



Important Notice
National Securities Clearing Corporation

A#:	7928
P&S #:	7503
Date:	11/07/2014
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, MF Daily Price and Rate and DTCC Payment aXis services, as detailed below:

Last Trade Date, November 10, 2014:

LEK Securities Corporation No. 0512

- The following firm will change its name only, as detailed below:

First Trade Date, November 6, 2014:

From: Newedge Canada Inc./CDS No. 5003

To: Societe Generale Capital Canada Inc./CDS No. 5003

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

First Trade Date, November 4, 2014:

American Funds Distributors, Inc. No. 5504

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

First Trade Date, November 11, 2014:

Teachers Insurance and Annuity Association of America No. 3017

First Trade Date, November 12, 2014:

Northern Lights Distributors, LLC/Larkin Point Equity Preservation Fund No. 1370

- The following firm will begin participation in the Insurance Processing service, as detailed below:

First Trade Date, December 5, 2014:

HSBC Bank USA, National Association No. 2165

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

First Trade Date, November 6, 2014:

UMB Fund Services, Inc.	No.	3137
UMB Fund Services, Inc.	No.	3139

First Trade Date, November 10, 2014:

Reliance Capital Markets II, LLC	No.	2739
----------------------------------	-----	------

- 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>
<u>Delete Last Trade Date, November 4, 2014</u> Dinosaur Securities LLC	NFSC	0226	TREX	
<u>Delete Last Trade Date, November 7, 2014</u> Ascendant Capital Markets, LLC	VSIN	0595	ASCR	
<u>Add First Trade Date, November 12, 2014</u> Primary Capital, LLC	LGNT	0052	JLEO	

- 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>
<u>Clearing Broker Change Effective First Trade Date, November 5, 2014</u> From: Lightspeed Trading, LLC To: Lightspeed Trading, LLC	PFCL	0158	LSPS	
	WSGD	8199	LSPS	
<u>Delete Last Trade Date, November 4, 2014</u> Newedge USA, LLC	PCAP	0608	NEGB	
<u>Delete Last Trade Date, November 6, 2014</u> Seton Securities Group, Inc.	LGNT	0052	SSGI	
<u>Add First Trade Date, November 5, 2014</u> BNP Paribas Prime Brokerage, Inc.	BPBI	2154	PARB	

Add First Trade Date, November 7, 2014

IMC Financial Markets

SILK 0501 IMCC

- Please update the NSCC Directory dated November 2014 (for Municipal Bond Comparison System) as detailed below:

Clearing Broker
Identifiers

Executing Broker
Identifiers

Alpha

Numeric

Alpha

Numeric

Delete Last Trade Date, November 4, 2014

Lightspeed Trading, LLC

PFCL

0158

LSPS

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