



Important Notice
National Securities Clearing Corporation

A#:	8137
P&S #:	7712
Date:	12/18/2015
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, December 21, 2015:

Quasar Distributors LLC/Sound Point Funds No. 3079

Last Trade Date, December 23, 2015:

Northern Lights Distributors, LLC/SMH Funds No. 3321

Last Trade Date, January 5, 2016:

Northern Lights Distributors, LLC/Fortunatus Protactical New Opportunity Fund No. 3168

Northern Lights Distributors, LLC/Teton Valley Fund No. 3027

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

First Trade Date, December 21, 2015:

American Portfolios Financial Services, Inc No. 9846

First Trade Date, December 22, 2015:

Broadmark Real Estate Management II, LLC No. 9872

- 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, December 21, 2015:

Northern Lights Distributors, LLC/Main Buywrite Fund No. 3291

Northern Lights Distributors, LLC/Measured Risk Strategy Fund No. 3292

Contact: Mike Nielsen

Phone: (402)-896-7267

- 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 31, 2015:

Foreside Fund Services, LLC/Lyons Funds No. 3289
 Contact: Darren Siverling
 Phone: (414) 299-2160

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

First Trade Date, January 4, 2016:

Quasar Distributors LLC/Infusive Funds No. 3284
 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, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 4, 2016:

Foreside Fund Services, LLC/Miller Howard Funds Trust No. 3222
 Contact: Casey Sauer
 Phone: (414) 347-5766

- Please update the NSCC Directory dated December 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>Executing Broker Name Change Effective First Trade Date, December 21, 2015</u>				
From: WhoTrades, Inc.	VSIN	0595	WHOT	
To: Just2Trade, Inc.	VSIN	0595	WHOT	
<u>Add First Trade Date, December 18, 2015</u>				
Regal Securities, Inc.	SWST	0279	RGLD	
<u>Add First Trade Date, December 23, 2015</u>				
The Vertical Trading Group, LLC		0235	VERF	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, December 17, 2015</u> Westport Resources Investment Services Inc.	PERS	0443	WRIS	
<u>Add First Trade Date, December 16, 2015</u> Lampost Capital, L.C.	IBFS	0824	POST	
<u>Add First Trade Date, December 17, 2015</u> Keystone Capital Corporation	ETCC	0873	KSTS	
<u>Add First Trade Date, December 21, 2015</u> GWFS Equities, Inc.	NFSC	0226	GWJP	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, December 14, 2015</u> Alanar Incorporated ANB Financial Group LLC Charleston Capital Corporation	FSWC	0309	ALIN	
	FSWC	0309	ANBF	
	FSWC	0309	CLAY	
<u>Delete Last Trade Date, December 17, 2015</u> Tricor Financial, LLC	NFSC	0226	TCOR	
<u>Delete Last Trade Date, December 18, 2015</u> Putnam Retail Management	NFSC	0226	PROG	

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