



Important Notice
National Securities Clearing Corporation

A#:	7974
P&S #:	7549
Date:	01/30/2015
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 item from Important Notice A#7970 (P&S#7545) dated January 23, 2015 has been cancelled.

- 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

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

Last Trade Date, January 27, 2015:

ABN Amro Clearing Chicago LLC/CPM No. 0330

Last Trade Date, January 30, 2015:

BancorpSouth Investment Services, Inc. No. 6048

Northern Lights Distributors, LLC/AIS Tactical Asset Allocation Portfolio No. 3325

- The following firm will no longer participate in the Trade Comparison, Trade Recording, Bond Comparison, Obligation Warehouse and Envelope Settlement services, as detailed below:

Last Trade Date, January 30, 2015:

Cantor Fitzgerald & Co./Aqua Securities, L.P. No. 7310

MUNI Alpha Identifier: AQUA

- The following firm will no longer participate in the Fund/SERV, Networking, ACATS, ACATS Fund/SERV, Trade Comparison, Trade Recording, OTC Comparison, Obligation Warehouse and Envelope Settlement services, as detailed below:

Last Trade Date, February 4, 2015:

PWMCO, LLC No. 0467

OTC Alpha Identifier: MPWA

- The following firms will no longer participate in the DTCC Payment aXis service, as detailed below:
Last Trade Date, February 5, 2015:
 Quasar Distributors, LLC/DSM Funds No. 5952

Last Trade Date, February 20, 2015:
 Barclays Capital, Inc./LE No. 0229
- The following firm will begin participation in the Omni/SERV 529 Aggregation service, as detailed below:
First Trade Date, January 29, 2015:
 First Clearing, LLC No. 0141
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, February 2, 2015:
 ALPS Distributors Inc./James Advantage Funds No. 5613
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, February 2, 2015:
 CIBC Bank and Trust Company (Cayman) Limited No. 8050
- The following additional number has been assigned to SEI Investments Distri.Company/SEI Institutional (#5717) for the purpose of utilizing Fund/SERV, Networking, ACATS, ACATS/FundSERV, MF – Daily Price & Rate, and DTCC Payment aXis services, as detailed below:
First Trade Date, February 2, 2015:
 SEI Investments Distribution Co/Winton Series Trust No. 3180
 Contact: Lucas Hannigan
 Phone: (207) 347-2047
- Please update the NSCC Directory dated January 2015 (for OTC Executed-By List) 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, January 27, 2015</u> Cuttone & Co., Inc.	MSCO	0050	CUGS	
<u>Delete Last Trade Date, January 30, 2015</u> Direct Edge ECN LLC	MLCO	0161	EDGA	
Direct Edge ECN LLC	MLCO	0161	EDGX	
<u>Add First Trade Date, January 27, 2015</u> Weeden & Co.L.P.	MLCO	0161	WDNX	

Add First Trade Date, January 29, 2015

Peraza Capital and Investment, LLC

ICBK

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PECA

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