



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

<b>A#:</b>	8020
<b>P&amp;S #:</b>	7595
<b>Date:</b>	04/24/2015
<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 firm will retire from all services, as detailed below:

**Last Trade Date, April 24, 2015:**

UMB Distribution Services LLC/Giant 5 Funds

No. 6534

*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, MF – Profile and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 27, 2015:**

ALPS Distributors Inc./Index Funds

No. 6534

Contact: Dave Nelson

Phone: (720) 917-0709

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

**Last Trade Date, April 27, 2015:**

BOSC, Inc.

No. 6757

MUNI Alpha Identifier:

BOKF

- The following firm will no longer participate in the Invoicing and Fee Settlement: 12B-1 service, as detailed below:

**Last Trade Date, April 28, 2015:**

American United Life Insurance Company

No. 4591

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

**Last Trade Date, April 30, 2015:**

ALPS Distributors Inc./Griffin Institutional Access Real Estate Fund

No. 3086

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

**First Trade Date, April 24, 2015:**  
ALPS Distributors Inc/Wilmington Funds No. 5696

**First Trade Date, April 30, 2015:**  
Aquila Distributors, Inc. No. 5552
- The following firm will begin participation in the DTCC Payment aXis service, as detailed below:

**First Trade Date, April 28, 2015:**  
Quasar Distributors LLC/Henderson Horizon Offshore Funds No. 5866
- The following firm will begin participation in the Networking and Retirement Plan Reporting services, as detailed below:

**First Trade Date, May 1, 2015:**  
Principal Life Insurance Company/Pension Division No. 4665  
Contact: Nancy McFarlane  
Phone: (515) 362-2424
- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

**First Trade Date, April 24, 2015:**  
Equinox Alternative Investment Services Holdings Limited No. 6883

**First Trade Date, April 27, 2015:**  
KBS Capital Markets Group, LLC No. 6888  
Gemini Fund Services, LLC No. 6889

**First Trade Date, April 28, 2015:**  
Mackenzie Realty Capital, Inc. No. 6856  
iCapital Advisors, LLC No. 6861
- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price and Rate services, as detailed below:

**First Trade Date, May 1, 2015:**  
Global Trust Company/AQR No. 3209  
Contact: Christopher Hulse  
Phone: (781) 970-5015

- 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 Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, April 20, 2015</u></b> Aegis Capital Corp.	LSCI	0512	AEGC	
<b><u>Delete Last Trade Date, April 21, 2015</u></b> Glendale Securities, Inc.	VSIN	0595	GOOD	
<b><u>Add First Trade Date, April 27, 2015</u></b> Western International Securities, Inc.	PERS	0443	WISP	

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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>
<b><u>Clearing Broker Change Effective First Trade Date, April 28, 2015</u></b> From: H.C. Wainwright & Co., Inc. To: H.C. Wainwright & Co., Inc.	WEDB	0103	WAIN	
	IBFS	0824	WAIN	
<b><u>Delete Last Trade Date, April 20, 2015</u></b> Wedbush Securities Inc.	LSCI	0512	WMLK	
<b><u>Add First Trade Date, April 21, 2015</u></b> MIP Global, Inc.	IBKR	0017	MIPG	

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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>
<b><u>Delete Last Trade Date, April 20, 2015</u></b> Capital Path Securities, LLC	LSCI	0512	CAPT	

**Delete Last Trade Date, April 27, 2015**

H.C. Wainwright & Co., Inc.

WEDB 0103

WAIN

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