



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

<b>A#:</b>	7704
<b>P&amp;S #:</b>	7374
<b>Date:</b>	03/21/2014
<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 retire from all services, as detailed below:

**Last Trade Date, March 21, 2014:**

NASDAQ Options Services, LLC

No. 0520

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following additional number has been assigned to NASDAQ Execution Services LLC (#0568) for the purpose of utilizing OTC Comparison and Obligation Warehouse services, as detailed below:

**First Trade Date, March 24, 2014:**

NASDAQ Execution Services, LLC/Options

No. 0520

OTC Alpha Identifier:

NQOP

- The following firm will retire from all services, as detailed below:

**Last Trade Date, March 25, 2014:**

Northern Lights Distributors LLC/Arrow Funds

No. 4824

*In connection with the above account retirement, another member firm will now assume this same number, as detailed below:*

- The following additional number has been assigned to Archer Distributors LLC (#7021) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

**First Trade Date, March 26, 2014:**

Archer Distributors LLC/Arrow Funds

No. 4824

Networking Symbol:

UK

Contact: Sothara Chin

Phone: (301) 260-1001 ext. 650

- The following firm will retire from all services, as detailed below:

**Last Trade Date, March 21, 2014:**

Hartford Life Insurance Co/Mutual Funds No. 4599

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

**First Trade Date, March 24, 2014:**

From: Scotia Capital Inc./(DWM Securities Inc.)/CDS No. 5039

To: Scotia Capital Inc./Hollis Wealth/CDS No. 5039

**First Trade Date, March 31, 2014:**

From: The United States Life Insurance Company in the City of New York/  
Sunamerica (NY) No. 4517

To: The US Life Ins Co in the City of NY/AIG Annuities - Variable No. 4517

From: The United States Life Insurance Company in the City of New York/SE2 No. 4536

To: The US Life Ins Co in the City of NY/AIG Annuities (SE2) No. 4536

From: The United States Life Insurance Company in the City of New York/  
Western National No. 4664

To: The US Life Ins Co in the City of NY/AIG Annuities – Fixed and Index No. 4664

From: American General Life Insurance Company/SunAmerica No. 4516

To: American General Life Ins Co/AIG Annuities – Variable and Index No. 4516

From: American General Life Insurance Company/SunAmerica (Service Only  
Fixed) No. 4507

To: American General Life Ins Co/AIG Annuities – Service Only Fixed No. 4507

From: American General Life Insurance Company/SE2 No. 4537

To: American General Life Ins Co/AIG Annuities (SE2) No. 4537

From: American General Life Insurance Company/SunAmerica (SE2) No. 4648

To: American General Life Ins Co/AIG Annuities (SE2) - Variable No. 4648

From: American General Life Insurance Company/Western National No. 4623

To: American General Life Ins Co/AIG Annuities – Fixed and Index No. 4623

From: American General Life Insurance Company/Western National (SunAmerica  
Fixed) No. 3310

To: American General Life Ins Co/AIG Annuities – Fixed No. 3310

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

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

Manning & Napier Investor Services, Inc. No. 5753

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

**First Trade Date, March 27, 2014:**

Quasar Distributors, LLC/Prime Cap Odyssey Funds No. 4895

- The following firm will begin participation in the Networking service, as detailed below:

**First Trade Date, March 27, 2014:**

Lazard Asset Management Securities LLC/Lazard Global Active Funds No. 5417

Networking Symbol: XF

Contact: Joseph Brady

Phone: (212) 632-1494

- The following firm will begin participation in the MF - Profile service, as detailed below:

**First Trade Date, April 1, 2014:**

Profunds Distributors, Inc. No. 4969

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

**First Trade Date, March 21, 2014:**

Forside Fund Services, LLC No. 1519

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF - Daily Price & Rate and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 1, 2014:**

Quasar Distributors, LLC/Pzena Funds No. 3041

Networking Symbol: SV

Contact: Casey Sauer

Phone: (414) 203-9122

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

**First Trade Date, April 1, 2014:**

Quasar Distributors, LLC/AMI Asset Management No. 3022

Networking Symbol: 00

Contact: Casey Sauer

Phone: (414) 203-9122

- Please update the NSCC Directory dated March 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>
<b><u>Delete Last Trade Date, March 17, 2014</u></b>				
Burrill LLC	WEDB	0103	BURR	
Equibond Inc.	WEDB	0103	EQAL	
<b><u>Delete Last Trade Date, March 19, 2014</u></b>				
Wedbush Morgan Securities, Inc.	WEDB	0103	WEDN	

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	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Name Change Effective First Trade Date, March 24, 2014</u></b>				
From: NASDAQ Options Services, LLC	NQOP	0520	ILND	
To: NASDAQ Execution Services, LLC	NQOP	0520	ILND	
From: NASDAQ Options Services, LLC	NQOP	0520	PHLY	
To: NASDAQ Execution Services, LLC	NQOP	0520	PHLY	
<b><u>Delete Last Trade Date, March 17, 2014</u></b>				
GBS Financial Corporation	WEDB	0103	GBSL	
RGM Securities, LLC	WEDB	0103	HBIW	
Salt Creek Securities, LLC	WEDB	0103	SCRK	
Track (ECN)	WEDB	0103	TRAO	
Credit Suisse Securities (USA) LLC	WEDB	0103	AESW	
Capstone Investments	WEDB	0103	CPST	
Deep ATS, LLC	WEDB	0103	HUGE	
Summit Alliance Securities, L.L.C.	PERS	0443	SIGS	
<b><u>Delete Last Trade Date, March 19, 2014</u></b>				
CG Compass (USA) LLC	BSSC	0352	CGCO	
<b><u>Add First Trade Date, March 21, 2014</u></b>				
Drexel Hamilton, LLC	PERS	0443	DRXL	

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	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Add First Trade Date, March 19, 2014</u></b> CG Compass (USA) LLC	PERS	0443	CGCO	

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