



*Important Notice*  
**National Securities Clearing Corporation - OTC**

**OTC #:** 220  
**DATE:** NOVEMBER 13, 2014  
**TO:** ALL PARTICIPANTS - OTC COMPARISON SYSTEM CASHIER, MANAGER REORGANIZATION  
**ATTENTION:** OPERATIONS PARTNER/OFFICER, MANAGER P&S DEPT. CASHIER, MANAGER REORGANIZATION, GLOSSARY DEPT UPDATES TO THE LIST OF OTC CLEARED SECURITIES  
**FROM:** UNDERWRITING  
**SUBJECT:** UPDATES TO THE LIST OF OTC CLEARED SECURITIES

**THIS NSCC OTC IMPORTANT NOTICE IS NOW AVAILABLE ON THE NSCC WEB SITE. THE WEB SITE WWW.DTCC.COM IS PASSWORD PROTECTED AND IS OPEN TO ALL FULL-SETTLING MEMBERS OR OTHER NSCC PARTICIPANTS. FIRMS THAT WANT ACCESS TO THE NOTICES OF CHANGES TO THE LIST OF OTC CLEARED SECURITIES SHOULD CALL THEIR NSCC ACCOUNT MANAGER AT 800-422-0582 TO OBTAIN THE APPROPRIATE INFORMATION FOR ACCESS.**

<b>Update</b>	<b>Cusip No</b>	<b>Symbol</b>	<b>Name</b>	<b>Effective Date</b>
<b>ADD</b>				
ADD ***	J09240102	DCHKF	DAIICHI CHUO KISEN KAISHA ORDINARY SHARES (JAPAN)	11/13/2014
ADD ***	P6799C108	MLSTF	MILLS ESTRUTURAS E SERVICOS DE ENGENHARIA SA RIO DE JANEIRO	11/13/2014
ADD ***	Y49749107	KWLDF	KOWLOON DEVELOPMENT CO LTD ORDINARY SHARES (HONG KONG)	11/13/2014
ADD	14066L105	CAPN	CAPNIA INC COMMON STOCK	11/13/2014
ADD	14066L113	CAPNW	CAPNIA INC SERIES A WT EX 02/01/2019	11/13/2014
ADD	33939L761	SKOR	FLEXSHARES TR CREDIT SCORED US CORP BD INDEX FD (MD)	11/13/2014
ADD	44051R114	HZTVF	HORIZONS ACTIVE US FLTG RT BD USD ETF UNIT CLASS E (CANADA)	11/13/2014
ADD	46263M106	IPPQF	IPLAYCO CORP. LTD. ORDINARY SHARES (CANADA)	11/13/2014
ADD	69354M108	PRAH	PRA HEALTH SCIENCES INC COMMON STOCK	11/13/2014
ADD	83084J103	SKYS	SKY SOLAR HOLDINGS, LTD AMERICAN DEPOSITARY RECEIPT	11/13/2014

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Non-Confidential

**DELETE**

DELETE 682878103 ONTG ONTARGET360 GROUP INC COM STK (DE) 11/13/2014

**SYMBOL CHANGES**

376546305 GDVPP TO: GAINO GLADSTONE INVESTMENT CORP 11/13/2014  
CUMULATIVE TERM PFD SERIES B  
38074Y106 XFMYD TO: GDSR GOLD STAR NORTH AMERICAN MINING, 11/13/2014  
INC. COMMON STOCK  
480901404 JODRD TO: JODRF JOURDAN RES INC NEW COMMON SHARES 11/13/2014  
(CANADA)  
69841H100 PNLTQ TO: PNLT PANELTECH INTERNATIONAL HOLDINGS 11/13/2014  
INC COM STK (DE)  
705016103 EGCTD TO: PTSS PEARTRACK SECURITY SYSTEMS, INC. 11/13/2014  
COMMON STOCK

**REORGANIZATION**

DELETE 44052D205 HZUVF HORIZONS US BLACK SWAN ETF CLS E UIT  
(CDA)  
ADD 44052G208 HZUVF HORIZONS US EQUITY MANAGED RISK 11/13/2014  
ETF CLASS E UNIT (CANADA)

**NAME CHANGE**

DELETE 652526203 NEWT NEWTEK BUSINESS SERVICES, INC.  
ADD 652526203 NEWT NEWTEK BUSINESS SERVICES, CORP 11/13/2014  
COMMON STOCK (MARYLAND)

\* 19C-3 Security rule

\*\*\* Foreign Netting Security

**ALL INQUIRIES SHOULD BE DIRECTED TO NSCC'S MAILBOX AT: [smd\\_notices@dtcc.com](mailto:smd_notices@dtcc.com)**