



Important Notice
National Securities Clearing Corporation

A#:	7889
P&S #:	7459
Date:	08/29/2014
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#7862 (P&S#7432) dated June 27, 2014. The first trade date has changed from September 2, 2014 to October 1, 2014.

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

First Trade Date, October 1, 2014:

Quasar Distributors LLC/Welton Partners
Contact: Casey Sauer
Phone: (414) 203-9122

No. 3044

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

Last Trade Date, August 27, 2014:

Oceanstone Fund

No. 7083

- The following firm will change its MUNI/OTC Symbol, as detailed below:

Effective First Trade Date, September 10, 2014:

From: Mesirow Financial, Inc.
MUNI/OTC Alpha Identifier:

No. 0727
**MSRO

To: Mesirow Financial, Inc.
MUNI/OTC Alpha Identifier:

No. 0727
MRSW

**For more details regarding "MSRO", please see page 3 of this notice.

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

First Trade Date, September 2, 2014:

From: ING USA Annuity and Life Insurance Company	No.	4506
To: Voya Insurance and Annuity Company	No.	4506
From: ING USA Annuity & Life Ins Co/Mutual Funds Trdng	No.	4510
To: Voya Insurance and Annuity Company/Mutual Funds Trading	No.	4510
From: ING USA Annuity & Life Insurance Co/Fixed Design Channel	No.	4675
To: Voya Insurance and Annuity Company/Voya Annuity and Asset	No.	4675
From: ING Life Insurance and Annuity Company	No.	4508
To: Voya Retirement Insurance and Annuity Company	No.	4508
From: ING Life Insurance and Annuity Co/INGVA	No.	4635
To: Voya Retirement Insurance and Annuity Company/VOYAVA	No.	4635
From: ING Life Ins and Annuity Co/Fund SERV/Trading	No.	4575
To: Voya Retirement Insurance and Annuity Company/Fund SERV/Trading	No.	4575
From: ING Life Insurance and Annuity Company/ING Financial Solutions	No.	4740
To: Voya Retirement Insurance and Annuity Company/Voya Annuity	No.	4740
From: ING Life Insurance and Annuity Company/Retirement (Sub)	No.	7026
To: Voya Retirement Insurance and Annuity Company/Retirement (Sub)	No.	7026
From: ING Investment Advisors, LLC	No.	0291
To: Voya Retirement Advisors, LLC	No.	0291

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

First Trade Date, September 3, 2014:

Unified Financial Securities, Inc./FBO Roosevelt Fund	No.	4725
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- The following firm will begin participation in the MF - Profile service as detailed below:

First Trade Date, September 5, 2014:

ALPS Distributors Inc./Griffin Institutional Access Real Estate Fund	No.	3086
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, August 29, 2014:

Morgan Stanley Smith Barney LLC	No.	1287
SS&C Technologies, Inc.	No.	2516
SS&C Technologies, Inc.	No.	2649
SS&C Technologies, Inc.	No.	2696
Realty Capital Securities, LLC	No.	2700

- The following additional number has been assigned to ALPS Distributors Inc (#5642) 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:

ALPS Distributors Inc./New Sheridan Funds
 Contact: Brian Montgomery
 Phone: (720) 917-0746

No. 3113

- The following additional number has been assigned to Commonwealth Annuity & Life Insurance Company (#4521) for the purpose of utilizing Fund/SERV, Networking, MF – Profile and Insurance Processing services, as detailed below:

First Trade Date, September 15, 2014:

Commonwealth Annuity & Life Insurance Company/First Allmerica Life Insurance Company
 Contact: Susan Fiengo
 Phone: (860) 325-1594

No. 3111

- 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 25, 2014</u> Liquidnet, Inc.	BSSC	0352	LQNF	
<u>Add First Trade Date, September 10, 2014</u> Mesirow Financial, Inc.	NFSC	0226	MSRO	

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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, August 29, 2014</u> Detwiler, Mitchell, Fenton & Graves, Inc. Wedbush Morgan Securities Inc. Penvest Securities Inc.	NFSC	0226	FEDE	
	WEDB	0103	WMGN	
	LGNT	0052	PVST	
<u>Add First Trade Date, August 26, 2014</u> Citco Securities, Inc	IBKR	0017	CTCO	
<u>Add First Trade Date, August 28, 2014</u> Raven Securities Corp.	ECUT	0100	RACX	

Add First Trade Date, September 3, 2014

Kapitall Generation, LLC

PFCL 0158 KAPG

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, August 29, 2014

FCNB Investments

LGNT 0052 FCNB

Add First Trade Date, August 29, 2014

Liquidnet, Inc.

PERS 0443 LQNF

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