



Important Notice
National Securities Clearing Corporation

A#:	8142 REVISED 1/4/2016
P&S #:	7717
Date:	12/31/2015
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

Revision: The referenced phone number for NSCC accounts 5502 and 5743 on the second page of this notice has been revised.

The following item from Important Notice A#8137 (P&S#7712) dated December 18, 2015 has been cancelled.

- 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 item from Important Notice A#8141 (P&S#7716) dated December 24, 2015 has been cancelled.

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

First Trade Date, January 5, 2016:

From: Quasar Distributors LLC/Infusive Funds No. 3284
To: Quasar Distributors LLC/Ruby Capital Funds No. 3284

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

Last Trade Date, December 31, 2015:

Pioneer Investment Management USA Inc.

No. 5502

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following firm will begin participation in the Fund/SERV, Networking, DTCC Payment aXis, MF – Profile, Omni/SERV Activity & Position, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 4, 2016:

Pioneer Funds Distributor, Inc

No. 5502

Contact: Susan Hall

Phone: (617) 422-4780

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

Last Trade Date, December 31, 2015:

Pioneer Investment Management USA Inc./Pioneer Funds Intl

No. 5743

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 Pioneer Funds Distributor, Inc. (#5502) for the purpose of utilizing the Fund/SERV, Networking, DTCC Payment aXis, and MF – Profile services, as detailed below:

First Trade Date, January 4, 2016:

Pioneer Funds Distributor Inc/International

No. 5743

Contact: Susan Hall

Phone: (617) 422-4780

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

Last Trade Date, January 8, 2016:

ALPS Distributors Inc./Valspresso Funds

No. 3081

- The following firm will begin participation in the Bond Comparison service, as detailed below:

First Trade Date, January 5, 2016:

Safra Securities LLC

No. 8457

MUNI Alpha Identifier:

SSCO

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

First Trade Date, January 6, 2016:

Rimrock Capital Management, LLC

No. 9867

First Trade Date, January 7, 2016:

Pender Capital Management, LLC

No. 9871

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

First Trade Date, January 4, 2016:

Itau Active Asset Allocation Funds
 Contact: Patricia Gama
 Phone: +55 113 631 2803

No. 3213

- 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, January 4, 2016</u>				
From: International Strategy & Investment Group LLC	NFSC	0226	ISIG	
To: Evercore Group L.L.C.	NFSC	0226	ISIG	
<u>Clearing Broker and Executing Broker Name Change Effective First Trade Date, January 20, 2016</u>				
From: The Bond House	FSWC	0309	BHSE	
To: Neighborly Securities	SWST	0279	BHSE	
<u>Clearing Broker Change Effective First Trade Date, January 20, 2016</u>				
From: Abacus Investments, Inc.	FSWC	0309	ABAI	
To: Abacus Investments, Inc.	SWST	0279	ABAI	
<u>Clearing Broker Change Effective First Trade Date, January 20, 2016</u>				
From: Adirondack Trading Group LLC	FSWC	0309	ADKT	
To: Adirondack Trading Group LLC	SWST	0279	ADKT	
<u>Clearing Broker Change Effective First Trade Date, January 20, 2016</u>				
From: Hand Securities, Inc	FSWC	0309	AIRS	
To: Hand Securities, Inc	SWST	0279	AIRS	
<u>Clearing Broker Change Effective First Trade Date, January 20, 2016</u>				
From: Alamo Capital	FSWC	0309	ALAC	
To: Alamo Capital	SWST	0279	ALAC	
<u>Clearing Broker Change Effective First Trade Date, January 20, 2016</u>				
From: GVC Capital LLC	FSWC	0309	BPCI	
To: GVC Capital LLC	SWST	0279	BPCI	

Clearing Broker Change Effective First Trade Date, January 20, 2016

From: Bear Creek Securities, LLC	FSWC	0309	BCRK
To: Bear Creek Securities, LLC	SWST	0279	BCRK

Clearing Broker Change Effective First Trade Date, January 20, 2016

From: Bodell Overcash Anderson & Co.	FSWC	0309	BOLL
To: Bodell Overcash Anderson & Co.	SWST	0279	BOLL

Clearing Broker Change Effective First Trade Date, January 20, 2016

From: Callaway Financial Services, Inc.	FSWC	0309	CALL
To: Callaway Financial Services, Inc.	SWST	0279	CALL

Clearing Broker Change Effective First Trade Date, January 20, 2016

From: Chelsea Financial Services	FSWC	0309	CFIN
To: Chelsea Financial Services	SWST	0279	CFIN

Clearing Broker Change Effective First Trade Date, January 20, 2016

From: Colorado Financial Service Corporation	FSWC	0309	COFS
To: Colorado Financial Service Corporation	SWST	0279	COFS

Delete Last Trade Date, December 30, 2015

Braymen, Lambert and Noel Securities, Ltd.	FSWC	0309	BLNS
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Delete Last Trade Date, December 31, 2015

Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZYE
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- Please update the NSCC Directory dated December 2015 (for OTC Executed-By List) as detailed below:

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Clearing Broker Change Effective First Trade Date, January 4, 2016

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

Clearing Broker Change Effective First Trade Date, January 4, 2016

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

**Clearing Broker Change Effective First
Trade Date, January 4, 2016**

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

**Clearing Broker Change Effective First
Trade Date, January 4, 2016**

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

**Clearing Broker Change Effective First
Trade Date, January 4, 2016**

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

**Clearing Broker Change Effective First
Trade Date, January 4, 2016**

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

**Clearing Broker Change Effective First
Trade Date, January 4, 2016**

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

**Clearing Broker Change Effective First
Trade Date, January 4, 2016**

From: Keystone Capital Corporation	ETCC	0873	KSTO
To: Keystone Capital Corporation	ETDP	3361	KSTO

**Clearing Broker Change Effective First
Trade Date, January 20, 2016**

From: Amur Advisors LLC	FSWC	0309	AMUR
To: Amur Advisors LLC	SWST	0279	AMUR

**Clearing Broker Change Effective First
Trade Date, January 20, 2016**

From: Cathay Securities, Inc.	FSWC	0309	CATH
To: Cathay Securities, Inc.	SWST	0279	CATH

**Clearing Broker Change Effective First
Trade Date, January 20, 2016**

From: CNBS, LLC	FSWC	0309	CNBS
To: CNBS, LLC	SWST	0279	CNBS

Delete Last Trade Date, December 29, 2015

CCM Securities, LLC	PRST	0551	TRNP
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Delete Last Trade Date, December 30, 2015

Rockwell Global Capital LLC		0235	ROCK
Dinosaur Securities, L.L.C.	IBKR	0017	DNSR
Kahn Brothers & Co. Inc.	PERS	0443	KBCO
Phillips & Company Securities Inc.	PERS	0443	PHCO

Delete Last Trade Date, December 31, 2015

Goldman Sachs Execution & Clearing, L.P.	SILK	0501	GSAA
Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZWX
Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZZK
Goldman Sachs Execution & Clearing	SILK	0501	GSFF
Goldman Sachs Execution & Clearing	SILK	0501	GSRR

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
		SEID	

Add First Trade Date, January 4, 2016

Seidel & Co., LLC	SWST	0279	SEID
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.