



Important Notice
National Securities Clearing Corporation

A#:	7866
P&S #:	7436
Date:	07/03/2014
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 3, 2014:
Prime Capital Services, Inc. No. 0665
- The following firms will begin participation in the MF – Daily Price and Rate service, as detailed below:
First Trade Date, July 7, 2014:
Neiman Funds No. 5738
First Trade Date, July 9, 2014:
ALPS Distributors Inc./Fit-ALPS Advisors No. 5904
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, July 11, 2014:
UMB Distribution Services LLC/UMB Scout FDS No. 4854
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, July 7, 2014:
Chatham Capital Holdings, Inc. No. 1632
- The following additional number has been assigned to Guardian Insurance & Annuity Company, Inc. (The) (#4533) for the purpose of utilizing Insurance Processing service as detailed below:
First Trade Date, July 7, 2014:
The Guardian Insurance & Annuity Company Inc./GIAC 401(K) No. 4770

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- 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, July 14, 2014:

State Street Bank & Trust Company/Hewitt Associates LLC/Wellington Trust Company No. 3099
 Networking Symbol: @L
 Contact: Belynda Crick
 Phone: (617) 662-6013

- Please update the NSCC Directory dated June 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 1, 2014</u> BOM Capital		MLCO 0161	BCBM	
<u>Delete Last Trade Date, July 2, 2014</u> KBC Financial Products		BSSC 0352	KBFP	
<u>Add First Trade Date, July 3, 2014</u> GTS Securities, LLC		SILK 0501	GTSZ	

- Please update the NSCC Directory dated June 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>Delete Last Trade Date, July 2, 2014</u> Wedbush Securities Inc.		WEDB 0103	WMGP	
<u>Delete Last Trade Date, June 3, 2014</u> Whitewood Group, Inc Allison-Williams Company		SWST 0279 SWST 0279	LGLL ALWL	

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