



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

<b>A#:</b>	7832
<b>P&amp;S #:</b>	7402
<b>Date:</b>	05/02/2014
<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 firms will retire from all services, as detailed below:

**Last Trade Date, April 30, 2014:**

Northern Lights Distributors, LLC/BCM Portfolios No. 3323  
 Quasar Distributors, LLC/KKR Funds No. 7002

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

Chicago Board Options Exchange, Inc. No. 0739

- The following firm will no longer participate in DTCC Payment aXis service, as detailed below:

**Last Trade Date, April 30, 2014:**

Rafferty Capital Markets, LLC/Entrepreneur Shares No. 5367

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

**First Trade Date, April 30, 2014:**

From: Managers Investment Group, LLC No. 5736  
 To: AMG Funds LLC No. 5736

**First Trade Date, May 6, 2014:**

From: ING Investments Distributor, LLC No. 5734  
 To: Voya Investments Distributor, LLC No. 5734

From: ING Investments Distributor, LLC/Wisconsin Tomorrow's Scholar 529 Plan No. 3379  
 To: Voya Investments Distributor, LLC/Wisconsin Tomorrow's Scholar 529 Plan No. 3379

From: ING Investments Distributor, LLC/Iowa Advisor 529 Plan No. 7065  
 To: Voya Investments Distributor, LLC/Iowa Advisor 529 Plan No. 7065

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From: ING Investments Distributor, LLC/ING Offshore	No.	5473
To: Voya Investments Distributor, LLC/ING Offshore	No.	5473
From: ING Investments Distributor, LLC/ING IODC	No.	5859
To: Voya Investments Distributor, LLC/Voya IODC	No.	5859

**First Trade Date, May 7, 2014:**

From: Unified Financial Securities, Inc./Epicurus Mexico Fixed Income Local Currency Fund	No.	3039
To: Unified Financial Securities, Inc./Epicurus Mexico Fixed Income Fund	No.	3039

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

**First Trade Date, May 5, 2014:**

Northern Lights Distributors, LLC/Eventide Funds	No.	3316
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, April 30, 2014:**

Woodfield Fund Administration, LLC	No.	1848
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**First Trade Date, May 1, 2014:**

Tower Fund Services, LLC	No.	1631
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- Please update the NSCC Directory dated April 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, April 29, 2014</u></b> VFinance Investments, Inc	LGNT	0052	VFNL	

- Please update the NSCC Directory dated April 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>
<b><u>Clearing Broker Change Effective First Trade Date, May 12, 2014</u></b> From: State Street Global Markets, LLC To: State Street Global Markets, LLC	PERS	0443	PULX	
	SSBS	0189	PULX	
<b><u>Delete Last Trade Date, April 29, 2014</u></b> Mediterranean Securities Group, LLC	LGNT	0052	MSGP	

**Delete Last Trade Date, May 1, 2014**

Wedbush Securities Inc.

WEDB 0103 WSCS

**Delete Last Trade Date, May 9, 2014**

State Street Global Markets, LLC

PERS 0443 PULT

**Add First Trade Date, May 2, 2014**

LATAM Securities LLC

SILK 0501 LATM

Planner Securities LLC

PFCL 0158 CASH

**Add First Trade Date, May 13, 2014**

Seven Points Capital, LLC

ECUT 0100 SPNT

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