



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	7930
<b>P&amp;S #:</b>	7505
<b>Date:</b>	11/14/2014
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, November 14, 2014:**

MML Investors Services, LLC/MML Distributors LLC No. 7975

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

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

**First Trade Date, November 17 2014:**

MML Distributors, LLC No. 7975

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

**Last Trade Date, November 14, 2014:**

MML Investors Services, LLC/MMLD SMF-PL No. 7980

MML Investors Services, LLC/MMLD FMT Preferred No. 7982

MML Investors Services, LLC/MMLD PE No. 7983

MML Investors Services, LLC/MMLD Additional Revenue No. 7984

MML Investors Services, LLC/MMLD Legacy SA No. 7987

MML Investors Services, LLC/MMLD Aviator No. 7989

*In connection with the above account retirements, other member firms will now assume these same numbers, as detailed below:*

- The following additional numbers have been assigned to MML Distributors, LLC (#7975) for the purpose of utilizing the DTCC Payment aXis service, as detailed below:

**First Trade Date, November 17 2014:**

MML Distributors, LLC/SMF-PL No. 7980

MML Distributors, LLC/FMT Preferred No. 7982

MML Distributors, LLC/PE No. 7983

MML Distributors, LLC/Additional Revenue No. 7984

MML Distributors, LLC/Legacy SA No. 7987

MML Distributors, LLC/Aviator No. 7989

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

**Last Trade Date, November 21, 2014:**

Quasar Distributors, LLC/Smead Value Fund No. 6686

*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, ACATS and ACATS Fund/SERV services, as detailed below:

**First Trade Date, November 24 2014:**

ALPS Distributors, Inc./Smead Fund No. 6686

Contact: Cole Smead

Phone: (206) 838 9854

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

**Last Trade Date, November 18, 2014:**

BNP Paribas Securities Corp./Lion Global Investors No. 3604

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

**Last Trade Date, November 13, 2014:**

MetLife Securities, Inc. No. 0484

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

**First Trade Date, November 17, 2014:**

John Hancock Funds, LLC No. 5582

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

**First Trade Date, December 1, 2014:**

Thrivent Mutual Funds No. 5106

- The following additional number has been assigned to Matrix Capital Group, Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking, MF - Daily Price and Rate and ACATS Fund/SERV services as detailed below:

**First Trade Date, November 20, 2014:**

Matrix Capital Group, Inc./Snow Capital Funds No. 3159

Contact: Ted Akins

Phone: (816) 787-0723

- Please update the NSCC Directory dated November 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>
<b><u>Clearing Broker Change Effective First Trade Date, December 8, 2014</u></b>				
From: Emerging Growth Equities, Ltd.	ECUT	0100	EGRO	
To: Emerging Growth Equities, Ltd.	ITGI	0099	EGRO	
<b><u>Delete Last Trade Date, November 14, 2014</u></b>				
Wedbush Securities Inc.	APMA	0396	WABN	
<b><u>Delete Last Trade Date, November 17, 2014</u></b>				
Pragma Securities LLC	MLCO	0161	PRAG	
<b><u>Add First Trade Date, November 12, 2014</u></b>				
Dinosaur Securities, L.L.C.	ETCC	0873	DINO	

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).