



Important Notice
National Securities Clearing Corporation

A#:	7912
P&S #:	7482
Date:	10/10/2014
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 retire from all services, as detailed below:

Last Trade Date, October 10, 2014:

BNP Paribas Securities Corp./Henderson Horizon Funds

No. 5866

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 Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, October 13, 2014:

Quasar Distributors LLC/Henderson Horizon Offshore Funds

No. 5866

Contact: Pierre-Henri Dier

Phone: (352) 2605-6010

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

Last Trade Date, October 31, 2014:

Northern Lights Distributors, LLC/Resource Real Estate Funds

No. 7047

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 ALPS Distributors Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 3, 2014:

ALPS Distributors Inc./Resource Real Estate Diversified Income Fund

No. 7047

Contact: Cory Boese

Phone: (816) 843 4005

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

Last Trade Date, October 9, 2014:

KBR Capital Partners LLC

No. 1861

- The following firm will change its name only, as detailed below:

First Trade Date, October 13, 2014:

From: Pierpont Securities LLC

No. 0413

To: Amherst Pierpont Securities LLC

No. 0413

- The following firm will begin participation in the Networking service, as detailed below:

First Trade Date, October 9, 2014:

Questar Capital Corp./Secondary

No. 0527

Contact: Alex Ayaz

Phone: (763)765-6173

- Please update the NSCC Directory dated October 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

Delete Last Trade Date, October 8, 2014

Ascendant Capital Markets, LLC

WEDB

0103

ASCT

Add First Trade Date, October 10, 2014

Cape Securities, Inc.

SWST

0279

KAPE

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

Clearing Broker Identifiers

Executing Broker Identifiers

Alpha

Numeric

Alpha

Numeric

Delete Last Trade Date, October 6, 2014

Stifel Nicolaus Canada Inc.

FMAF

5008

SFCN

Delete Last Trade Date, October 8, 2014

Lime Brokerage LLC.

SHMR

0695

LIFC

Add First Trade Date, October 13, 2014

Precision Securities, LLC

WEDB

0103

CNTR

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