



Important Notice
National Securities Clearing Corporation

A#:	7854
P&S #:	7424
Date:	06/06/2014
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 no longer participate in the Bond Comparison service, as detailed below:
Last Trade Date, June 10, 2014:
RBS Securities Inc./Equities No. 0425
MUNI Alpha Identifier: RBSG
- The following firm will no longer participate in the DTCC Payment aXis service, as detailed below:
Last Trade Date, June 13, 2013:
Morgan Stanley & Co. LLC No. 0050
- The following firm will begin participation in the Networking, DTCC Payment aXis, ACATS, ACATS Fund/SERV and MF – Daily Price and Rate services, as detailed below:
First Trade Date, June 11, 2014:
Quasar Distributors LLC/Bluebay Funds No. 3074
Networking Symbol: @F
Contact: Killian Lonergan
Phone: (352) 474-066-7140
- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:
First Trade Date, June 16, 2014:
Rafferty Capital Markets, LLC/PIP New Generation Fund No. 3723
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, June 5, 2014:
GPB Capital Holdings, LLC No. 1533
Forside Fund Services, LLC No. 1658

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Non-Confidential

First Trade Date, June 6, 2014:

New Vernon Investment Management LLC No. 1642

First Trade Date, June 9, 2014:

Cortland Fund Services LLC No. 1662

First Trade Date, June 10, 2014:

Baceline Investments, LLC No. 1646

First Trade Date, June 11, 2014:

Incline Investment Management, LLC No. 1644

- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, June 13, 2014:

State Street Bank & Trust Company/NRS Inc./Hanesbrands Inc. No. 3087
Networking Symbol: @G
Contact: Belynda Crick
Phone: (617) 662-6013

- The following additional number has been assigned to Massachusetts Mutual Life Insurance Company (#4545) for the purpose of utilizing Insurance Processing Service, as detailed below:

First Trade Date, June 16, 2014:

Massachusetts Mutual Life Insurance Company/Life Insurance Products No. 4768

- 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, July 1, 2014:

Northern Lights Distributors, LLC/Cozad Small Cap Value Fund No. 3067
Networking Symbol: QQ
Contact: Mike Nielsen
Phone: (402) 896-7267

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services as detailed below:

First Trade Date, July 1, 2014:

Quasar Distributors LLC/Welton Partners No. 3044
Networking Symbol: @E
Contact: Casey Sauer
Phone: (414) 203-9122

- 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, June 4, 2014</u>				
Marcus Schloss & Co. Inc.	SBSH	0418	MSCA	
Morgan Stanley Smith Barney LLC	SBSH	0418	MSSB	
<u>Delete Last Trade Date, June 5, 2014</u>				
Presidio Capital Advisors, LLC	BSSC	0352	PRES	
Paulsen Securities Inc.	BSSC	0352	PAUS	
Multinvestments, Inc.	BSSC	0352	MTVN	
<u>Delete Last Trade Date, June 6, 2014</u>				
W.R. Hambrecht + Co., LLC	PFCL	0158	HAMC	

- Please update the NSCC Directory dated May 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>Clearing Broker Change Effective First Trade Date, June 4, 2014</u>				
From: Liquid Capital Securities, LLC	SHMR	0695	LIQD	
To: Liquid Capital Securities, LLC	WEDB	0103	LIQD	
<u>Delete Last Trade Date, June 2, 2014</u>				
Wedbush Securities Inc.	WEDB	0103	WMQS	
Wedbush Securities Inc.	WEDB	0103	WSGG	
<u>Delete Last Trade Date, June 5, 2014</u>				
Nordberg Capital Inc.	BSSC	0352	NORD	
Shaw (D.E.) Securities LLC	BSSC	0352	SHAW	
<u>Delete Last Trade Date, June 6, 2014</u>				
W.R. Hambrecht + Co., LLC	PFCL	0158	HAMR	
<u>Add First Trade Date, June 4, 2014</u>				
Electronic Transaction Clearing, Inc.	ETCC	0873	ETBV	
<u>Add First Trade Date, June 9, 2014</u>				
Lime Brokerage LLC	WSGD	8199	LIME	

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