



Important Notice
National Securities Clearing Corporation

A#:	7884
P&S #:	7454
Date:	08/15/2014
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#7882 (P&S#7452) dated August 8, 2014 has been cancelled.

- The following firm will no longer participate in the ACATS services, as detailed below:
Last Trade Date, August 15, 2014:
USAA Investment Management Company No. 0367
- The following firms will retire from all services, as detailed below:
Last Trade Date, August 15, 2014:
Global Trust Company/BNY-CR No. 7936

Last Trade Date, August 18, 2014:
NGAM Distribution, L.P./Hansberger Funds No. 5525
- The following firms will change their name only, as detailed below:
First Trade Date, August 15, 2014:
From: Sammons Securities Company, LLC No. 5347
To: Parkland Securities, LLC No. 5347

From: DWS Investments Distributors, Inc. No. 4731
To: DeAWM Distributors, Inc. No. 4731
- The following firm will begin participation in the Omni/SERV Activity & Position service as detailed below:
First Trade Date, August 22, 2014:
Calvert Investment Distributors, Inc. No. 5543

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- The following firm will begin participation in the Omni/SERV 529 Aggregation service, as detailed below:
First Trade Date, August 29, 2014:
Legg Mason Investor Services, LLC/529 Plans No. 5570
- The following firm will begin participation, as a Third Party Administrator, utilizing Fund/SERV and Networking services, as detailed below:
First Trade Date, August 15, 2014:
SunGard Brokerage & Securities Services LLC No. 3108
Contact: Joyce Sokolowski
Phone: (630) 482-7305
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, August 18, 2014:
UBS Financial Services Inc. No. 1896
Realty Capital Securities, LLC No. 1758
Realty Capital Securities, LLC No. 1759
Realty Capital Securities, LLC No. 1761
Realty Capital Securities, LLC No. 1763

First Trade Date, August 21, 2014:
U.S. Bancorp Fund Services, LLC No. 1967
- 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, August 28, 2014:
Northern Lights Distributors, LLC/Texas 529 No. 3112
Contact: Mike Nielsen
Phone: (402) 896-7267
- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, MF-Daily Price & Rate, DTCC Payment aXis, ACATS and ACATS Fund/SERV services, as detailed below:
First Trade Date, August 29, 2014:
Foreside Fund Services, LLC/V2 Capital No. 3114
Contact: Casey Sauer
Phone: (414) 203-9122
- The following additional number has been assigned to The Prudential Insurance Company of America (#4596) for the purpose of utilizing Fund/SERV as detailed below:
First Trade Date, September 2, 2014:
The Prudential Insurance Company of America/Hartford SA Var Life No. 3088

- Please update the NSCC Directory dated August 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, August 11, 2014</u> Rockwell Securities LLC		0235	RCKW	
<u>Add First Trade Date, August 13, 2014</u> Wellington Shields & Co., LLC	SALI	0750	MDWD	
<u>Add First Trade Date, August 18, 2014</u> Liquidnet, Inc.	BSSC	0352	LQNF	

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<u>Delete Last Trade Date, August 12, 2014</u> Wellington Shields & Co., LLC	KING	0743	MDWD	
<u>Add First Trade Date, August 18, 2014</u> Ameritas Investment Corp.		0235	AICB	
<u>Add First Trade Date, September 22, 2014</u> Credit Suisse Securities (USA) LLC	FBCO	0355	CROS	
Credit Suisse Securities (USA) LLC	FBCO	0355	LTPL	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, August 11, 2014</u> Sterne Agee & Leach Inc.	FCCP	0141	NCPI	
<u>Delete Last Trade Date, August 12, 2014</u> Wellington Shields & Co., LLC	FCCP	0141	MDWD	

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