



Important Notice
National Securities Clearing Corporation

A#:	7810
P&S #:	7380
Date:	03/28/2014
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 retire from all services, as detailed below:

Last Trade Date, March 31, 2014:

Lifetime Achievement Fund, Inc.

No. 6514

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 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, April 1, 2014:

Northern Lights Distributors, LLC/Lifetime Achievement Fund

No. 6514

Networking Symbol:

4W

Contact: Mike Nielsen

Phone: (402) 896-7267

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

Last Trade Date, March 31, 2014:

Foreside Distribution Services, L.P./Old Mutual Global Investor Series

No. 5826

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 Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and MF-Daily Price & Rate services, as detailed below:

First Trade Date, April 1, 2014:

Foreside Fund Services, LLC/Old Mutual Global Investor Series

No. 5826

Networking Symbol:

CJ

Contact: Richard Henley

Phone: +353 1 622 4016

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

Last Trade Date, March 31, 2014:

Foreside Funds Distributors LLC/Highland Funds No. 5979

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 BHIL Distributors, Inc. (#6532) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF – Profile, Omni/SERV Activity & Position and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 1, 2014:

BHIL Distributors, Inc./Highland Funds No. 5979

Networking Symbol: FQ

Contact: Operations Support

Phone: (816) 435-8400 Opt. 6

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

Last Trade Date, March 27, 2014:

State Street Global Markets, LLC/Shadow Clearing No. 8151

Last Trade Date, March 28, 2014:

Foreside Fund Services, LLC./Dundee Wealth Funds No. 6549

Last Trade Date, March 31, 2014:

Northern Lights Distributors, LLC/Avatar Funds No. 7076

- The following firm will no longer participate in the Networking service, as detailed below:

Last Trade Date, March 31, 2014:

Morgan Stanley & Co. LLC/Dublin Liquidity No. 6646

- The following firm will change its name only, as detailed below:

First Trade Date, April 4, 2014:

From: Northern Lights Distributors, LLC/River Rock IV Fund No. 3386

To: Northern Lights Distributors, LLC/Anfield Funds No. 3386

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

First Trade Date, April 1, 2014:

Aquila Distributors, Inc. No. 5552

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

First Trade Date, March 31, 2014:

SS&C Technologies, Inc. No. 1513

- The following additional number has 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, April 1, 2014:

Northern Lights Distributors, LLC/Dynamic Total Return Fund	No. 3045
Networking Symbol:	1F
Contact: Mike Nielsen	
Phone: (402) 896-7267	

- 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>
<u>Executing Broker Name Change Effective First Trade Date, March 27, 2014</u>				
From: Capital One Southcoast, Inc.	PERS	0443	SOCO	
To: Capital One Securities, Inc.	PERS	0443	SOCO	
<u>Executing Broker Name Change Effective First Trade Date, March 27, 2014</u>				
From: Delta Equity Services Corporation	PERS	0443	RAYG	
To: Bolton Global Capital	PERS	0443	RAYG	
<u>Executing Broker Name Change Effective First Trade Date, March 27, 2014</u>				
From: Depfa First Albany Securities, LLC	PERS	0443	DEFA	
To: Jefferies LLC	PERS	0443	DEFA	
<u>Executing Broker Name Change Effective First Trade Date, March 27, 2014</u>				
From: Pareto Securities USA	PERS	0443	NORP	
To: Pareto Securities Inc	PERS	0443	NORP	
<u>Executing Broker Name Change Effective First Trade Date, March 27, 2014</u>				
From: Security Research Associates, Inc.	PERS	0443	SRFL	
To: Securities Research, Inc.	PERS	0443	SRFL	
<u>Executing Broker Name Change Effective First Trade Date, March 27, 2014</u>				
From: SMH Capital Inc.	PERS	0443	SMHI	
To: Sanders Morris Harris Inc.	PERS	0443	SMHI	

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: Jefferies & Company Inc. PERS 0443 PJEF
 To: Jefferies LLC PERS 0443 PJEF

- Please update the NSCC Directory dated March 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>

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: Alfa Capital Markets (USA), Inc. PERS 0443 ALFA
 To: Alforma Capital Markets, Inc. PERS 0443 ALFA

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: Brockhouse & Cooper, Inc. PERS 0443 BROC
 To: Pavilion Global Markets Ltd PERS 0443 BROC

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: BTG Capital Corp. PERS 0443 PACT
 To: BTG Pactual US Capital LLC PERS 0443 PACT

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: Glazer (C.L.) & Company PERS 0443 CLGL
 To: CLG Investment Company, Inc PERS 0443 CLGL

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: Itau Securities, Inc. PERS 0443 ITAU
 To: Itau BBA USA Securities Inc. PERS 0443 ITAU

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: NavPoint, LLC PERS 0443 NAVP
 To: Range Global LLC PERS 0443 NAVP

Executing Broker Name Change Effective First Trade Date, March 27, 2014

From: Northpoint Trading Partners, LLC PERS 0443 NPTP
 To: Convergen Prime Services LLC PERS 0443 NPTP

Clearing Broker Change Effective First Trade Date, March 31, 2014

From: Jump Trading	BSSC	0352	WINZ
To: Jump Trading	TIRE	7598	WINZ

Add First Trade Date, March 24, 2014

CMT Trading LLC	SHMR	0695	CMTT
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Add First Trade Date, March 26, 2014

DriveWealth, LLC	IBFS	0824	DRVW
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDF

- Please update the NSCC Directory dated March 2014 (for Municipal Bond Comparison System) as detailed below:

<u>Delete Last Trade Date, March 28, 2014</u>	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
Jump Trading	BSSC	0352	WINZ	

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