



Important Notice
National Securities Clearing Corporation

A#:	7945
P&S #:	7520
Date:	12/05/2014
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 9, 2014:
Forside Distribution Services, LP/Horizon Global Advisors Umbrella No. 5633
- The following firm will no longer participate in the OTC Comparison service, as detailed below:
Last Trade Date, December 19, 2014:
Cantor Fitzgerald & Co./Aqua Securities, L.P. No. 7310
OTC Alpha Identifier: AQUA
**See below for additional information*
- The following firm will change its name only, as detailed below:
First Trade Date, January 2, 2015:
From: BHIL Distributors, Inc./AIT Global Emerging Markets Opportunity Fund No. 7091
To: BHIL Distributors, Inc/Vontobel Global Emerging Markets Equity Institutional Fund No. 7091
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, December 10, 2014:
Forside Fund Services, LLC/Polen Capital Investment Funds PLC No. 7071
- The following additional number has been assigned to BNP Paribas, New York Branch (#1310) for the purpose of utilizing Fund/SERV and Networking services as detailed below:
First Trade Date, December 12, 2014:
BNP Paribas, New York Branch/AXA Investment Managers No. 3046
Contact: Dean Galli
Phone: (201) 850-6951

- The following additional number has been assigned to Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, January 6, 2015:

Arbor Court Capital, LLC/TCG Financial Series Trusts

No. 3166

Contact: Greg Getts

Phone: (440) 922-0066 X101

- 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>

Clearing Broker Change Effective First Trade Date, December 5, 2014

From: The Buckingham Research Group Incorporated

NFSC 0226

BUCK

To: The Buckingham Research Group Incorporated

MLCO 0161

BUCK

Add First Trade Date, December 4, 2014

Glendale Securities, Inc.

VSIN 0595

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- 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>

Clearing Broker Change Effective First Trade Date, December 4, 2014

From: Glendale Securities, Inc.

VSIN 0595

GLED

To: Glendale Securities, Inc.

ETCC 0873

GLED

Add First Trade Date, December 22, 2014

Aqua Securities L.P.

CSPD 0197

AQUA

- Please update the NSCC Directory dated November 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>

Clearing Broker Change Effective First Trade Date, December 3, 2014

From: Pinnacle Investments, LLC

NFSC 0226

PINA

To: Pinnacle Investments, LLC

FCCP 0141

PINA

Delete Last Trade Date, December 3, 2014

Glendale Securities, Inc.

VSIN

0595

GLED

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