



Important Notice
National Securities Clearing Corporation

A#:	7877
P&S #:	7447
Date:	08/01/2014
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#7872 (P&S#7442) dated July 25, 2014 has been cancelled.

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

First Trade Date, August 11, 2014:

Western-Southern Life Assurance Company No. 4542

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

Last Trade Date, August 1, 2014:

Sun Life Assurance Co of Canada/Life Business No. 4649

Sun Life Assurance Co of Canada/Sun Life Assurance Company of Canada No. 4522

(Bermuda Branch)

Sunlife Assur Co Ca/Sun Life Fncl Inv Bermuda Ltd No. 4647

In connection with the above account retirements, other member firms will now assume these same numbers, as detailed below:

- The following firm will begin participation in the Insurance Processing service as detailed below:

First Trade Date, August 4, 2014:

Sun Life Assurance Company of Canada (U.S. Branch) No. 4649

- The following additional numbers have been assigned to Sun Life Assurance Company of Canada (U.S. Branch) (#4649) for the purpose of utilizing the Insurance Processing service, as detailed below:

First Trade Date, August 4, 2014:

Sun Life Assurance Company of Canada (U.S. Branch)/Sun Life Assurance Company No. 4522
of Canada (Bermuda Branch)

Sun Life Assurance Company of Canada (U.S. Branch)/Sun Life Financial No. 4647
Investments (Bermuda) Ltd.

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

Last Trade Date, July 31, 2014:

ING Investment Advisors, LLC / TPA Accounts No. 0591

Last Trade Date, August 6, 2014:

UnionBanc Investment Services LLC No. 6728

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

Last Trade Date, August 5, 2014:

USAA Investment Management Company No. 0367
 OTC/MUNI Alpha Identifier: USAA

**See below for additional information*

- The following firm will begin participation in the OTC Comparison, ACATS and Obligation Warehouse services, as detailed below:

First Trade Date, August 4, 2014:

DST Market Services, LLC No. 0626
 OTC Alpha Identifier: DSTC

- The following firms will begin participation in the Fund/SERV service as detailed below:

First Trade Date, August 11, 2014:

Western Southern Life Assurance Company/Variable Annuity Business No. 5993
 Western-Southern Life Assurance Co/Columbus Life Insurance Co No. 4614

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

First Trade Date, July 30, 2014:

Guggenheim Real Estate LLC No. 1663

- 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 30, 2014</u> Prime Capital Services, Inc.	NFSC	0226	PMCS	
<u>Add First Trade Date, August 4, 2014</u> Seven Points Capital, LLC	LGNT	0052	SPTC	
<u>Add First Trade Date, August 6, 2014</u> USAA Investment Management Company	NFSC	0226	USAA	

- Please update the NSCC Directory dated July 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 31, 2014</u>				
Eroom Securities, LLC	SILK	0501	ESLL	
Eroom Securities, LLC	SILK	0501	EROS	
<u>Delete Last Trade Date, August 1, 2014</u>				
Casimir Capital L.P.	PFCL	0158	CASI	
<u>Add First Trade Date, August 1, 2014</u>				
J.P. Morgan Securities LLC	BSSC	0352	JPMX	

- Please update the NSCC Directory dated July 2014 (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>Add First Trade Date, August 6, 2014</u>				
USAA Financial Advisors, Inc.	NFSC	0226	LIIS	

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