



Important Notice
National Securities Clearing Corporation

A#:	7914
P&S #:	7489
Date:	10/17/2014
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 no longer participate in the Fund/SERV, Networking and MF Profile services, as detailed below:

Last Trade Date, October 15, 2014:

Commonwealth Annuity & Life Insurance Company/First Allmerica Life Insurance Company No. 3111

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

First Trade Date, October 17, 2014:

Northern Lights Distributors, LLC/Armor Funds No. 1306

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

First Trade Date, October 21, 2014:

Northern Lights Distributors, LLC/Newfound Funds No. 3068

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

First Trade Date, October 27, 2014:

Northern Lights Distributors, LLC/GL Beyond Income Fund No. 3301

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

First Trade Date, October 17, 2014:

UMB Fund Services, Inc. No. 3132

First Trade Date, October 21, 2014:

UMB Fund Services, Inc. No. 3134

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit <http://www.dtcc.com/rss-feeds.aspx>.

Non-Confidential

- The following additional number has been assigned to William Blair & Company LLC (#5538) for the purpose of utilizing Fund/SERV, DTCC Payment Axis, Networking and ACATS Fund/SERV services as detailed below:

First Trade Date, October 22, 2014:

William Blair & Company LLC/William Blair Investment Funds No. 3131
 Contact: Casey Sauer
 Phone: (414) 203-9122

- The following additional numbers have been assigned to The Northern Trust Company (#6625) for the purpose of utilizing Fund/SERV, Networking and MF Profile services, as detailed below:

First Trade Date, October 31, 2014:

The Northern Trust Company/GreatBanc Collective Investment Trust IV No. 3142
 Contact: Jamie Jones-Ezefili
 Phone: (312) 444-4972

First Trade Date, October 31, 2014:

The Northern Trust Company/Sub-Advised Collective Funds Trust - Pzena No. 3147
 Contact: Jamie Jones-Ezefili
 Phone: (312) 444-4972

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, ACATS Fund/SERV, DTCC Payment aXis and Networking services, as detailed below:

First Trade Date, November 3, 2014:

Quasar Distributors LLC/Vivaldi Funds No. 3124
 Contact: Casey Sauer
 Phone: (414) 203-9122

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, ACATS Fund/SERV, DTCC Payment aXis and Networking services, as detailed below:

First Trade Date, November 3, 2014:

Northern Lights Distributors, LLC/Counterpoint Tactical Income Fund No. 3145
 Contact: Mike Nielsen
 Phone: (402) 896-7267

- Please update the NSCC Directory dated October 2014 (for OTC Executed-By List) 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>

Executing Broker Name Change Effective First Trade Date, October 20, 2014

From: Pierpont Securities LLC	PERS	0443	PPSL
To: Amherst Pierpont Securities LLC	PERS	0443	PPSL

Clearing Broker Change Effective First Trade Date, November 3, 2014

From: BOE Securities Inc.
To: BOE Securities Inc.

MLCO	0161	BOSE
ITGI	0099	BOSE

Delete Last Trade Date, October 16, 2014

Mismi, Inc.

ETCC	0873	MISM
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Add First Trade Date, October 14, 2014

Siebert, Brandford, Shank & Co., L.L.C.

NFSC	0226	SBSC
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Add First Trade Date, October 20, 2014

Bayes Capital LLC
Electronic Transaction Clearing, Inc.

ETCC	0873	BETC
ETCC	0873	ETBR

Add First Trade Date, October 22, 2014

China Renaissance Securities (US) Inc.

IBFS	0824	CRUS
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- Please update the NSCC Directory dated October 2014 (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>

Delete Last Trade Date, October 15, 2014

CP Capital Securities

NFSC	0226	CPCG
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Delete Last Trade Date, October 31, 2014

BOE Securities Inc.

MLCO	0161	BOSE
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.