



Important Notice
National Securities Clearing Corporation

A#:	8128
P&S #:	7703
Date:	12/04/2015
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, December 9, 2015:

U.S. Global Investors Funds

No. 5442

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 Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, MF – Profile, and ACATS Fund/SERV services, as detailed below:

First Trade Date, December 10, 2015:

Foreside Fund Services, LLC/U.S. Global Investor

No. 5442

Contact: Casey Sauer

Phone: (414) 347-5766

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

Last Trade Date, December 31, 2015:

Foreside Funds Distributors LLC/Lincoln Advisors Trust

No. 3788

- The following firm will no longer participate in the Trade Comparison, Trade Recording, OTC Comparison, Obligation Warehouse and Envelope Settlement services, as detailed below:

Last Trade Date, December 8, 2015:

Soloway & Co.

No. 8006

OTC Alpha Identifier:

SOLO

- The following firms will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, December 4, 2015:

Credit Suisse Securities (USA) LLC

No. 5735

First Trade Date, December 7, 2015:

Foresters Financial Services, Inc.

No. 5545

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

First Trade Date, December 2, 2015:

Opus Fund Services (USA) LLC

No. 9870

- 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>Clearing Broker Change Effective First Trade Date, December 1, 2015</u>				
From: StormHarbour Securities LP	BSSC	0352	STHR	
To: StormHarbour Securities LP		0235	STHR	
<u>Clearing Broker Change Effective First Trade Date, December 2, 2015</u>				
From: Barrington Research Associates, Inc.	BSSC	0352	BRRR	
To: Barrington Research Associates, Inc.	NFSC	0226	BRRR	
<u>Clearing Broker Change Effective First Trade Date, December 2, 2015</u>				
From: LCS Securities, LLC	BSSC	0352	LCSS	
To: LCS Securities, LLC	NFSC	0226	LCSS	
<u>Executing Broker Name Change Effective First Trade Date, December 3, 2015</u>				
From: MYD Market, Inc	VSIN	0595	MYDM	
To: OTCex, LLC	VSIN	0595	MYDM	
<u>Clearing Broker Change Effective First Trade Date, December 4, 2015</u>				
From: Cabrera Capital Markets, Inc.	PERS	0443	CABR	
To: Cabrera Capital Markets, Inc.	MLCO	0161	CABR	
<u>Delete Last Trade Date, December 1, 2015</u>				
Western International Securities, Inc.	BSSC	0352	WISI	
<u>Delete Last Trade Date, December 7, 2015</u>				
Kashner Davidson Securities Corp.	SALI	0750	KASH	
Manna Capital Management	SALI	0750	MFPC	
Olmsted & Mulhall, Inc.	SALI	0750	OLMM	
Westrock Capital Management, Inc.	SALI	0750	WSRK	

Add First Trade Date, December 2, 2015

Weeden Prime Services, LLC.

PERS 0443 WPSP

Add First Trade Date, December 3, 2015

Western International Securities, Inc.

BSSC 0352 WISI

Add First Trade Date, December 9, 2015

Arque Capital, Ltd.

SALI 0750 RHPP

- Please update the NSCC Directory dated November 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>

Delete Last Trade Date, December 1, 2015

Morgan Stanley & Co Inc
M.J. Whitman LLC

MSCO 0050 MSOT
BSSC 0352 MJWH

Delete Last Trade Date, December 4, 2015

Benchmark Securities, LLC

FSWC 0309 BMKS

Add First Trade Date, December 4, 2015

Global Liquidity Execution Services, LLC

ETCC 0873 YKNA

- Please update the NSCC Directory dated November 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>

Clearing Broker Change Effective First Trade Date, December 2, 2015

From: M.J. Whitman LLC
To: M.J. Whitman LLC

BSSC 0352 MJWH
NFSC 0226 MJWH

Clearing Broker Change Effective First Trade Date, December 7, 2015

From: Benchmark Securities, LLC
To: Benchmark Securities, LLC

FSWC 0309 BMKS
SWST 0279 BMKS

Delete Last Trade Date, December 7, 2015

Blount Parrish & Co., Inc

SALI 0750 BPCO

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