



Important Notice
National Securities Clearing Corporation

A#:	8093
P&S #:	7668
Date:	10/02/2015
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, September 30, 2015:

Protective Life Insurance Company of New York

No. 4629

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 Protective Life & Annuity Insurance Company (#4540) for the purpose of utilizing Insurance Processing services, as detailed below:

First Trade Date, October 01, 2015:

Protective Life & Annuity Insurance Company/PLICONY

No. 4629

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

First Trade Date, October 05, 2015:

From: Southwest Securities, Inc.

No. 0279

To: Hilltop Securities Inc.

No. 0279

From: Southwest Securities, Inc.

No. 1956

To: Hilltop Securities Inc.

No. 1956

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

First Trade Date, October 5, 2015:

Northern Lights Distributors, LLC/Equinox Funds

No. 7948

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

First Trade Date, October 5, 2015:

iCapital Advisors, LLC No. 9819

First Trade Date, October 6, 2015:

Greenlake Real Estate Fund LLC No. 9800

First Trade Date, October 7, 2015:

Conifer Financial Services LLC No. 9822

Swiss Financial Services, Inc. No. 9821

Swiss Financial Services, Inc. No. 9823

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

First Trade Date, October 2, 2015:

BTG Pactual Asset Management S.A. Distribuidora de Titulos e Valores Mobiliarios No. 3238

Contact: Vanessa Serra

Phone: +55 21 3262 9078

- Please update the NSCC Directory dated September 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, October 16, 2015

From: S F Sentry Securities, Inc.

To: S F Sentry Securities, Inc.

BSSC	0352	SFSS	
	0235	SFSS	

Delete Last Trade Date, September 30, 2015

TradeStation Securities, Inc.

BSSC	0352	FILL	
------	------	------	--

Add First Trade Date, October 1, 2015

Match-Point Securities, LLC

VSIN	0595	MTCH	
------	------	------	--

- Please update the NSCC Directory dated September 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>Clearing Broker Change Effective First Trade Date, October 5, 2015</u>				
From: DRW Securities, L.L.C.	SHMR	0695	DRWJ	
To: DRW Securities, L.L.C.	SILK	0501	DRWJ	
<u>Delete Last Trade Date, September 30, 2015</u>				
Victor Securities, LLC.	IBFS	0824	VSIC	
<u>Delete Last Trade Date, October 2, 2015</u>				
Princor Financial Services Corporation	FOMA	0188	PFSM	
<u>Add First Trade Date, October 5, 2015</u>				
Liquidnet, Inc.	SILK	0501	LQNF	
<u>Add First Trade Date, October 6, 2015</u>				
Luminex Trading & Analytics LLC	NFSC	0226	LTAA	
Luminex Trading & Analytics LLC	NFSC	0226	LMNX	

- Please update the NSCC Directory dated September 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>Clearing Broker Change Effective First Trade Date, October 5, 2015</u>				
From: Liquidnet, Inc.	PERS	0443	LQNF	
To: Liquidnet, Inc.	SILK	0501	LQNF	

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