



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	8014
<b>P&amp;S #:</b>	7589
<b>Date:</b>	04/02/2015
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

*The following item is revised from Important Notice A#8011 (P&S#7586) dated March 27, 2015. The firm is adding Networking service.*

- The following additional number has been assigned to The Ohio National Life Insurance Company (#4526) for the purpose of utilizing Networking, Fund/SERV and DTCC Payment aXis services, as detailed below:

**First Trade Date, April 1, 2015:**

Ohio National Life Insurance Company/OMNI No. 3207

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

**Last Trade Date, April 1, 2015:**

Northern Lights Distributors, LLC/GL Beyond Income Fund No. 3301

*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 Arbor Court Capital, LLC (#7023) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 2, 2015:**

Arbor Court Capital, LLC/GL Beyond Income No. 3301

Contact: Greg Getts

Phone: (440) 922-0066 X101

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

**Last Trade Date, April 10, 2015:**

ALPS Distributors, Inc./Corner Cap Funds No. 5384

*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 – Daily Price and Rate and DTCC Payment aXis services, as detailed below:

**First Trade Date, April 13, 2015:**

Foreside Fund Services, LLC/Corner Cap Funds No. 5384

Contact: Lucas Hannigan

Phone: (207) 347-2047

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

**First Trade Date, April 6, 2015:**

ALPS Distributors Inc./Longleaf Partner Funds No. 4863

SIA Securities Corp. No. 5779

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

**First Trade Date, April 8, 2015:**

Quasar Distributors, LLC/Semper Funds No. 7088

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

**First Trade Date, April 8, 2015:**

Aviara Residential Advisors, LLC No. 6862

Gemini Fund Services, LLC No. 6870

Gemini Fund Services, LLC No. 6873

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 6, 2015:**

Quasar Distributors LLC/Stone Ridge Trust III No. 3201

Contact: Casey Sauer

Phone: (414) 203-9122

- The following additional number has been assigned to BHIL Distributors, Inc. (#6532) for the purpose of utilizing Fund/SERV, Networking, ACATS and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 6, 2015:**

BHIL Distributors, Inc./River Canyon Funds No. 3208

Contact: Joe Pakovits

Phone: (312) 557-6620

- 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>

**Executing Broker Name Change Effective First Trade Date, April 6, 2015**

From: Pickering Energy Partners, Inc.	MLCO	0161	PICK
To: Tudor, Pickering & Co Securities, Inc.	MLCO	0161	PICK

**Delete Last Trade Date, March 31, 2015**

Aura Financial Services, Inc.	SALI	0750	AURA
Forge Financial Group, Inc.	SALI	0750	FRGP
Hahn Securities, Inc.	SALI	0750	WMPB
McKim Capital, Inc.	SALI	0750	ROND
Sterling Enterprises Group, Inc.	SALI	0750	SEGI
ITradedirect.com Corp	SALI	0750	ITDC
Gardnyr Michael Capital, Inc.	SALI	0750	GMCI
Morgenthau & Associates, Inc.	SALI	0750	MORG
Nikoh Securities Corporation	SALI	0750	NIKH
GRB Financial LLC	SALI	0750	GRBF
NSM Securities, Inc.	SALI	0750	NSMS
Brookshire Securities Corporation	SALI	0750	BSCO
W.R. Taylor & Company, LLC	SALI	0750	WRTC
Cert Direct Securities Inc.	SALI	0750	CDSO
Sky Capital LLC	SALI	0750	SKYC
Bond One, LLC.	SALI	0750	BDON
Charter Pacific Securities, LLC	SALI	0750	CPSL
BankersBanc Capital Corporation	SALI	0750	BBCC
Obsidian Financial Group LLC	SALI	0750	GSCL
Mission Securities Corporation	SALI	0750	MSEC
Larkin (Emmett A.) Co., Inc.	SALI	0750	LARK
R.W. Towt & Associates	SALI	0750	TOWT
CBG Financial Group, Inc.	SALI	0750	CBFG
WR Rice Financial Services, Inc.	SALI	0750	WRRF
ITB Securities, LLC	SALI	0750	ITBS
Meritus Financial Group, Inc.	SALI	0750	MEFG

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Name Change Effective First Trade Date, April 1, 2015</u></b>				
From: G-Trade Services LLC	MLCO	0161	ADRD	
To: Convergex Execution Solutions LLC	MLCO	0161	ADRD	
<b><u>Executing Broker Name Change Effective First Trade Date, April 6, 2015</u></b>				
From: Electronic Brokerage Systems, LLC	MLCO	0161	DFIN	
To: Dash Financial LLC	MLCO	0161	DFIN	
<b><u>Delete Last Trade Date, March 31, 2015</u></b>				
Blue Bay Capital Ltd	SALI	0750	BBAY	
Block Kelly Company	SALI	0750	BKKY	
Hunter Scott Financial, LLC	SALI	0750	PLCP	
Donnelly Penman & Partners Inc.	SALI	0750	DPFH	
Bannockburn Partners, LLC	SALI	0750	GOAL	
Triune Capital Advisors LLC	SALI	0750	TRUN	
Wall Street Money Center Corp.	SALI	0750	WAMC	
Electronic Access Direct, Inc.	SALI	0750	EADA	
Gotham Lawrence Corporation	SALI	0750	GOLA	
Europa Securities, LLC	SALI	0750	ERPO	
Atlantic Financial Services of Maine, Inc.	SALI	0750	AFSM	
Fifth Street Capital, LLC	SALI	0750	GRCP	
Collins Capital Advisors, LLC	SALI	0750	CCAL	
The Street, Inc.	SALI	0750	TSIB	
Sethi Financial Investments	SALI	0750	SSFG	
Matthews (Joseph) & Co.	SALI	0750	JMAT	
Mid Florida Equities, Inc.	SALI	0750	MOFO	
Cales Investment, Inc.	SALI	0750	CALE	
Commonwealth Funding, Inc	SALI	0750	WACX	
West America Securities Corp.	SALI	0750	WUSA	
Nexcore Capital, Inc.	SALI	0750	NEXC	
Western Pacific Securities, Inc.	SALI	0750	WEPA	
Pacific Commonwealth Corporation	SALI	0750	PCMC	
Pacific Financial Associates, Inc.	SALI	0750	PFAI	
Financial Designs Corporation	SALI	0750	RONB	
Wentworth Securities, Inc.	SALI	0750	WWTH	
Best Direct Securities, LLC	SALI	0750	BDSE	
M.M. Dillon & Co. LLC	SALI	0750	PFFR	
Take Charge Financial	SALI	0750	TCFF	
C.P. Baker Securities Incorporated	SALI	0750	CPBC	

**Delete Last Trade Date, April 7, 2015**

Lara, Shull & May, Ltd. 0235 LAMA

**Add First Trade Date, April 1, 2015**

Flow Traders US LLC PRST 0551 FLTU

**Add First Trade Date, April 6, 2015**

Rothschild Lieberman Ltd. ETCC 0873 RCLL  
UStocktrade Securities, Inc. ETCC 0873 USTK

**Add First Trade Date, April 22, 2015**

Highlander Capital Group, Inc 0235 HIGH

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

**Clearing Broker and Executing Broker Name Change**

**Effective First Trade Date, April 8, 2015**

From: Lara, Shull & May, Ltd.	0235	LAMA
To: Lara, May & Associates, LLC	FCCP 0141	LAMA

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).