



Important Notice
National Securities Clearing Corporation

A#:	7950
P&S #:	7525
Date:	12/12/2014
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, December 8, 2014:

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

Last Trade Date, December 12, 2014:

Foreside Fund Services, LLC/Old Mutual Global Investors (UK) Limited No. 7112

Northern Lights Distributors, LLC /Wade Tactical L/S Fund No. 5939

Last Trade Date, December 26, 2014:

GoldK Investment Services, Inc. No. 2619

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

Last Trade Date, December 15, 2014:

Schwab Retirement Plan Services Company No. 7119

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

First Trade Date, December 31, 2014:

From: Delaware Distributors, L.P./Delaware Investments Global Funds, PLC No. 6572

To: Delaware Distributors, L.P./Macquarie Collective Funds PLC No. 6572

- The following firm will begin participation in the MF – Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, December 15, 2014:

DST Market Services, LLC No. 0626

- The following firm will begin participation in the MF – Daily Price & Rate service, as detailed below:
First Trade Date, December 16, 2014:
Hartford Life Insurance Company No. 4501
- The following firms will begin participation in the MF - Profile service, as detailed below:
First Trade Date, December 16, 2014:
ALPS Distributors, Inc./Smead Fund No. 6866

First Trade Date, January 2, 2015:
Rafferty Capital Markets, LLC No. 5726
- The following firm will begin participation in the MF – Daily Price & Rate, Networking and ACATS Fund/SERV services, as detailed below:
First Trade Date, December 17, 2014:
Foreside Funds Distributors LLC /Mercer Funds No. 5725
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, December 19, 2014:
Northern Lights Distributors, LLC/The Covered Bridge Fund No. 7991
- The following additional number has been assigned to Quasar Distributors LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:
First Trade Date, December 12, 2014:
Quasar Distributors LLC/LMIC Funds No. 3116
Contact: Casey Sauer
Phone: (414) 203-9122
- The following additional number has been assigned to State Street Bank & Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:
First Trade Date, December 15, 2014:
State Street Bank & Trust Company/NRS Inc.-Intuit No. 3172
Contact: Belynda Crick
Phone: (617) 662-6013
- The following additional numbers have been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:
First Trade Date, December 17, 2014:
Northern Lights Distributors, LLC/Breithorn Long/Short Fund No. 3167
Northern Lights Distributors, LLC /Fortunatus Protactical New Opportunity Fund No. 3168
Northern Lights Distributors, LLC /Forefront Income Trust No. 3170
Contact: Mike Nielsen
Phone: (402) 896-7267

First Trade Date, January 2, 2015:

Northern Lights Distributors, LLC/ACM Dynamic Opportunity Fund

No. 3169

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to Jefferson National Life Insurance Company (#4573) for the purpose of utilizing Fund/SERV and Insurance Processing services, as detailed below:

First Trade Date, January 2, 2015:

Jefferson National Life Insurance Company/Jefferson National Life Insurance Company Of New York

No. 3165

Contact: Carla Higgs

Phone: (502) 515-7853

- Please update the NSCC Directory dated December 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>Clearing Broker Change Effective First Trade Date, December 12, 2014</u>				
From: Integrity Brokerage Services, Inc.	VSIN	0595	IBSJ	
To: Integrity Brokerage Services, Inc.	LGNT	0052	IBSJ	

- Please update the NSCC Directory dated December 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, December 9, 2014</u>				
From: Emerging Growth Equities, Ltd.	ITGI	0099	EGRO	
To: Emerging Growth Equities, Ltd.	ECUT	0100	EGRO	

Clearing Broker Change Effective First Trade Date, December 10, 2014

From: Motif Investing, Inc.

To: Motif Investing, Inc.

PFCL	0158	MOTF	
PERS	0443	MOTF	

Clearing Broker Change Effective First Trade Date, December 22, 2014

From: Emerging Growth Equities, Ltd.

To: Emerging Growth Equities, Ltd.

ECUT	0100	EGRO	
ITGI	0099	EGRO	

Delete Last Trade Date, December 11, 2014

TOV Capital Markets, Inc. 0235 TOVC

Delete Last Trade Date, December 12, 2014

White, Weld & Co. Securities, LLC PERS 0443 WELD

Add First Trade Date, December 10, 2014

UBS Securities LLC UBSW 0642 UBSA

Add First Trade Date, December 11, 2014

Virtu Financial Capital Markets LLC EWTT 0749 VFCM

- Please update the NSCC Directory dated December 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>Add First Trade Date, December 9, 2014</u> Emerging Growth Equities, Ltd.	ECUT	0100	EGRO	

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