



Important Notice
National Securities Clearing Corporation

A#:	7967
P&S #:	7542
Date:	01/16/2015
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 firm will retire from all services, as detailed below:

Last Trade Date, January 23, 2015:

New England Securities Corporation

No. 0707

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 MetLife Securities Inc. (#0484) for the purpose of utilizing Networking, DTCC Payment aXis, and Insurance Processing services, as detailed below:

First Trade Date, January 26, 2015:

MetLife Securities Inc./NES

No. 0707

Contact: Thomas Bauer

Phone: (732) 893-4645

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

Last Trade Date, January 13, 2015:

Keybank Capital Markets Inc.

No. 0799

Last Trade Date, January 23, 2015:

Quasar Distributors, LLC/New Path Funds

No. 3770

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

First Trade Date, January 16, 2015:

From: Foreside Fund Services LLC/ALTX Trust

No. 3151

To: Foreside Fund Services LLC/ALTMFX Trust

No. 3151

First Trade Date, January 21, 2015:

From: Transamerica Life Insurance Company/Diversified Investors Securites Corp. No. 4738
To: Transamerica Life Insurance Company/Transamerica Investors Securities Corporation No. 4738

From: Transamerica Financial Life Insurance Company/Diversifed Investors Securities Corp. No. 4739
To: Transamerica Financial Life Insurance Company/Transamerica Investors Securities Corporation No. 4739

From: Foreside Funds Distributors LLC/Robeco Investment Funds of the RBB Fund, Inc. No. 5800
To: Foreside Funds Distributors LLC/Boston Partners No. 5800

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

First Trade Date, January 16, 2015:

National Bank of Canada Financial Inc. No. 8353

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

First Trade Date, January 16, 2015:

Time Equities Securities, LLC No. 3140

- The following firm will begin participation in the Fund/SERV, Networking and MF – Daily Price & Rate services, as detailed below:

First Trade Date, January 23, 2015:

Carmignac Gestion SA No. 3105
Contact: Christophe Peronin
Phone: 33 142 86 56 99

- Please update the NSCC Directory dated January 2015 (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>

Clearing Broker Change Effective First Trade Date, January 21, 2015

From: Axiom Capital Management, Inc.	BSSC	0352	AXIO
To: Axiom Capital Management, Inc.	NFSC	0226	AXIO

Delete Last Trade Date, January 12, 2015

Newport Coast Securities LGNT 0052 NCIS

Delete Last Trade Date, January 14, 2015

First London Securities Corporation FSWC 0309 FLSC

Delete Last Trade Date, January 16, 2015

Chatsworth Securities LLC SWST 0279 CHTS
Peraza Capital And Investment, LLC SWST 0279 PECA

- Please update the NSCC Directory dated January 2015 (for OTC Executed-By List) as detailed below:

Clearing Broker Identifiers **Executing Broker Identifiers**
Alpha Numeric Alpha Numeric

Clearing Broker Change Effective First Trade Date, January 20, 2015

From: The Benchmark Company, LLC BSSC 0352 BNCH
To: The Benchmark Company, LLC IBFS 0824 BNCH

Delete Last Trade Date, January 12, 2015

Wedbush Securities Inc. WEDB 0103 WETF

Delete Last Trade Date, January 13, 2015

Wedbush Morgan Securities, Inc. WEDB 0103 HBIQ

Delete Last Trade Date, January 14, 2015

Grace Financial Group LLC MSCO 0050 GFMS

Delete Last Trade Date, January 16, 2015

Spencer Trask Ventures, Inc. 0235 STSI

Add First Trade Date, January 13, 2015

Abel/Noser Corp. IBFS 0824 ABLN

Add First Trade Date, January 14, 2015

Elkhorn Securities, LLC SWST 0279 ELKS

Add First Trade Date, January 15, 2015

Merrill Lynch, Pierce, Fenner & Smith Incorporated MLCO 0161 MLIX
Merrill Lynch, Pierce, Fenner & Smith Incorporated MLCO 0161 MLVX

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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, January 16, 2015</u>				
The Benchmark Company, LLC	BSSC	0352	BNCH	
Weller, Anderson & Co., Ltd.	SWST	0279	WACC	

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