



Important Notice
National Securities Clearing Corporation

A#:	8018
P&S #:	7593
Date:	04/17/2015
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, April 14, 2015:

ALPS Distributors, Inc./Index IQ Trust

No. 6505

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 NYLIFE Securities LLC (#5539) for the purpose of utilizing Fund/SERV, Networking, MF – Profile, Omni/SERV Activity & Position, DTCC Payment aXis, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 15, 2015:

NYLIFE Securities LLC/INDEX IQ Funds

No. 6505

Contact: Ademola Akintan

Phone: (508) 871-3790

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

Last Trade Date, April 15, 2015:

Northern Lights Distributors, LLC/Lifetime Achievement Fund

No. 6514

Last Trade Date, April 17, 2015:

The Bank of New York Mellon/Mellon Securities Trust Company

No. 0904

Unified Financial Securities, Inc./Martin Funds

No. 3303

Last Trade Date, April 21, 2015:

Unified Financial Securities, Inc. /Angel Oak Family of Funds

No. 5147

- The following firm will no longer participate in the Networking service, as detailed below:

Last Trade Date, April 20, 2015:

Arbor Court Capital, LLC/TCG Financial Series Trusts

No. 3166

- The following firms will begin participation in the ACATS service, as detailed below:

First Trade Date, April 17, 2015:

Foreside Funds Distributors LLC /The Motley Fool Funds Trust	No.	6594
Foreside Fund Services, LLC/Roxbury Funds	No.	6620

First Trade Date, April 21, 2015:

Foreside Funds Distributors LLC /Kalmar Pooled Investment Trust	No.	5716
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, April 16, 2015:

U.S. Bancorp Fund Services, LLC	No.	6885
U.S. Bancorp Fund Services, LLC	No.	6886

First Trade Date, April 17, 2015:

Gemini Fund Services, LLC	No.	6887
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First Trade Date, April 20, 2015:

Great Lakes Fund Solutions, Inc.	No.	6877
UMB Fund Services, Inc.	No.	6878

- The following Data Services Only member will begin participation in the Insurance Processing Services, as detailed below:

First Trade Date, April 23, 2015:

Glen Eagle Advisors, LLC	No.	6954
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- The following additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 29, 2015:

Ultimus Fund Distributors, LLC/Waycross Funds	No.	3210
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Contact: Doug Jones
Phone: (513) 587-3408

- Please update the NSCC Directory dated April 2015 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, April 13, 2015</u>				
Capnet Securities Corporation	SWST	0279	MITC	

Delete Last Trade Date, April 15, 2015

Citation Financial Group, LP

PERS 0443 CITA

Add First Trade Date, April 17, 2015

OTCex LLC

VSIN 0595 OTCE

- Please update the NSCC Directory dated April 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>

Add First Trade Date, April 16, 2015

DRW Securities, LLC

SHMR 0695 DRWJ

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