



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

<b>A#:</b>	7821
<b>P&amp;S #:</b>	7391
<b>Date:</b>	04/18/2014
<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, April 15, 2014:**

FundQuest Incorporated No. 3910

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

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

From: Hartford Investment Financial Serv Co No. 4856

To: Hartford Funds Distributors, LLC No. 4856

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

From: Hartford Investment Financial Services Co/Upromise No. 5892

To: Hartford Funds Distributors, LLC/Upromise No. 5892

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

**First Trade Date, April 22, 2014:**

Derby and Company, Inc. No. 1522

- The following additional number has been assigned to Rafferty Capital Markets LLC (#5726) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 22, 2014:**

Rafferty Capital Markets LLC/Clifford Capital Partners Fund No. 3050

Networking Symbol: Y4

Contact: David Kocurkovic

Phone: (440) 922-0066 x103

- The following additional number has been assigned to Upromise Investments, Inc. (#5704) for the purpose of utilizing Fund/SERV, Networking, MF - Daily Price & Rate and DTCC Payment aXis services, as detailed below:

**First Trade Date, April 28, 2014:**

Upromise Investments, Inc./Envision

No. 3031

Networking Symbol:

YH

Contact: Chris Borge

Phone: (617) 454-6467

- The following additional number has been assigned to Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

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

Arbor Court Capital, LLC/PSG Capital Management Trust

No. 3051

Networking Symbol:

UX

Contact: Greg Getts

Phone: (440) 922-0066 x101

- Please update the NSCC Directory dated April 2014 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

**Clearing Broker Identifiers**

**Executing Broker Identifiers**

Alpha

Numeric

Alpha

Numeric

**Clearing Broker Change Effective First Trade Date, April 16, 2014**

From: Finance 500, Inc.

To: Finance 500, Inc.

PFCL

0158

FINF

0235

FINF

**Delete Last Trade Date, April 15, 2014**

Joseph Grace

0235

ETSB

**Delete Last Trade Date, April 16, 2014**

CIG Securities

The Capital Group Securities, Inc.

LGNT

0052

CIGC

0235

CGSE

- Please update the NSCC Directory dated April 2014 (for OTC Executed-By List) as detailed below:

**Clearing Broker Identifiers**

**Executing Broker Identifiers**

Alpha

Numeric

Alpha

Numeric

**Delete Last Trade Date, April 15, 2014**

Philadelphia Brokerage Corporation

NFSC

0226

FRTH

**Add First Trade Date, April 16, 2014**

Benjamin & Jerold Brokerage I, LLC

ETCC 0873 BEJB

**Add First Trade Date, April 17, 2014**

Electronic Transaction Clearing, Inc.

ETCC 0873 ETDH

**Add First Trade Date, April 21, 2014**

Lime Brokerage LLC

WEDB 0103 LMGP

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