



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

|                   |   |
|-------------------|---|
| <b>A#:</b>        | 8098  |
| <b>P&amp;S #:</b> | 7673  |
| <b>Date:</b>      | 10/16/2015  |
| <b>To:</b>        | ALL PARTICIPANTS  |
| <b>Attention:</b> | OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT;<br>CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS;<br>MUNICIPAL BOND COMPARISON PARTICIPANTS |
| <b>From:</b>      | ACCOUNT ADMINISTRATION  |
| <b>Subject:</b>   | CHANGES IN THE LIST OF PARTICIPANTS   |

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

**Last Trade Date, October 20, 2015:**

Latmark Asset Management, LLC No. 9092  
The Eudora Fund No. 7096

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

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

Quasar Distributors, LLC/ Brown Advisory Funds No. 5437

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

**First Trade Date, October 19, 2015:**

Prudential Investment Management Services LLC No. 0450

**First Trade Date, October 20, 2015:**

Goldman Sachs & Co./Exchange Funds No. 3091

**First Trade Date, October 23, 2015:**

Northern Lights Distributors, LLC/Longboard Managed Futures Strategy Fund No. 3347

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

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

Gemini Fund Services, LLC No. 9833  
U.S. Bancorp Fund Services, LLC No. 9834

**First Trade Date, October 19, 2015:**

SS&C Technologies, Inc. No. 9835  
SS&C Technologies, Inc. No. 9836  
DC Industrial Liquidating Trust No. 9829

**First Trade Date, October 22, 2015:**

Pyatt Broadmark Management, LLC No. 9832

- The following Data Services Only member will begin participation in the Insurance Processing Services, as detailed below:

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

Lion Street Financial, LLC No. 7019

- The following firm will begin participation in the Fund/SERV and Networking services, as detailed below:

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

Farmers New World Life Insurance Company No. 6944  
Contact: Tod Botton  
Phone: (206) 275-8063

- The following additional number has been assigned to Massachusetts Mutual Life Insurance Company (#4545) for the purpose of utilizing Insurance Processing services, as detailed below:

**First Trade Date, October 19, 2015:**

Massachusetts Mutual Life Insurance Company/RS Retirement Products No. 3268

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

| <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> |

**Clearing Broker and Executing Broker Name Change**

**Effective First Trade Date, October 19, 2015**

|   |      |      |      |
|---|------|------|------|
| From: Variant Research Corporation            | BSSC | 0352 | VARI |
| To: Variant Trading Institutional Group, Inc. | SWST | 0279 | VARI |

**Delete Last Trade Date, October 16, 2015**

|                                       |      |      |      |
|---------------------------------------|------|------|------|
| Solium Financial Services LLC         | BSSC | 0352 | SOLM |
| Nanes Delorme Capital Management, LLC | BSSC | 0352 | NDCM |
| Global Investor Services, L.C.        | BSSC | 0352 | GISJ |
| EFG Capital International             | BSSC | 0352 | EFGC |

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

|                        |      |      |      |
|------------------------|------|------|------|
| Lowell & Company, Inc. | SWST | 0279 | LOWL |
|------------------------|------|------|------|

- Please update the NSCC Directory dated October 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> |
| <b><u>Delete Last Trade Date, October 13, 2015</u></b> |                                    |                |                                     |                |
| Sendero Securities, LLC                                | BSSC                               | 0352           | SEND                                |                |
| Beta Capital Management                                | BSSC                               | 0352           | BECM                                |                |
| Papamarkou Wellner & Co.                               | BSSC                               | 0352           | PAPA                                |                |
| <b><u>Add First Trade Date, October 16, 2015</u></b>   |                                    |                |                                     |                |
| SoFi Securities LLC                                    | PFCL                               | 0158           | SOFI                                |                |

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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> |
| <b><u>Delete Last Trade Date, October 14, 2015</u></b> |                                    |                |                                     |                |
| Braver Stern   | PERS                               | 0443           | BRST                                |                |

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