



Important Notice
National Securities Clearing Corporation

A#:	7867
P&S #:	7437
Date:	07/11/2014
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, July 11, 2014:

Genworth Financial Securities Corporation

No. 0471

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 and Insurance Processing services, as detailed below:

First Trade Date, July 14, 2014:

Cetera Financial Specialists LLC

No. 0471

Networking Symbol:

2Q

Contact: Jon Rothenberg

Phone: (847) 330-7990

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

First Trade Date, July 11, 2014:

From: UMB Distribution Services LLC/UMB Scout FDS

No. 4854

To: UMB Distribution Services, LLC

No. 4854

First Trade Date, July 18, 2014:

From: Global Financial & Remarketing Services, LLC

No. 3503

To: Global Financial & Leasing Services, LLC

No. 3503

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

First Trade Date, July 17, 2014:

Quasar Distributors, LLC/Permanent Portfolio

No. 6627

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

First Trade Date, July 10, 2014:

Opus Fund Services (USA) LLC No. 1685

First Trade Date, July 11, 2014:

Provident Trust Group, LLC No. 1237

- The following firm will begin participation in the Fund/SERV and Networking services as detailed below:

First Trade Date, July 10, 2014:

Teachers Insurance and Annuity Association of America No. 3017

Networking Symbol: @K

Contact: Janice Carnicelli

Phone: (212) 913-3238

- 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 14, 2014:

Northern Lights Distributors, LLC/AlphaCentric Funds No. 3100

Networking Symbol: @M

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to The Prudential Insurance Company of America (#4596) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, July 14, 2014:

The Prudential Insurance Company of America/Pru Retirement Non-Reg Trading No. 3077

Networking Symbol: @N

Contact: Vee Yee

Phone: (732) 482-5649

- 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 28, 2014:

Northern Lights Distributors, LLC/HCM Tactical Growth Fund No. 3103

Networking Symbol: @P

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to SEI Investments Distribution Company (#5717) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis, Omni/SERV Activity & Position, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 1, 2014:

SEI Investments Distribution Company/KraneShares Trust
 Networking Symbol:
 Contact: Jim Volk
 Phone: (610) 676-3107

No. 3102
 @O

- Please update the NSCC Directory dated July 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, July 9, 2014</u> Israel A. Englander & Co., Inc.	BSSC	0352	IAEA	

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	<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, July 8, 2014</u> Berghoff & Company, Inc. Conover Securities Corporation Sovereign Global Advisors, LLC	NFSC	0226	BEMC	
	NFSC	0226	ABAS	
	NFSC	0226	SOVG	
<u>Add First Trade Date, July 10, 2014</u> Clearpool Execution Services, LLC	ETCC	0873	CPET	
<u>Add First Trade Date, July 11, 2014</u> CNBS, LLC	FSWC	0309	CNBS	

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	<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, July 10, 2014</u>				
Boston Merchants Financial Services, Inc.	SWST	0279	BMFS	
Doley Securities LLC	SWST	0279	DOLY	
Promark Securities, Inc.	SWST	0279	ACCI	

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