



Important Notice
National Securities Clearing Corporation

A#:	7916
P&S #:	7491
Date:	10/24/2014
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 firms will retire from all services, as detailed below:

Last Trade Date, October 24, 2014:

AloStar Bank Of Commerce
MUNI Alpha Identifier:

No. 6776
ASBC

Last Trade Date, October 27, 2014:

JHW Financial Services, Inc.

No. 6943

Last Trade Date, October 28, 2014:

Quasar Distributors, LLC/USFS Funds

No. 3363

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

Last Trade Date, October 31, 2014:

Lazard Asset Management Securities LLC/Lazard Global Active Funds

No. 5417

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

First Trade Date, October 28, 2014:

VP Distributors, LLC/Virtus Global Funds PLC

No. 3766

First Trade Date, October 30, 2014:

Northern Lights Distributors, LLC/Grant Park Managed Futures Strategy Fund

No. 5615

- The following firm will begin participation in the Invoicing and Fee Settlement: 12B-1 service, as detailed below:

First Trade Date, November 3, 2014:

Edward D. Jones & Co.

No. 0057

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Non-Confidential

- 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, Networking, and MF Profile services, as detailed below:

First Trade Date, October 31, 2014:

Quasar Distributors LLC/Angel Oak Funds
 Contact: Casey Sauer
 Phone: (414) 203-9122

No. 3117

- The following additional number has been assigned to ALPS Distributors Inc. (#5642) for the purpose of utilizing Fund/SERV, ACATS, ACATS Fund/SERV, DTCC Payment aXis, Networking, and MF Profile services, as detailed below:

First Trade Date, November 3, 2014:

ALPS Distributors Inc./1290 Funds
 Contact: Patricia Cox
 Phone: (404) 760-2407

No. 3144

- 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>
<u>Executing Broker Name Change Effective First Trade Date, October 22, 2014</u>				
From: Wolfe Trahan Securities	ECUT	0100	WOLF	
To: Wolfe Research Securities	ECUT	0100	WOLF	
<u>Delete Last Trade Date, October 20, 2014</u>				
Madison Capital Markets, Inc.	BPBI	2154	EQUI	
<u>Delete Last Trade Date, October 22, 2014</u>				
Tripleshot	PERS	0443	TSBX	
<u>Delete Last Trade Date, October 23, 2014</u>				
SMF Trading, Inc.	IBFS	0824	WLDX	
<u>Add First Trade Date, October 22, 2014</u>				
IFS Securities, Inc.	ECUT	0100	IFSG	
<u>Add First Trade Date, October 24, 2014</u>				
Barclays Capital Inc.	PERS	0443	BWEL	
<u>Add First Trade Date, November 12, 2014</u>				
Cape Securities, Inc.	SWST	0279	CAPE	

- 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>
<u>Clearing Broker Change Effective First Trade Date, November 12, 2014</u>				
From: Cape Securities, Inc.	NFSC	0226	CAPE	
To: Cape Securities, Inc.	SWST	0279	CAPE	

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