



Important Notice
National Securities Clearing Corporation

A#:	8109
P&S #:	7684
Date:	10/30/2015
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 firm will retire from all services, as detailed below:

Last Trade Date, October 30, 2015:

Forside Fund Services, LLC/Cane Capital

No. 3119

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 Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 02, 2015:

Northern Lights Distributors, LLC/Cane Alternative Strategies Fund

No. 3119

Contact: Mike Nielsen

Phone: (402) 896-7267

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

Last Trade Date, October 30, 2015:

Northern Lights Distributors, LLC/Modern Technology Fund

No. 7015

Northern Lights Distributors, LLC/Inflation Hedges Strategy Fund

No. 3338

Northern Trust Company/Fixed Income Investment Fund, A Fund of
the Chicago Equity Partners Group Trust

No. 3772

- The following firm will begin participation in the MF – Profile service, as detailed below:

First Trade Date, October 30, 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 30, 2015:

Triloma Securities, LLC No. 9807

First Trade Date, November 3, 2015:

Opus Fund Services (USA) LLC No. 9847

Opus Fund Services (USA) LLC No. 9848

- The following additional number has been assigned to Electronic Transaction Clearing, Inc. (#0873) for the purpose of utilizing NYSE Listed, OTC Comparison and Obligation Warehouse services, as detailed below:

First Trade Date, October 29, 2015:

Electronic Transaction Clearing, Inc./UniFlip No. 3361

OTC Alpha Identifier: ETDP

NYSE Alpha Identifier: ETDP

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 2, 2015:

Quasar Distributors LLC/Appleton Partners No. 3269

Contact: Casey Sauer

Phone: (414) 203-9122

- The following additional numbers have been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 2, 2015:

Northern Lights Distributors, LLC/Orchard Small Cap Value Fund No. 3362

Contact: Mike Nielsen

Phone: (402) 896-7267

Northern Lights Distributors, LLC/Absolute Capital Funds No. 3365

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate service, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 4, 2015:

Northern Lights Distributors, LLC/FFI Funds No. 3275

Contact: Mike Nielsen

Phone: (402) 896-7267

- Please update the NSCC Directory dated October 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>
<u>Delete Last Trade Date, October 27, 2015</u> Kuykendall & Schneider, Inc.	FSWC	0309	KUYK	
<u>Delete Last Trade Date, October 28, 2015</u> Cape Securities, Inc.	SWST	0279	KAPE	
<u>Delete Last Trade Date, October 30, 2015</u> Access Financial Group Inc. Brill Securities, Inc.	BSSC	0352	AFGI	
	BSSC	0352	BRIL	
<u>Add First Trade Date, October 28, 2015</u> Inlet Securities LLC	LGNT	0052	ISLL	
<u>Add First Trade Date, November 2, 2015</u> Kuykendall & Schneider, Inc.	SWST	0279	KUYK	
<u>Add First Trade Date, November 4, 2015</u> Fenix Securities, LLC	LGNT	0052	FNXS	

- 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>
<u>Clearing Broker Change Effective First Trade Date, October 29, 2015</u> From: Electronic Transaction Clearing, Inc. To: Electronic Transaction Clearing, Inc.	ETCC	0873	ETBS	
	ETDP	3361	ETBS	
<u>Clearing Broker Change Effective First Trade Date, October 29, 2015</u> From: Electronic Transaction Clearing, Inc. To: Electronic Transaction Clearing, Inc.	ETCC	0873	ETDC	
	ETDP	3361	ETDC	
<u>Clearing Broker Change Effective First Trade Date, October 29, 2015</u> From: Electronic Transaction Clearing, Inc. To: Electronic Transaction Clearing, Inc.	ETCC	0873	ETDB	
	ETDP	3361	ETDB	

**Clearing Broker Change Effective First
Trade Date, October 29, 2015**

From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETBH
To: Electronic Transaction Clearing, Inc.	ETDP	3361	ETBH

**Clearing Broker Change Effective First
Trade Date, October 30, 2015**

From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETDJ
To: Electronic Transaction Clearing, Inc.	ETDP	3361	ETDJ

**Clearing Broker Change Effective First
Trade Date, October 30, 2015**

From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETAB
To: Electronic Transaction Clearing, Inc.	ETDP	3361	ETAB

**Clearing Broker Change Effective First
Trade Date, October 30, 2015**

From: Electronic Transaction Clearing, Inc.	ETCC	0873	ETCJ
To: Electronic Transaction Clearing, Inc.	ETDP	3361	ETCJ

**Clearing Broker Change Effective First
Trade Date, November 2, 2015**

From: Sungard Brokerage & Securities Services, LLC	MSCO	0050	ANDZ
To: Sungard Brokerage & Securities Services, LLC	IBFS	0824	ANDZ

**Clearing Broker Change Effective First
Trade Date, November 2, 2015**

From: Sungard Brokerage & Securities Services, LLC	MSCO	0050	FREX
To: Sungard Brokerage & Securities Services, LLC	IBFS	0824	FREX

**Clearing Broker Change Effective First
Trade Date, November 2, 2015**

From: Liquidnet, Inc.	BSSC	0352	LQNA
To: Liquidnet, Inc.	SILK	0501	LQNA

**Clearing Broker Change Effective First
Trade Date, November 2, 2015**

From: Liquidnet, Inc.	BSSC	0352	LQNB
To: Liquidnet, Inc.	SILK	0501	LQNB

**Clearing Broker Change Effective First
Trade Date, November 2, 2015**

From: Liquidnet, Inc.	BSSC	0352	LQNT
To: Liquidnet, Inc.	SILK	0501	LQNT

Delete Last Trade Date, October 28, 2015

Monarch Bay Securities, LLC	IBFS	0824	MBAS
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Add First Trade Date, October 28, 2015

Dakoy Capital Markets LLC	IBFS	0824	DAKH
Tigress Financial Partners, LLC	IBFS	0824	TIGR

Add First Trade Date, October 30, 2015

Wolverine Trading, LLC	SILK	0501	WTLP
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- Please update the NSCC Directory dated October 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>Delete Last Trade Date, October 30, 2015</u>				
Liquidnet, Inc.	BSSC	0352	LQNA	
Liquidnet, Inc.	BSSC	0352	LQNB	
Liquidnet, Inc.	BSSC	0352	LQNT	

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