



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

<b>A#:</b>	7668
<b>P&amp;S #:</b>	7338
<b>Date:</b>	01/17/2014
<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 firms will retire from all services, as detailed below:

**Last Trade Date, January 17, 2014:**

Rafferty Capital Markets, LLC/Archer Funds	No.	5124
Unified Financial Securities, Inc./Geier Funds	No.	5294
Unified Financial Securities, Inc./Longview Family Of Funds	No.	3731
Unified Financial Securities, Inc./Team Financial	No.	5408
Unified Financial Securities, Inc./MCM Funds	No.	7048

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

**Last Trade Date, January 22, 2014:**

Regions Bank	No.	6760
MUNI Alpha Identifier:	FATN	

- The following firms will change their names only, as detailed below:

**First Trade Date, January 21, 2014:**

From: ALPS Distributors Inc/Drexel Hamilton Funds	No.	5455
To: ALPS Distributors Inc./Centre Funds	No.	5455
From: First Tennessee Brokerage, Inc.	No.	0192
To: FTB Advisors, Inc.	No.	0192

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

From: Northern Lights Distributors, LLC/Navigator Equity Hedged Fund	No.	5394
To: Northern Lights Distributors, LLC/Navigator Funds	No.	5394

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From: Northern Lights Distributors, LLC/TTwelve Balanced Fund	No.	5604
To: Northern Lights Distributors, LLC/TTwelve Balanced Portfolio	No.	5604
From: Northern Lights Distributors, LLC/Bluerock Total Income + Real Estate Fund	No.	3387
To: Northern Lights Distributors, LLC/Total Income + Real Estate Fund	No.	3387
From: Northern Lights Distributors, LLC/Copeland Risk Managed Dividend Growth Fund	No.	5395
To: Northern Lights Distributors, LLC/Copeland Funds	No.	5395
From: Northern Lights Distributors, LLC/North Star Opportunity Fund	No.	3783
To: Northern Lights Distributors, LLC/North Star Funds	No.	3783
From: Northern Lights Distributors, LLC/SCA Funds	No.	5396
To: Northern Lights Distributors, LLC/Granite Harbor Funds	No.	5396
From: Northern Lights Distributors, LLC/BTS Bond Asset Allocation Fund	No.	5401
To: Northern Lights Distributors, LLC/BTS Funds	No.	5401

- The following firm will begin participation in the MF Daily Price & Rate service, as detailed below:

**First Trade Date, January 16, 2014:**

Quasar Distributors, LLC/Collins Capital Funds	No.	3306
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- The following participant of the Depository Trust Company will begin participation in the ACATS service as detailed below:

**First Trade Date, January 21, 2014:**

Pensco Trust Company	No.	5998
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- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

**First Trade Date, January 22, 2014:**

SunAmerica Capital Services, Inc.	No.	5718
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- The following firm will begin participation in the NYSE Listed service, as detailed below:

**First Trade Date, January 27, 2014:**

Industrial and Commercial Bank of China Financial Services LLC/Equity Clearance	No.	0824
NYSE Alpha Identifier:		IBF

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

**First Trade Date, January 16, 2014:**

Realty Capital Securities, LLC	No.	1476
Realty Capital Securities, LLC	No.	1478
MAM Global Financial Services LLC	No.	1205

**First Trade Date, January 17, 2014:**

LaSalle Investment Management, Inc.	No.	1461
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- The following Data Services Only member will begin participation in the Networking, Omni/SERV Activity & Position and Omni/SERV 529 Aggregation services, as detailed below:

**First Trade Date, January 17, 2014:**

Delta Data Software, Inc.

No. 6945

Networking Symbol:

LU

Contact: Kem Hutchinson

Phone: (706) 324-0855 x184

- Please update the NSCC Directory dated January 2014 (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, January 22, 2014**

From: Finance 500, Inc.

PFCL 0158

FANC

To: Finance 500, Inc.

LGNT 0052

FANC

**Delete Last Trade Date, January 15, 2014**

Guzman & Co.

SILK 0501

GUZM

Kellogg Capital Markets LLC

SILK 0501

KEGG

First New York Securities L.L.C.

SILK 0501

MPFG

Rothschild Lieberman LTD

SILK 0501

RSEC

**Add First Trade Date, January 21, 2014**

WNJ Capital, Inc

FSWC 0309

WNJC

Western International Securities, Inc.

WEDB 0103

WISW

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

**Clearing Broker Change Effective First Trade Date, January 24, 2014**

From: Emerging Growth Equities, Ltd.

NFSC 0226

EGRO

To: Emerging Growth Equities, Ltd.

ECUT 0100

EGRO

**Delete Last Trade Date, January 15, 2014**

Alaris Trading Partners, LLC	SILK	0501	DDAY
Kyte Securities LLC	SILK	0501	KYTS
Lime Brokerage LLC	SILK	0501	LBEQ
Lightspeed Trading LLC	SILK	0501	LSPG
Mogavero, Lee & Co., Inc.	SILK	0501	MOGA
NYFIX Transaction Services, Inc.	SILK	0501	NYTS
Optionshouse, Inc.	SILK	0501	OPHS
Kellogg Capital Group LLC	SILK	0501	PERF
RBC Capital Markets Corporation	SILK	0501	RBDA
Tradelink Securities, LLC	SILK	0501	TRTR
Witenberg Investment Companies, Inc.	SILK	0501	WITE
WSA Fixed Income, LLC	SILK	0501	WSAX
Newoak Capital Markets LLC	PERS	0443	NEWO
Capital Investment Services, Inc.	PERS	0443	CISE

**Delete Last Trade Date, January 17, 2014**

Woodlawn Advisors LLC	PFCL	0158	WDLN
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**Add First Trade Date, January 17, 2014**

Electronic Transaction Clearing, Inc.	ETCC	0873	ETBZ
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**Add First Trade Date, January 21, 2014**

Weeden Prime Services, LLC.	IBFS	0824	WPSX
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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

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

Emerging Growth Equities, Ltd.	NFSC	0226	EGRO
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**Add First Trade Date, January 17, 2014**

Headlands Global Markets, LLC	PERS	0443	HEAD
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).