



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

<b>A#:</b>	8114
<b>P&amp;S #:</b>	7689
<b>Date:</b>	11/06/2015
<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 firms will retire from all services, as detailed below:

**Last Trade Date, November 05, 2015:**

First Symetra National Life Insurance Company of New York/First  
Symetra NY Fee Based

No. 3382

**Last Trade Date, November 09, 2015:**

Barclays Capital Inc.

No. 5340

**Last Trade Date, November 12, 2015:**

Northern Lights Distributors, LLC/Compass EMP Funds

No. 6607

- The following firm will change its name only, as detailed below:

**First Trade Date, November 11, 2015:**

From: First Southwest Company

No. 0309

To: First Southwest Company, LLC

No. 0309

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

**First Trade Date, December 1, 2015:**

Van Eck Sec Corp/VIP Trust

No. 4977

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

**First Trade Date, November 6, 2015:**

Talia Jevan Properties, Inc.

No. 9843

Artivist Advisors LLC

No. 9820

North Capital Private Securities Corp.

No. 9850

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

Opus Fund Services (USA) LLC	No.	9849
UMB Fund Services, Inc.	No.	9851
AMG Funds LLC	No.	6988

**First Trade Date, November 10, 2015:**

Opus Fund Services (USA) LLC	No.	9852
Opus Fund Services (USA) LLC	No.	9853

- The following additional numbers have been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price and Rate services, as detailed below:

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

Global Trust Company/BNY-Highland Contact: Christopher Hulse Phone: (781) 970-5015	No.	3277
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Global Trust Company/BNY-Arrowstreet Contact: Christopher Hulse Phone: (781) 970-5015	No.	3278
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Global Trust Company/BNY-McKinley Contact: Christopher Hulse Phone: (781) 970-5015	No.	3242
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- The following additional number has been assigned to VALIC Financial Advisors, Inc. (#0542) for the purpose of utilizing Insurance Processing services, as detailed below:

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

VALIC Financial Advisors Inc./American General Insurance Agency	No.	3373
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- 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>

**Clearing Broker Change Effective First Trade Date, November 10, 2015**

From: Dougherty & Company LLC	BSSC	0352	DOTC
To: Dougherty & Company LLC	NFSC	0226	DOTC

**Clearing Broker Change Effective First Trade Date, November 10, 2015**

From: Sandler, O'Neill & Partners, L.P.	BSSC	0352	SDLR
To: Sandler, O'Neill & Partners, L.P.	NFSC	0226	SDLR

**Delete Last Trade Date, November 3, 2015**

Heritage Financial Systems, Inc.		0235	HFSB
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**Delete Last Trade Date, November 4, 2015**

CCM Securities, LLC	MLCO	0161	TURN
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**Delete Last Trade Date, November 9, 2015**

Interpacific Investors Services, Inc.	NFSC	0226	IPAC
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**Delete Last Trade Date, December 4, 2015**

Barclays Capital Inc.	STFL	0793	BWAM
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**Add First Trade Date, December 2, 2015**

Barclays Capital Inc.	STFL	0793	BWAM
Western International Securities, Inc.	NFSC	0226	WSTI

- Please update the NSCC Directory dated November 2015 (for OTC Executed-By List) 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 Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 6, 2015**

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

**Clearing Broker Change Effective First Trade Date, November 20, 2015**

From: CLSA Americas, LLC	LYON	0651	CLSA
To: CLSA Americas, LLC	MLCO	0161	CLSA

**Delete Last Trade Date, November 2, 2015**

Mercator Associates, LLC	LGNT	0052	MERQ
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**Delete Last Trade Date, November 9, 2015**

BMO Nesbitt Burns Securities Ltd.	BSSC	0352	NBSL
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**Delete Last Trade Date, November 10, 2015**

Sumridge Partners, LLC	BSSC	0352	SMRD
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**Add First Trade Date, November 4, 2015**

Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLZC
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- Please update the NSCC Directory dated November 2015 (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 Change Effective First Trade Date, November 11, 2015**

From: Sumridge Partners, LLC	BSSC	0352	SMRD
To: Sumridge Partners, LLC	PERS	0443	SMRD

**Add First Trade Date, November 5, 2015**

Eaton Vance Distributors, Inc.	PERS	0443	ETVN
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**Add First Trade Date, November 10, 2015**

BMO Nesbitt Burns Securities Ltd.

NFSC

0226

NBSL

**Add First Trade Date, November 20, 2015**

CLSA Americas, LLC

MLCO

0161

CLSA

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