



Important Notice
National Securities Clearing Corporation

A#:	7697
P&S #:	7367
Date:	03/07/2014
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 7, 2014:

Lazard Freres & Co. LLC

No. 4850

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

- The following firm will begin participation in the Fund/SERV, Networking, DTCC Payment aXis, Omni/SERV Activity & Position, ACATS, ACATS Fund/SERV and MF - Profile services as detailed below:

First Trade Date, March 10, 2014:

Lazard Asset Management Securities LLC

No. 4850

Networking Symbol:

IY

Contact: Gerald Mazzari

Phone: (212) 632-6290

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

Last Trade Date, March 7, 2014:

Lazard Freres & Co., LLC/Lazard Global Active Funds (Offshore)

No. 5417

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 Lazard Asset Management Securities LLC (#4850) for the purpose of utilizing the Fund/SERV service:

First Trade Date, March 10, 2014:

Lazard Asset Management Securities LLC/Lazard Global Active Funds

No. 5417

- The following firm will no longer participate in the Bond Comparison service, as detailed below:
Last Trade Date, March 13, 2014:
 Portfolio Brokerage Services, Inc. No. 8052
 MUNI Alpha Identifier: PBSI
- The following firm will begin participation in the Fund/SERV, Networking and MF – Profile services, as detailed below:
First Trade Date, March 7, 2014:
 Allianz Global Investors Distributors LLC/Premier Multi-Series VIT No. 5703
 Networking Symbol: U3
 Contact: Marc Mazur
 Phone: (212) 739-4073
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, March 10, 2014:
 ALPS Distributors Inc./Transparent Value Fund No. 5314
- The following firms will begin participation in the MF - Daily Price & Rate service, as detailed below:
First Trade Date, March 12, 2014:
 Ultimus Fund Distributors, LLC/Davenport & Co. No. 5567

First Trade Date, March 14, 2014:
 Azzad Funds No. 5662
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:
First Trade Date, April 1, 2014:
 Quasar Distributors, LLC/Cap Advisor Growth Fund No. 5691
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, March 4, 2014:
 Foreside Fund Services, LLC No. 1481
 Foreside Fund Services, LLC No. 1487

First Trade Date, March 6, 2014:
 TCA Global Credit Master Fund LP No. 1293

First Trade Date, March 10, 2014:
 NS AM Member, LLC No. 1489

- The following additional number has been assigned to DST Market Services LLC (#0626) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, March 7, 2014:

DST Market Services LLC/GW	No.	3038
Networking Symbol:		73
Contact: Charles Tennant		
Phone: (612) 238-1570		

- The following additional number has been assigned to The Bank of New York Mellon (#0901) for the purpose of utilizing ACATS and ACATS Fund/SERV services as detailed below:

First Trade Date, March 10, 2014:

The Bank of New York Mellon/Wealth Management	No.	8275
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- 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>
<u>Add First Trade Date, March 10, 2014</u>				
Lebenthal & Co., LLC.		0235	LBWA	
Glacier Point Capital LLC	WEDB	0103	GPCS	

- 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, March 4, 2014</u>				
Investment Professionals, Inc.	PERS	0443	SBAM	

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