



Important Notice
National Securities Clearing Corporation

A#:	7955
P&S #:	7530
Date:	12/19/2014
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 retire from all services, as detailed below:

Last Trade Date, December 29, 2014:

Foreside Fund Services, LLC/Nomura Partners Funds, Inc. No. 5426

- The following firm will no longer participate in the MF – Profile service, as detailed below:

Last Trade Date, December 30, 2014:

Northern Lights Distributors, LLC/GL Beyond Income Fund No. 3301

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

First Trade Date, December 19, 2014:

From: Quasar Distributors, LLC/LMIC Funds No. 3116

To: Quasar Distributors, LLC/1919 Funds No. 3116

First Trade Date, December 22, 2014:

From: Frontegra Funds, Inc. No. 5507

To: Frontier Funds, Inc. No. 5507

First Trade Date, December 23, 2014:

From: Aviva Life and Annuity Company No. 4720

To: Athene Annuity and Life Company No. 4720

From: Aviva Life and Annuity Company of New York No. 4721

To: Athene Life Insurance Company of New York No. 4721

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

First Trade Date, January 2, 2015:

Davlin Philanthropic Funds	No.	3612
Quasar Distributors, LLC/Osterweis Fund	No.	4840

First Trade Date, January 5, 2015:

Rafferty Capital Markets, LLC/Epiphany Funds	No.	6634
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- The following firm will begin participation in the DTCC Payment aXis and Insurance Processing Services as detailed below:

First Trade Date, January 2, 2015:

Synovus Securities, Inc.	No.	7978
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- The following additional number has been assigned to The Northern Trust Company (#6625) for the purpose of utilizing Fund/SERV, Networking, and MF – Profile services, as detailed below:

First Trade Date, December 22, 2014:

The Northern Trust Company/Sub-Advised Collective Funds Trust-Mondrian	No.	3037
Contact: Jamie Jones-Ezefili		
Phone: (312) 444-4972		

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

First Trade Date, December 24, 2014:

SS&C Technologies, Inc.	No.	8053
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- 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>

Delete Last Trade Date, December 19, 2014

Riviere Securities Inc.	FSWC	0309	BCLT
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Add First Trade Date, December 17, 2014

Arxis Securities LLC	MLCO	0161	ARXS
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- 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>

Delete Last Trade Date, December 16, 2014

Electronic Transaction Clearing, Inc.	ETCC	0873	ETBX
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Delete Last Trade Date, December 18, 2014

Newedge USA, LLC

PCAP 0608 NESP

Add First Trade Date, December 17, 2014

Adcap Securities LLC

BSSC 0352 ADCP

Add First Trade Date, December 18, 2014

ITG Inc.

ITGI 0099 ITGP

Electronic Transaction Clearing, Inc.

IBFS 0824 ETBX

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

Clearing Broker
Identifiers

Executing Broker
Identifiers

Alpha

Numeric

Alpha

Numeric

Delete Last Trade Date, December 19, 2014

High Point Capital Group, Inc.

NFSC 0226

COHI

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