



Important Notice
National Securities Clearing Corporation

| | |
|-------------------|---|
| A#: | 8160 |
| P&S #: | 7735 |
| Date: | 02/05/2016 |
| 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, February 5, 2016:

Burnham Securities Inc.

No. 5583

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 Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF – Profile, and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 8, 2016:

Foreside Fund Services, LLC/Burnham Securities Inc.

No. 5583

Contact: Ryan Nummela

Phone: (508) 871-9224

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

Last Trade Date, February 9, 2016:

American United Life Insurance Company/COM Test

No. 1364

Last Trade Date, February 10, 2016:

Northern Lights Distributors, LLC/CLA Strategic Allocation Fund

No. 3188

Last Trade Date, February 17, 2016:

Foreside Fund Services, LLC/Arden Investment Series Trust

No. 3398

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

Last Trade Date, February 5, 2016:

Jones Gable & Company Limited/CDS No. 5070
 OTC Alpha Identifier: JNGF

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

Last Trade Date, February 8, 2016:

Octagon Capital Corp./CDS No. 5042
 OTC Alpha Identifier: OTGN

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

First Trade Date, February 3, 2016:

Safra Securities LLC No. 8457

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

First Trade Date, February 9, 2016:

CNL Capital Markets Corp No. 9304
 CNL Capital Markets Corp No. 9305
 CNL Capital Markets Corp No. 9306
 CNL Capital Markets Corp No. 9307

First Trade Date, February 11, 2016:

SmartStop Asset Management, LLC No. 9841

- Please update the NSCC Directory dated February 2016 (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> |

Clearing Broker Change Effective First Trade Date, February 8, 2016

| | | | |
|-------------------------------------|------|------|------|
| From: Hardcastle Trading USA L.L.C. | SILK | 0501 | HCTA |
| To: Hardcastle Trading USA L.L.C. | GSCO | 0005 | HCTA |

Delete Last Trade Date, February 1, 2016

| | | | |
|------------------------------|------|------|------|
| Guggenheim Securities, LLC | BSSC | 0352 | GUGG |
| Concept Capital Markets, LLC | BSSC | 0352 | CCCM |
| Merlin Securities, LLC | BSSC | 0352 | MERL |

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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, February 2, 2016</u> Jane Street Capital LLC | BSSC | 0352 | JSJX | |

- Please update the NSCC Directory dated February 2016 (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, February 2, 2016</u> Steelpoint Securities, LLC | NFSC | 0226 | SHIV | |
| <u>Delete Last Trade Date, February 5, 2016</u> Dillon Gage Securities Inc. | SWST | 0279 | DILG | |

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