



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	7966
<b>P&amp;S #:</b>	7541
<b>Date:</b>	01/09/2015
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will no longer participate in the Fund/SERV and MF – Daily Price & Rate services, as detailed below:

**Last Trade Date, January 13, 2015:**

Voya Retirement Advisors, LLC No. 0291

- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

**First Trade Date, January 9, 2015:**

Ultimus Fund Distributors LLC/BPV Family of Funds No. 3768

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

**First Trade Date, January 12, 2015:**

Quasar Distributors, LLC/Akre Funds No. 5937

**First Trade Date, January 15, 2015:**

Quasar Distributors, LLC/The Snow Capital Family of Funds No. 4976

**First Trade Date, January 16, 2015:**

Northern Lights Distributors, LLC/The Giralda Fund No. 3716

- The following firm will begin participation in the Envelope Settlement Service, as detailed below:

**First Trade Date, January 14, 2015:**

Wedbush Securities Inc./P3 No. 8199

- The following firm will begin participation in the MF – Daily Price & Rate, Networking and DTCC Payment aXis services, as detailed below:

**First Trade Date, February 2, 2015:**

Quasar Distributors, LLC/Shenkman Offshore Funds No. 7059

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

**First Trade Date, February 2, 2015:**

Forside Fund Services, LLC/Aberdeen Funds No. 4899

- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

**First Trade Date, January 12, 2015:**

Hancock Investment Services, Inc. No. 3096

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

**First Trade Date, January 9, 2015:**

Reliance Capital Markets II, LLC No. 8057

**First Trade Date, January 13, 2015:**

Blackstone Advisory Partners L.P. No. 1733

- The following additional number has been assigned to Forside Fund Services LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, ACATS/FundSERV, MF – Daily Price & Rate, and DTCC Payment aXis services, as detailed below:

**First Trade Date, January 9, 2015:**

Forside Fund Services LLC/ALTX Trust No. 3151

Contact: Lucas Hannigan

Phone: (207) 347-2047

- The following additional number has been assigned to Capital Guardian Trust Company (#4873) for the purpose of utilizing Fund/SERV, Networking, ACATS/FundSERV and MF – Daily Price & Rate services, as detailed below:

**First Trade Date, February 2, 2015:**

Capital Guardian Trust Company/Emerging Markets No. 3178

Contact: Elena Panagushina

Phone: (949) 975-5059

- 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>

**Executing Broker Name Change Effective First Trade Date, January 12, 2015**

From: Jefferies & Company, Inc.

To: Jefferies LLC

BSSC 0352 BDIR

BSSC 0352 BDIR

**Add First Trade Date, January 12, 2015**

US Financial Services

LGNT 0052 USFS

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

**Delete Last Trade Date, January 5, 2015**

Seven Points Capital, LLC

<b><u>Clearing Broker Identifiers</u></b>		<b><u>Executing Broker Identifiers</u></b>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

PFCL	0158	SEVP	
------	------	------	--

**Delete Last Trade Date, January 6, 2015**

Nasdaq Execution Services, LLC

MSCO	0050	NQMR	
------	------	------	--

**Add First Trade Date, January 6, 2015**

FOLIOfn Investments, Inc.

FTBR	0728	FNBR	
------	------	------	--

**Add First Trade Date, January 9, 2015**

PI Financial (US) Corp.

PCFF	5075	PIUS	
------	------	------	--

**Add First Trade Date, January 12, 2015**

Heikkinen Energy Securities, LLC

Interactive Brokers LLC

PERS	0443	HEIK	
------	------	------	--

IBKR	0017	IATS	
------	------	------	--

**Add First Trade Date, January 14, 2015**

State Street Global Markets, LLC

SSBS	0189	BLKX	
------	------	------	--

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).