



Important Notice
National Securities Clearing Corporation

A#:	7957
P&S #:	7532
Date:	12/26/2014
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 26, 2014:

First Brokers Securities LLC No. 0763

Last Trade Date, December 29, 2014:

Foreside Fund Services, LLC/Broadmark Funds No. 7049

- The following firm will no longer participate in the Fund/SERV, Networking, DTCC Payment aXis, ACATS, ACATS Fund/SERV, Insurance Processing Services, Trade Comparison, Trade Recording, Obligation Warehouse and Envelope Settlement services, as detailed below:

Last Trade Date, January 7, 2015:

Keybank Capital Markets Inc. No. 0799

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

First Trade Date, December 26, 2014:

From: MG Trust Company, LLC No. 5954

To: MG Trust Company No. 5954

From: MG Trust Company, LLC/MSCS Financial No. 5900

To: MG Trust Company/MSCS Financial No. 5900

First Trade Date, December 29, 2014:

From: JP Morgan Retirement Plan Services LLC No. 7147

To: Great-West Financial Retirement Plan Services, LLC No. 7147

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

First Trade Date, January 2, 2015:

Quasar Distributors, LLC/Advantus Funds No. 3364

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

First Trade Date, December 29, 2014:

J.J.B. Hilliard, W.L. Lyons, LLC No. 2647

First Trade Date, December 30, 2014:

Gemini Fund Services, LLC No. 8051

HC Global Fund Services, LLC No. 1665

- The following firm will begin participation in the Fund/SERV, Networking, ACATS, and ACATS/FundSERV services as detailed below:

First Trade Date, January 2, 2015:

Upright Investments Trust No. 3150

Contact: Greg Getts

Phone: (440) 922-0066

- 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 31, 2014:

Northern Lights Distributors, LLC/Global Opportunities Capital Appreciation Fund No. 3164

Contact: Mike Nielsen

Phone: (402) 896-7267

First Trade Date, December 31, 2014:

Northern Lights Distributors, LLC/QES Funds No. 3177

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to Quasar Distributors LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, and ACATS/FundSERV, as detailed below:

First Trade Date, January 2, 2015:

Quasar Distributors LLC/Thomas Crown Funds No. 3154

Contact: Casey Sauer

Phone: (414) 203-9122

- The following additional numbers have been assigned to Quasar Distributors LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS/FundSERV, as detailed below:

First Trade Date, January 2, 2015:

Quasar Distributors LLC/TorrayResolute Funds No. 3158

Contact: Casey Sauer

Phone: (414) 203-9122

First Trade Date, January 5, 2015:

Quasar Distributors LLC/Rothschild Funds

No. 3153

Contact: Casey Sauer

Phone: (414) 203-9122

- 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, January 13, 2015:

The Northern Trust Company/Sub-Advised Collective Funds Trust-DoubleLine

No. 3175

Contact: Jamie Jones-Ezefili

Phone: (312) 444-4972

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

Executing Broker Name Change Effective First Trade Date, December 24, 2014

From: Blaylock Robert Van, LLC.

To: Blaylock Beal Van, LLC

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
PERS	0443	BRVL	
PERS	0443	BRVL	

- Please update the NSCC Directory dated December 2014 (for OTC Executed-By List) as detailed below:

Delete Last Trade Date, December 23, 2014

Evercore Group LLC

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
PERS	0443	EVRC	

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