DTCC | *Important Notice*
National Securities Clearing Corporation

A#:	a7673
P&S #:	7343
Date:	01/31/2014
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 begin participation in the MF - Daily Price & Rate service, as detailed below:
  First Trade Date, February 3, 2014:
  Frank Funds No. 6671

- The following firm will begin participation in Municipal Comparison Only, as detailed below:
  First Trade Date, January 31, 2014:
  Arbor Research & Trading, LLC No. 6783
  Muni Alpha Identifier: CLRT

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV service as detailed below:
  First Trade Date, February 5, 2014:
  Quasar Distributors, LLC/Shenkman Offshore Funds No. 7059

- Please update the NSCC Directory dated January 2014 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	Clearing Broker Identifiers		**Executing Broker Identifiers**	
	Alpha	Numeric	Alpha	Numeric
Executing Broker Name Change Effective First Trade Date, February 3, 2014				
From: JVB Financial Group	PERS	0443	JVBG	
To: J.V.B. Financial Group LLC	PERS	0443	JVBG	

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Delete Last Trade Date, January 31, 2014			
Terminus Securities, LLC	FSWC	0309	TRMS
Delete Last Trade Date, February 3, 2014			
The Princeridge Group LLC	PERS	0443	PRCO

- Please update the NSCC Directory dated January 2014 (for OTC Executed-By List) as detailed below:

	Clearing Broker Identifiers		Executing Broker Identifiers	
	Alpha	Numeric	Alpha	Numeric
Executing Broker Name Change Effective First Trade Date, January 29, 2014				
From: Point Capital Markets, Inc.	PERS	0443	PTCM	
To: CAVU Securities LLC.	PERS	0443	PTCM	
Clearing Broker and Executing Broker Name Change Effective First Trade Date, January 31, 2014				
From: Regis Securities Corporation		0235	QSEC	
To: Quad Securities LLC	PRST	0551	QSEC	
Delete Last Trade Date, January 27, 2014				
BPU Investment Management Inc.	PERS	0443	BZPI	
Delete Last Trade Date, January 28, 2014				
Viewtrade Securities, Inc.	IBFS	0824	VIEW	
Delete Last Trade Date, January 29, 2014				
Ward's Financial Services, Ltd.		0235	WARF	
Delete Last Trade Date, January 31, 2014				
Florida Investments Advisors	PERS	0443	FIAF	
M.R. Beal & Company	PERS	0443	BEAL	
Parker (S.C.) & Co., Inc.	PERS	0443	PARK	
Delete Last Trade Date, February 3, 2014				
Wedbush Securities Inc.	WEDB	0103	WMCH	
Add First Trade Date, January 30, 2014				
Broadband Capital Management, LLC	WEDB	0103	BAND	
Lime Brokerage LLC	WEDB	0103	LITE	
Citic Securities International USA, LLC	IBFS	0824	CSIS	
Electronic Transaction Clearing, Inc.	ETCC	0873	ETBQ	

Add First Trade Date, January 31, 2014

Bayes Capital LLC	LSCI	0512	BAYY
Instinet, LLC	INCA	0067	INBA

- Please update the NSCC Directory dated January 2014 (for Municipal Bond Comparison System) as detailed below:

	Clearing Broker Identifiers		Executing Broker Identifiers	
	Alpha	Numeric	Alpha	Numeric
Delete Last Trade Date, January 30, 2014				
Regis Securities Corporation		0235	QSEC	

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