



Important Notice
National Securities Clearing Corporation

A#:	7882
P&S #:	7452
Date:	08/08/2014
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 firms will retire from all services, as detailed below:

Last Trade Date, August 12, 2014:

Cetera Advisors LLC/Vestax Securities Corp	No.	0444
Cetera Advisors LLC/IFG Network Securities, Inc.	No.	0553
Cetera Advisor Networks LLC/Tower Square Securities, Inc.	No.	0354
Cetera Advisor Networks LLC/Walnut Street Securities, Inc.	No.	0533

Last Trade Date, August 14, 2014:

Hartford Securities Distribution Company, Inc.	No.	0765
Hartford Securities Distribution Company, Inc./PRG	No.	5920

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

First Trade Date, August 6, 2014:

From: Union Bank, N.A.	No.	2145
To: MUFG Union Bank, N.A.	No.	2145

From: Union Bank, N.A.	No.	2851
To: MUFG Union Bank, N.A./Capital Markets	No.	2851

First Trade Date, August 11, 2014:

From: DWS Investments Distributors, Inc.	No.	5503
To: DeAWM Distributors, Inc	No.	5503

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From: DWS Investments Distributors Inc./MOST 529	No.	3721
To: DeAWM Distributors, Inc/MOST 529	No.	3721
From: DWS Investments Distributors, Inc./DWS Investments SA	No.	4974
To: DeAWM Distributors, Inc/DeAWM Distributors SA	No.	4974
From: DWS Investments Distributors, Inc./DWS Invest SICAV	No.	5863
To: DeAWM Distributors, Inc/DeAWM Distributors SICAV	No.	5863

First Trade Date, August 15, 2014:

From: Northern Lights Distributors, LLC/Belvedere Alternative Income Fund	No.	7015
To: Northern Lights Distributors, LLC/Modern Technology Fund	No.	7015

- The following firm will begin participation in the MF Profile service, as detailed below:

First Trade Date, August 11, 2014:

Foreside Fund Services, LLC/Steben Alternative Investment Funds	No.	3036
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- The following firms will begin participation in the MF – Daily Price and Rate service, as detailed below:

First Trade Date, August 12, 2014:

Foreside Funds Distributors LLC /Guidestone Funds	No.	5782
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First Trade Date, August 15, 2014:

Northern Lights Distributors, LLC/Ginkgo Multi-Strategy Fund	No.	3744
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- The following firm will begin participation in the Omni/SERV Activity & Position service as detailed below:

First Trade Date, September 2, 2014:

ALPS Distributors, Inc./Stadion Funds	No.	6692
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, August 7, 2014:

Opus Fund Services (USA) LLC	No.	1748
Opus Fund Services (USA) LLC	No.	1752

First Trade Date, August 8, 2014:

SS&C Technologies, Inc.	No.	1754
SS&C Technologies, Inc.	No.	1755

First Trade Date, August 13, 2014:

Southwest Value Partners Enterprise, LLC	No.	1686
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- The following additional number has been assigned to The Bank of New York Mellon (#0901) as detailed below:

First Trade Date, August 11, 2014:

BNYM/UIT NSCC CNS Clearance	No.	8355
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- The following additional number has been assigned to Teachers Insurance And Annuity Association Of America (#4693) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price and Rate services, as detailed below:

First Trade Date, August 7, 2014:

Teachers Insurance And Annuity Association Of America/Account 2 No. 3110
 Contact: Michael Stadnik
 Phone: (704) 988-6469

- 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, August 7, 2014</u>				
RNA Capital, Inc.	FSWC	0309	RNAC	
Kinsell, Newcomb & De Dios, Inc.	FSWC	0309	KOND	
Weaver Tidwell Capital, LLC	FSWC	0309	WEAV	
Kuhns Brothers Securities Corporation	FSWC	0309	KUHN	
<u>Delete Last Trade Date, August 8, 2014</u>				
NativeOne Institutional Trading, LLC	MLCO	0161	NOIT	
Triad Securities Corp.	MLCO	0161	TIAD	
XFA Securities, LLC	MLCO	0161	XFAS	
Mellin Securities, Inc.		0235	MELN	
<u>Add First Trade Date, August 6, 2014</u>				
Equinox Group Distributors, LLC		0235	DHLN	
<u>Add First Trade Date, August 7, 2014</u>				
Newport Coast Securities	WEDB	0103	NCSI	
<u>Add First Trade Date, August 8, 2014</u>				
GTS Securities, LLC	MLCO	0161	GTSY	

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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>Clearing Broker Change Effective First Trade Date, August 11, 2014</u>				
From: Stifel, Nicolaus & Co., Incorporated	STFL	0793	TWPL	
To: Stifel, Nicolaus & Company, Incorporated	MLCO	0161	TWPL	

Delete Last Trade Date, August 7, 2014

Gar Wood Securities, LLC	PFCL	0158	GWDS
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Delete Last Trade Date, August 8, 2014

ABN AMRO Clearing Chicago LLC	FLTG	0330	SIMX
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Add First Trade Date, August 11, 2014

Concept Capital Markets, LLC	PRST	0551	CCML
Gar Wood Securities, LLC	IBKR	0017	GWDS

Add First Trade Date, August 20, 2014

Source Capital Group, Inc.	SALI	0750	SORE
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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>Executing Broker Name Change Effective First Trade Date, August 15, 2014</u>				
From: Sammons Securities Company, LLC	NFSC	0226	SMNS	
To: Parkland Securities, LLC	NFSC	0226	SMNS	
<u>Add First Trade Date, September 3, 2014</u>				
Allen, Mooney & Barnes Brokerage Services, LLC	FCCP	0141	AMBB	

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