



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	7683
<b>P&amp;S #:</b>	7353
<b>Date:</b>	02/14/2014
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will no longer participate in the DTCC Payment aXis service, as detailed below:  
**Last Trade Date, February 18, 2014:**  
Syndicated Capital, Inc. No. 4881
- The following firm will no longer participate in the MF – Profile service, as detailed below:  
**Last Trade Date, February 18, 2014:**  
Foreside Fund Services, LLC/Investment Managers Series Trust No. 4985
- The following firm will begin participation in the Omni/SERV Activity & Position and Omni/SERV 529 Aggregation services, as detailed below:  
**First Trade Date, February 20, 2014:**  
American Enterprise Investment Services Inc. No. 0756
- The following firm will begin participation in the Insurance Processing Service as detailed below:  
**First Trade Date, February 18, 2014:**  
Banner Life Insurance Company No. 7976
- The following firm will begin participation in the Fund/SERV, Networking and MF - Daily Price & Rate services as detailed below:  
**First Trade Date, February 21, 2014:**  
Alerus Financial, N.A. No. 1381  
Networking Symbol: Q9  
Contact: Craig Carlson  
Phone: (651) 746-6071

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/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

Non-Confidential

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

**First Trade Date, February 14, 2014:**

UMB Fund Services, Inc. No. 1486

- The following additional number has been assigned to Prudential Insurance Company of America (#4596) for the purpose of utilizing the Insurance Processing Service, as detailed below:

**First Trade Date, February 14, 2014:**

Prudential Insurance Company of America/Product Administration By Se2 No. 1378

- The following additional number has been assigned to Lord Abbett Distributor LLC (#5500) for the purpose of utilizing Fund/SERV, Networking, MF - Daily Price & Rate, DTCC Payment aXis, ACATS and ACATS Fund/SERV services, as detailed below:

**First Trade Date, February 18, 2014:**

Lord Abbett Distributor LLC/Lord Abbett Passport Portfolios PLC No. 1330  
Networking Symbol: TZ

Contact: Lou Taite  
Phone: (201) 827-2161

- Please update the NSCC Directory dated February 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, February 12, 2014**

Grenal & Company	SILK	0501	GRNL
Newedge USA, LLC	PCAP	0608	NEPH

**Add First Trade Date, February 10, 2014**

Stockpile Investments, Inc.	PFCL	0158	STKP
-----------------------------	------	------	------

**Add First Trade Date, February 13, 2014**

Gar Wood Securities, LLC	IBFS	0824	GARW
--------------------------	------	------	------

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).