



Important Notice
National Securities Clearing Corporation

A#:	7888
P&S #:	7458
Date:	08/22/2014
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 is revised from Important Notice A#7884 (P&S#7454) dated August 15, 2014. The firm will also be utilizing MF – Profile service.

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, ACATS Fund/SERV and MF – Profile services, as detailed below:

First Trade Date, August 28, 2014:

Northern Lights Distributors, LLC/Texas 529
Contact: Mike Nielsen
Phone: (402) 896-7267

No. 3112

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

Last Trade Date, August 22, 2014:

Matrix Capital Markets Group, Inc./Congressional Effect Fund

No. 5637

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Rafferty Capital Markets, LLC (#5726) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price and Rate services, as detailed below:

First Trade Date, August 25, 2014:

Rafferty Capital Markets LLC/PSP Family of Funds
Contact: David Kocurkovic
Phone: (440) 922-0066 x 103

No. 5637

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

Last Trade Date, August 29, 2014:

JP Morgan Chase Bank/J.P. Morgan Institutional Investments Inc. No. 5978

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to GWFS Equities Inc. (#0257) for the purpose of utilizing Fund/SERV, Networking and MF – Profile services, as detailed below:

First Trade Date, September 2, 2014:

GWFS Equities Inc./Great West RPS No. 5978

Contact: Derek Mast

Phone: (913) 664-0480

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

Last Trade Date, September 5, 2014:

Allianz Global Investors Dists LLC/Pimco Advsy Svcs No. 5784

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to Pimco Investments LLC (#4991) for the purpose of utilizing Fund/SERV, Networking, and MF – Profile services, as detailed below:

First Trade Date, September 8, 2014:

Pimco Investments LLC/Fish No. 5784

Contact: Eric Johnson

Phone: (212) 739-3389

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

Last Trade Date, August 22, 2014:

Northern Lights Distributors, LLC/Cane Alternative Strategies Fund No. 3066

- The following firm will no longer participate in the MF-Daily Price & Rate service, as detailed below:

Last Trade Date, August 27, 2014:

Pinnacle Investments, LLC No. 4925

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

First Trade Date, September 2, 2014:

From: Quasar Distributors, LLC/Rockland Trust No. 5355

To: Quasar Distributors, LLC/Bright Rock Funds No. 5355

From: Quasar Distributors, LLC / Duncan Hurst Aggressive Growth Fund No. 6567

To: Quasar Distributors, LLC / CAN Slim Funds No. 6567

- The following firm will begin participation in the Omni/SERV Activity & Position service as detailed below:

First Trade Date, September 2, 2014:

UMB Distribution Svcs LLC/Wasatch Advisors No. 5773

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

First Trade Date, August 22, 2014:

UMB Fund Services, Inc. No. 1887

UMB Fund Services, Inc. No. 1984

First Trade Date, August 27, 2014:

Ascentia Real Estate Holding Company, LLC No. 1742

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

First Trade Date, September 2, 2014:

Quasar Distributors LLC/Infinity Q Funds No. 3085

Contact: Casey Sauer

Phone: (414) 203-9122

- The following additional number has been assigned to Lincoln Benefit Life Company (#4559) for the purpose of utilizing Insurance Processing services, as detailed below:

First Trade Date, September 2, 2014:

Lincoln Benefit Life Company/Retained Annuitized Contracts No. 4771

- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 2, 2014:

Foreside Fund Services, LLC/Cane Capital No. 3119

Contact: Chris Baird

Phone: (402) 896-7233

- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 2, 2014:

Foreside Fund Services, LLC/Montage Managers Trust No. 3104

Contact: Darren Siverling

Phone: (414) 299-2160

- 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 22, 2014</u>				
Axelrod Associates Inc.	MSRO	0727	AXEL	
Securitrade Corporation	MSRO	0727	BDAK	
Bentley-Lawrence Securities, Inc.	MSRO	0727	BLSI	
Cohen Bros. & Company	MSRO	0727	CDOI	
Consolidated Capital Management, Inc.	MSRO	0727	CONC	
Foliofn Investments, Inc.	MSRO	0727	FMES	
HLM Securities, Inc.	MSRO	0727	HLMS	
Leader Investments, Inc.	MSRO	0727	LIIC	
Professional Asset Management, Inc.	MSRO	0727	PRAS	
Ruan Securities Corporation	MSRO	0727	RANS	
Shepard & Vrbanac Securities, Inc.	MSRO	0727	SPDV	
Berean Capital Inc.	MSRO	0727	WHWL	

Add First Trade Date, August 22, 2014

Liquidnet, Inc.	BSSC	0352	LQNA	
Liquidnet, Inc.	BSSC	0352	LQNB	

- Please update the NSCC Directory dated August 2014 (for OTC Executed-By List) as detailed below:

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, August 19, 2014</u>				
Algopartners, LLC	MSCO	0050	ALGP	
<u>Delete Last Trade Date, August 22, 2014</u>				
Beyer & Co.	MSRO	0727	BEYR	
Diamond Hill Securities, Inc.	MSRO	0727	BSFS	
Waterstone Financial Group, Inc.	MSRO	0727	DRAS	
Eagle One Investments, LLC	MSRO	0727	EOIL	
Feldman Securities Group, L.L.C.	MSRO	0727	FELD	
Investment Management Services, Inc.	MSRO	0727	IMSI	
Mcdonnell, Inc.	MSRO	0727	MDON	
Secura Investment, Inc.	MSRO	0727	SECR	
David Sherman & Co.	MSRO	0727	SHER	
Weber & Company, Inc.	MSRO	0727	WEBR	
Belle Haven Investments, L.P.	PERS	0443	BHII	
Symphonic Securities LLC	PERS	0443	SYMP	

Add First Trade Date, August 20, 2014

Lodestar Securities Corp.	IBFS	0824	LSTR
Citigroup Global Markets Inc.	SBSH	0418	LQFI
Credit Suisse Securities (USA) LLC *	FBCO	0355	CROS
Credit Suisse Securities (USA) LLC *	FBCO	0355	LTPL

* Credit Suisse Securities (USA) LLC* ('CROS and LTPL) was originally announced on August 15, 2014 with an effective First Trade Date of September 22, 2014, however, this was revised to First Trade Date August 20, 2014 as listed above.

- Please update the NSCC Directory dated August 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>Clearing Broker Change Effective First Trade Date, August 20, 2014</u>				
From: Lodestar Securities Corp.	PERS	0443	LSTR	
To: Lodestar Securities Corp.	IBFS	0824	LSTR	
<u>Clearing Broker Change Effective First Trade Date, August 22, 2014</u>				
From: Source Capital Group, Inc.	FCCP	0141	SORE	
To: Source Capital Group, Inc.	SALI	0750	SORE	
<u>Delete Last Trade Date, August 19, 2014</u>				
Jettrade, Inc.	NFSC	0226	JETT	
<u>Delete Last Trade Date, August 22, 2014</u>				
CMG Institutional Trading, LLC	MSRO	0727	CMGS	

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