



Important Notice
National Securities Clearing Corporation

A#:	7690
P&S #:	7360
Date:	02/28/2014
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 no longer participate in the MF - Daily Price & Rate service, as detailed below:

Last Trade Date, February 26, 2014:

Delta Data Software, Inc. No. 6945

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

First Trade Date, February 26 2014:

From: Fidelity Investments Institutional Services Company, Inc./Fidelity Int'l Ltd No. 5785

To: Fidelity Investments Institutional Services Company, Inc./Fidelity Advisor No. 5785
World Funds

First Trade Date, March 3, 2014:

From: SunAmerica Capital Services, Inc. No. 5596

To: AIG Capital Services, Inc. No. 5596

From: SunAmerica Capital Services, Inc./VALIC No. 5560

To: AIG Capital Services, Inc./VALIC No. 5560

From: SunAmerica Capital Services, Inc. No. 5718

To: AIG Capital Services, Inc. No. 5718

- The following firm will begin participation in the Omni/SERV 529 Aggregation service, as detailed below:

First Trade Date, March 7, 2014:

Fidelity Investments Institutional Services Company, Inc. No. 5894

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

First Trade Date, February 26, 2014:

Archer Distributors, LLC No. 7021
 Networking Symbol: MK
 Contact: Sothara Chin
 Phone: (301) 260-1001 X650

- The following firm will begin participation in the Fund/SERV service as detailed below:

First Trade Date, March 3, 2014:

BNP Paribas, New York Branch No. 1310

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

First Trade Date, March 3, 2014:

College Savings Bank No. 7073
 Networking Symbol: SF
 Contact: Linda Green
 Phone: (609) 987-3717

- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF - Daily Price & Rate, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, March 3, 2014:

Foreside Fund Services, LLC/Steben Alternative Investment Funds No. 3036
 Networking Symbol: 07
 Contact: Casey Sauer
 Phone: (414) 203-9122

- The following additional number has been assigned to Unified Financial Securities, Inc. (#4965) 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, March 5, 2014:

Unified Financial Securities, Inc./Epicurus Mexico Fixed Income Local Currency Fund No. 3039
 Networking Symbol: 25
 Contact: Craig Glenn
 Phone: (317) 964-6145

- Please update the NSCC Directory dated February 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>Delete Last Trade Date, February 26, 2014</u>				
Ayre Investments, Inc.	LGNT	0052	AYRE	
First London Securities Corporation	LGNT	0052	FLSD	
First Midwest Securities, Inc.	LGNT	0052	FMSI	
Fortrend Securities, Inc.	LGNT	0052	FORI	
Newtek Securities, LLC	LGNT	0052	REVA	
Spyglass Securities, LLC	LGNT	0052	SPYG	
HFP Capital Markets LLC	PFCL	0158	HFPC	

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America Invest Online, Inc.	LGNT	0052	AIII	
America's Choice Equities LLC	LGNT	0052	ACEP	
Basis Financial, LLC	LGNT	0052	BFLN	
Charles Vista, LLC	LGNT	0052	CVTA	
C.K. Cooper & Company, Inc.	LGNT	0052	CKCC	
First Merger Capital Inc.	LGNT	0052	FSMG	
Intermerchant Securities LLC	LGNT	0052	IMSL	
Marquis Financial Services, Inc.	LGNT	0052	MAFS	
Niphix Investments, Inc.	LGNT	0052	NIPH	
PHD Capital	LGNT	0052	PHDC	
Pointe Capital, L.L.C.	LGNT	0052	PONT	
QA3 Financial Corp.	LGNT	0052	QAFC	
Traderight Securities	LGNT	0052	TRSL	
Wall Street Financial Services Inc.	LGNT	0052	WSEI	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change Effective First Trade Date, March 3, 2014</u>				
From: Jump Trading	BSSC	0352	JMPT	
To: Jump Trading	SHMR	0695	JMPT	

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Capital Analysts Inc.	PERS	0443	CAPI	
Humbard, James W.	LGNT	0052	JWHJ	
Primary Capital, LLC	LGNT	0052	JLEO	

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Brookshire Securities Corporation	LGNT	0052	BSCT
Hayden Stone & Co., LLC	LGNT	0052	HAST

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SCS (USA) Inc.	PFCL	0158	SCSU
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Add First Trade Date, February 24, 2014

Dart Executions, LLC	BPBI	2154	DTRC
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Add First Trade Date, February 28, 2014

Goldman, Sachs & Co.	GSCO	0005	GSCS
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Add First Trade Date, March 10, 2014

Cuttone & Co., Inc.*	MSCO	0050	CUGS
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* Cuttone & Co., Inc.* ('CUGS) was originally announced on February 21, 2014 with an effective First Trade Date of March 3, 2014, however, this was revised to First Trade Date March 10, 2014 as listed above.

- Please update the NSCC Directory dated February 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, February 27, 2014</u> Comprehensive Asset Management and Servicing, Inc.	PERS	0443	CAMS	
<u>Add First Trade Date, March 10, 2014</u> Robertson Stephens Securities	NFSC	0226	SFRS	

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