PERK	
<b><u>Delete Last Trade Date, October 7, 2015</u></b>				
Halcyon Cabot Partners, Ltd.	LGNT	0052	HCBD	

- Please update the NSCC Directory dated October 2015 (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>
<b><u>Clearing Broker Change Effective First Trade Date, October 14, 2015</u></b>				
From: MetLife Securities, Inc.	PERS	0443	MSII	
To: MetLife Securities, Inc.	NFSC	0226	MSII	
<b><u>Delete Last Trade Date, October 6, 2015</u></b>				
Git Investment Services, Inc.	NFSC	0226	GIMM	
Pennaluna & Company	NFSC	0226	PENA	
<b><u>Delete Last Trade Date, October 9, 2015</u></b>				
ED&F Man Capital Markets Inc.	ICBK	0388	EDFC	
Vega-Chi US Limited	PERS	0443	VEGA	
<b><u>Add First Trade Date, October 14, 2015</u></b>				
Papamarkou Wellner & Co., Inc.	PERS	0443	PAPA	

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