



Important Notice
National Securities Clearing Corporation

A#:	7970
P&S #:	7545
Date:	01/23/2015
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 firms will retire from all services, as detailed below:

Last Trade Date, January 23, 2015:

MONY Life Insurance Company

No. 4605

Last Trade Date, January 30, 2015:

Foreside Fund Services, LLC/Perimeter Funds

No. 3348

- The following firm will no longer participate in the Trade Comparison, Trade Recording, Obligation Warehouse, NYSE Listed and OTC Comparison services, as detailed below:

Last Trade Date, January 21, 2015:

ABN AMRO Clearing Chicago LLC/CPM

No. 0330

OTC Alpha Identifier:

FLTG

NYSE Alpha Identifier:

FLTG

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

First Trade Date, January 27, 2015:

Arbor Research & Trading, LLC

No. 6783

From: MUNI Symbol:

CLRT

To: MUNI Symbol:

ARBR

**See below for additional information*

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

First Trade Date, January 28, 2015:

Citadel Securities LLC/Internal

No. 8430

- The following firms will begin participation in the Networking service, as detailed below:

First Trade Date, February 2, 2015:

Pacific Life Insurance Company/Life Division	No.	4616
Pacific Life & Annuity Company/Life Division	No.	6545
Contact: Danny Smith		
Phone: (949) 420-8721		

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

First Trade Date, February 2, 2015:

Unified Financial Securities, Inc./Angel Oak Family of Funds	No.	5147
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- The following Data Services Only member will begin participation in the Networking service, as detailed below:

First Trade Date, January 26, 2015:

Capital Group Companies Global	No.	6951
Contact: Chris Guarino		
Phone: (949) 975-3494		

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

Add First Trade Date, January 23, 2015

Falcon Square Capital, LLC

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
WEDB	0103	HCGC	

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

Delete Last Trade Date, January 21, 2015

Lavaflow, Inc.
 Dominick & Dominick LLC/CDS
 Nunami Services, LLC
 ABN Amro Clearing Chicago LLC
 Wedbush Morgan Securities, Inc.

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
SILK	0501	LAVA	
PERS	0443	DOMK	
FLTG	0330	NAMB	
FLTG	0330	SIMA	
FLTG	0330	WMLF	

- Please update the NSCC Directory dated January 2015 (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>Add First Trade Date, January 26, 2015</u> Bruderman Brothers, Inc.	NFSC	0226	MJBC	
<u>Add First Trade Date, January 27, 2015</u> Arbor Research & Trading, LLC	ICBK	0388	CLRT	

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