



Important Notice
National Securities Clearing Corporation

A#:	7939
P&S #:	7514
Date:	11/28/2014
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, November 24, 2014:

Resource Horizons Group, L.L.C. No. 0676

Last Trade Date, November 28, 2014:

Quasar Distributors LLC/Vivaldi Funds No. 3124

Foreside Funds Distributors LLC/Perimeter Capital Management of the RBB Fund, Inc. No. 5416

- The following firm will no longer participate in the Trade Comparison, Trade Recording and Envelope Settlement services, as detailed below:

Last Trade Date, November 28, 2014:

MacDougall, MacDougall & Mactier Inc./CDS No. 5022

- The following firms will change their names only, as detailed below:

First Trade Date, December 1, 2014:

From: First Pacific Mutual Fund, Inc. No. 3745

To: Lee Financial Mutual Fund, Inc. No. 3745

First Trade Date, December 4, 2014:

From: Edmond de Rothschild Asset Management/Edmond de Rothschild Luxembourg Sicavs No. 3143

To: Edmond de Rothschild Asset Management/Edmond de Rothschild Fund No. 3143

- The following firm will begin participation in the Retirement Plan Reporting service, as detailed below:

First Trade Date, December 12, 2014:

Morgan Stanley Smith Barney LLC No. 0015

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

First Trade Date, December 1, 2014:

Forside Fund Services, LLC/Lincoln Stable Value Fund No. 7143

First Trade Date, December 3, 2014:

Northern Lights Distributors, LLC/North Star Funds No. 3783

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

First Trade Date, December 3, 2014:

AMG Funds LLC/Tweedy Browne Company No. 5488

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

First Trade Date, December 2, 2014:

Greenbacker Group LLC No. 1454

Opus Fund Services (USA) LLC No. 1751

First Trade Date, December 3, 2014:

Great Lakes Fund Solutions, Inc. No. 1891

Great Lakes Fund Solutions, Inc. No. 1892

Great Lakes Fund Solutions, Inc. No. 1897

Reliance Capital Markets II, LLC No. 6927

Reliance Capital Markets II, LLC No. 6948

- Please update the NSCC Directory dated November 2014 (for OTC Executed-By List and 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>

Add First Trade Date, November 26, 2014

Loop Capital Markets LLC ECUT 0100 LCMC

- 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>

Delete Last Trade Date, November 25, 2014

Fimat USA, LLC	PCAP	0608	FIMU
Newedge USA, LLC	PCAP	0608	NEAT
Newedge USA, LLC	PCAP	0608	NELD

Add First Trade Date, November 25, 2014

Blue Vase Securities, LLC

WEDB 0103 BLVS

Add First Trade Date, December 1, 2014

Monarch Bay Securities, LLC

IBFS 0824 MBAS

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