



Important Notice
National Securities Clearing Corporation

A#:	7993
P&S #:	7568
Date:	03/06/2015
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 no longer participate in the MF – Daily Price and Rate service, as detailed below:
Last Trade Date, March 9, 2015:
Rafferty Capital Markets, LLC/PIP New Generation Fund No. 3723
- The following firm will begin participation in the Envelope Settlement Service, as detailed below:
First Trade Date, March 9, 2015:
The Bank of New York Mellon/Mellon Trust of New England N.A. No. 0954
- The following firm will begin participation in the MF – Profile service, as detailed below:
First Trade Date, March 13, 2015:
Northern Lights Distributors, LLC/Catalyst Funds No. 5527
- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:
First Trade Date, March 13, 2015:
Northern Lights Distributors, LLC/Zeo Strategic Income Fund No. 3715
- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, ACATS Fund/SERV and MF – Daily Price & Rate services, as detailed below:
First Trade Date, March 11, 2015:
Quasar Distributors LLC/Oak Tree Funds No. 3125
Contact: Casey Sauer
Phone: (414) 203-9122

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

First Trade Date, March 5, 2015:

Northeast Retirement Services, Inc.

No. 7613

- Please update the NSCC Directory dated March 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, March 6, 2015</u> Aegis Capital Corp.		0235	AGCP	
<u>Add First Trade Date, March 10, 2015</u> Aegis Capital Corp.	LGNT	0052	AGCP	

- Please update the NSCC Directory dated March 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>
<u>Clearing Broker and Executing Broker Name Change Effective First Trade Date, March 9, 2015</u> From: Swedbank First Securities, LLC To: Swedbank Securities US, LLC	PERS	0443	SWFS	
	IBFS	0824	SWFS	
<u>Delete Last Trade Date, March 3, 2015</u> BMA Securities	LSCI	0512	BMSS	
<u>Delete Last Trade Date, March 4, 2015</u> Buell Securities Corp Murphy & Durieu	PERS	0443	BUEL	
	PERS	0443	MURF	
<u>Add First Trade Date, March 3, 2015</u> Electronic Transaction Clearing, Inc.	ETCC	0873	ETDK	
<u>Add First Trade Date, March 4, 2015</u> Lime Brokerage LLC	WEDB	0103	LIWW	

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