



Important Notice
National Securities Clearing Corporation

A#:	7839
P&S #:	7409
Date:	05/16/2014
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 item from Important Notice A#7838 (P&S#7408) dated May 9, 2014 has been postponed until further notice.

- The following firm will begin participation in Corporate Bond Comparison service, as detailed below:

First Trade Date, May 16, 2014:

ITG Inc. No. 0099

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

Last Trade Date, May 19, 2014:

Legg Mason Investor Services, LLC/Legg Mason Collective Trust No. 5630

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

Last Trade Date, May 13, 2014:

Brown Brothers Harriman & Co. No. 0010
MUNI Alpha Identifier: BBHC

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

Last Trade Date, May 23, 2014:

CIBC World Markets Corp. No. 0438

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

First Trade Date, May 15, 2014:

From: International Strategy & Investment Group Inc. No. 5591
To: International Strategy & Investment Group LLC No. 5591

First Trade Date, May 27, 2014:

From: Northern Lights Distributors, LLC/CAM Hedge VIT Fund No. 1306
To: Northern Lights Distributors, LLC/Armor Funds No. 1306

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- The following firm will begin participation in the Insurance Processing Service, as detailed below:
First Trade Date, May 22, 2014:
 Cambridge Investment Research, Inc. No. 0742
- The following firms will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, June 2, 2014:
 Tocqueville Securities, L.P. No. 5862
- **First Trade Date, June 13, 2014:**
 Eagle Fund Distributors, Inc. No. 5822
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, May 22, 2014:
 Resource Real Estate, Inc. No. 1525
- The following additional number has been assigned to The Prudential Insurance Company of America (#4596) for the purpose of utilizing Networking and DTCC Payment aXis services, as detailed below:
First Trade Date, May 16, 2014:
 The Prudential Insurance Company of America/Pruco Securities LLC 2 No. 3071
 Networking Symbol: RY
 Contact: Dexter Feliciano
 Phone: (732) 482-4339
- Please update the NSCC Directory dated May 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, May 14, 2014</u> Brookline Group, LLC	WEDB	0103	BRKL	
<u>Delete Last Trade Date, May 15, 2014</u> Peraza Capital And Investment, LLC Grace Financial Group, LLC	PFCL	0158	PERZ	
	PFCL	0158	GFGP	
<u>Add First Trade Date, May 13, 2014</u> Conover Securities Corporation	NFSC	0226	ABAS	

Add First Trade Date, May 15, 2014

VPE Wertpapierhandelsbank AG
AltaCorp Capital (USA) Inc.

PFCL	0158	VPEW
PFCL	0158	ACCU

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker and Executing Broker Name Change Effective First Trade Date, May 14, 2014</u>				
From: Coker & Palmer		BSSC	0352	COKE
To: Coker & Palmer, Inc.			0235	COKE
<u>Delete Last Trade Date, May 12, 2014</u>				
Cressman Esser Securities, Inc.			0235	CESI
<u>Delete Last Trade Date, May 14, 2014</u>				
Bay Colony Securities Co., Inc.			0235	LMSC
<u>Delete Last Trade Date, May 15, 2014</u>				
Legend Securities, Inc.		PFCL	0158	LDSI
Livevol Securities, Inc.		PFCL	0158	LVOL
QuantRiver Financial, LLC		PFCL	0158	QRQR
<u>Add First Trade Date, May 16, 2014</u>				
Stock USA Execution Services, Inc		ETCC	0873	ALGO
<u>Add First Trade Date, May 19, 2014</u>				
QuantRiver Financial, LLC		IBKR	0017	QRQR

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, May 13, 2014</u>				
Coker & Palmer		BSSC	0352	COKE

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