



Important Notice
National Securities Clearing Corporation

A#:	8117
P&S #:	7692
Date:	11/20/2015
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 firms will retire from all services, as detailed below:

Last Trade Date, November 17, 2015:

Quasar Distributors LLC/Thomas Crown Funds No. 3154

Last Trade Date, November 18, 2015:

Foreside Funds Distributors LLC/Stratton Family of Funds No. 5448

Last Trade Date, November 20, 2015:

Massachusetts Mutual Life Insurance Company/First Mercantile Trust Company No. 7953

Last Trade Date, November 23, 2015:

Northern Lights Distributors, LLC/Larkin Point Equity Preservation Fund No. 1370

ALPS Distributors Inc./New Sheridan Funds No. 3113

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

First Trade Date, November 19, 2015:

DST Market Services, LLC No. 9845

U.S. Bancorp Fund Services, LLC No. 9857

First Trade Date, November 24, 2015:

SS&C Technologies, Inc. No. 9858

- The following firm will begin participation in the ACATS and Obligation Warehouse services, as detailed below:

First Trade Date, November 23, 2015:

Safra Securities LLC No. 8457

- The following additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 25, 2015:

Unified Financial Securities Inc./Preserver Funds No. 3220
 Contact: Joe Flannery
 Phone: (317) 917-7425

- 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, December 1, 2015:

Quasar Distributors LLC/Weiss Multi-Strategy Funds No. 3235
 Contact: Casey Sauer
 Phone: (414) 203-9122

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

First Trade Date, December 1, 2015:

Foreside Fund Services, LLC/Penn Capital No. 3281
 Contact: Casey Sauer
 Phone: (414) 347-5766

- Please update the NSCC Directory dated November 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, November 17, 2015</u>				
Underhill Securities Corp	LGNT	0052	USCO	
ViewTrade Securities, Inc.	VSIN	0595	VIEW	
<u>Add First Trade Date, November 18, 2015</u>				
Kepler Capital Markets, Inc.	ECUT	0100	CRAG	

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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>
<u>Delete Last Trade Date, November 19, 2015</u>				
Success Trade Securities, Inc.	LGNT	0052	VERN	
Vanguard Capital	PERS	0443	VCAP	

Add First Trade Date, November 18, 2015

Hyundai Securities (America) Inc.

IBFS 0824 HSAC

- Please update the NSCC Directory dated November 2015 (for Municipal Bond Comparison System) as detailed below:

**Clearing Broker
Identifiers**

**Executing Broker
Identifiers**

Alpha Numeric Alpha Numeric

Delete Last Trade Date, November 17, 2015

First Citizens Financial Plus, Inc.

FCCP 0141 FCFP

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