



Important Notice
National Securities Clearing Corporation

A#:	7979
P&S #:	7554
Date:	02/06/2015
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, February 6, 2015:

International Strategy & Investment Group LLC

No. 5591

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 ALPS Distributors Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF – Profile, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 9, 2015:

ALPS Distributors Inc./International Strategy & Investment Group LLC

No. 5591

Contact: Brian Montgomery

Phone: (720) 917-0746

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

Last Trade Date, February 20, 2015:

Western Reserve Life Assurance Co. of Ohio

No. 4567

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 Transamerica Premier Life Insurance Company (#4564) for the purpose of utilizing Fund/SERV, Networking, and Insurance Processing services, as detailed below:

First Trade Date, February 23, 2015:

Transamerica Premier Life Insurance Company/WRL

No. 4567

Contact: Tom St. Andrews

Phone: (319) 355-8986

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

Last Trade Date, February 5, 2015:

Cantor Fitzgerald & Co./Aqua Securities, L.P. No. 7310

Last Trade Date, February 9, 2015:

Quasar Distributors, LLC/Hilton Capital Funds No. 7928

- The following firm will begin participation in the Retirement Plan Reporting service, as detailed below:

First Trade Date, February 3, 2015:

Capital Group Companies Global No. 6951

- The following firms will begin participation in the MF – Profile service, as detailed below:

First Trade Date, February 9, 2015:

Quasar Distributors, LLC/Advantus Funds No. 3364

First Trade Date, February 11, 2015:

Foreside Funds Distributors LLC /The Motley Fool Funds Trust No. 6594

DST Market Services, LLC No. 0626

- The following firm will begin participation in the MF – Daily Price & Rate service, as detailed below:

First Trade Date, February 13, 2015:

Northern Lights Distributors, LLC/PCS Commodity Strategy Fund No. 3126

- The following firm will begin participation in the DTCC Payment aXis and Insurance Processing services as detailed below:

First Trade Date, February 9, 2015:

Gradient Securities, LLC No. 3149

- Please update the NSCC Directory dated January 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, February 2, 2015</u> Moors & Cabot, Inc.	MLCO	0161	MCIN	
<u>Add First Trade Date, February 5, 2015</u> Whotrades, Inc.	LGNT	0052	WTFS	
<u>Add First Trade Date, February 6, 2015</u> Freedom Investors Corp.	LGNT	0052	FROM	

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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>Clearing Broker Change Effective First Trade Date, February 9, 2015</u>				
From: Celadon Financial Group LLC	PERS	0443	SPLN	
To: Celadon Financial Group LLC	WEDB	0103	SPLN	
<u>Delete Last Trade Date, February 2, 2015</u>				
TD Ameritrade, Inc.	PFCL	0158	SWIM	
<u>Delete Last Trade Date, February 4, 2015</u>				
Jane Street Markets, LLC	PRST	0551	JSOP	
<u>Delete Last Trade Date, February 5, 2015</u>				
H.D. Brent & Company, Inc.		0235	BRNT	
<u>Delete Last Trade Date, February 6, 2015</u>				
Leonard Securities, Inc.		0235	LEON	
Summer Street Research Partners	PERS	0443	SUMM	
<u>Delete Last Trade Date, February 9, 2015</u>				
Legacy Asset Securities Inc.		0235	LASE	
<u>Delete Last Trade Date, February 27, 2015</u>				
Redridge Securities, Inc.		0235	BRNT	
<u>Add First Trade Date, February 4, 2015</u>				
TD Ameritrade, Inc.	FOMA	0188	SWIM	
<u>Add First Trade Date, February 9, 2015</u>				
Redridge Securities, Inc.		0235	BRNT	
Electronic Transaction Clearing, Inc.	ETCC	0873	ETDJ	

- Please update the NSCC Directory dated January 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>
<u>Add First Trade Date, February 9, 2015</u>				
Celadon Financial Group LLC	WEDB	0103	SPLN	

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