



Important Notice
National Securities Clearing Corporation

A#:	8035
P&S #:	7610
Date:	05/29/2015
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 firms will retire from all services, as detailed below:

Last Trade Date, May 29, 2015:

Unified Financial Securities, Inc./Toreador Funds No. 5308

Last Trade Date, June 5, 2015:

Northern Lights Distributors, LLC/VRM Funds No. 3315

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

First Trade Date, May 29, 2015:

BHIL Distributors, Inc./JOHCM Funds No. 7979

- The following firm will begin participation in the Fund/SERV, MF – Daily Price & Rate, Networking and DTCC Payment aXis services, as detailed below:

First Trade Date, June 2, 2015:

Wells Fargo Bank, N.A./SIG No. 2072

Contact: Zees Dalal

Phone: (612) 667-9026

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, June 4, 2015:

DSIL Investment Services LLC No. 6631

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

First Trade Date, May 29, 2015:

U.S. Bancorp Fund Services, LLC No. 6965

First Trade Date, June 1, 2015:

U.S. Bancorp Fund Services, LLC No. 6966

U.S. Bancorp Fund Services, LLC No. 6967

First Trade Date, June 2, 2015:

HC Global Fund Services, LLC No. 6960

VII Peaks Capital, LLC No. 6879

First Trade Date, June 3, 2015:

Trust Company of America No. 3133

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

First Trade Date, June 1, 2015:

Kansas City Life Insurance Company No. 6953

- Please update the NSCC Directory dated May 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</u>				
<u>Effective First Trade Date, June 1, 2015</u>				
Iseroute, LLC	ECUT	0100	SPDR	
SpeedRoute LLC	IBFS	0824	SPDR	
<u>Clearing Broker Change Effective First Trade Date, June 3, 2015</u>				
From: Carnes Capital Corporation	BSSC	0352	CCCO	
To: Carnes Capital Corporation	NFSC	0226	CCCO	
<u>Delete Last Trade Date, May 26, 2015</u>				
UBS Securities LLC	UBSW	0642	UBSC	
UBS Securities LLC	UBSW	0642	UBSG	
<u>Delete Last Trade Date, May 28, 2015</u>				
UBS Securities LLC	UBSW	0642	UBSX	
<u>Delete Last Trade Date, May 29, 2015</u>				
Wedbush Securities Inc.	WEDB	0103	WBJB	

Delete Last Trade Date, June 2, 2015

Churchill Financial, LLC	BSSC	0352	CHCH
Hollencrest Securities, LLC	BSSC	0352	HLLC
Lexington Investment Co. Inc.	BSSC	0352	LEXI
Merrion Securities, LLC	BSSC	0352	MERS
Windham Financial Services Inc.	BSSC	0352	WFSI

- Please update the NSCC Directory dated May 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>

Clearing Broker Change Effective First Trade Date, June 3, 2015

From: Churchill Financial, LLC	BSSC	0352	CHCH
To: Churchill Financial, LLC	NFSC	0226	CHCH

Clearing Broker Change Effective First Trade Date, June 3, 2015

From: Lexington Investment Company, Inc.	BSSC	0352	LEXI
To: Lexington Investment Company, Inc.	NFSC	0226	LEXI

Clearing Broker Change Effective First Trade Date, June 3, 2015

From: Merrion Securities, LLC	BSSC	0352	MERS
To: Merrion Securities, LLC	NFSC	0226	MERS

Clearing Broker Change Effective First Trade Date, June 3, 2015

From: Windham Financial Services, Inc.	BSSC	0352	WFSI
To: Windham Financial Services, Inc.	NFSC	0226	WFSI

Clearing Broker and Executing Broker Name Change Effective First Trade Date, June 3, 2015

From: Hollencrest Securities, LLC	BSSC	0352	HLLC
To: Hollencrest Capital Management	NFSC	0226	HLLC

Delete Last Trade Date, May 28, 2015

Heartland Investment Associates	NFSC	0226	HIAI
---------------------------------	------	------	------

Add First Trade Date, June 3, 2015

Carnes Capital Corporation	NFSC	0226	CCCO
----------------------------	------	------	------

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