



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

<b>A#:</b>	8041
<b>P&amp;S #:</b>	7616
<b>Date:</b>	06/05/2015
<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

*Effective with the opening of business on June 15, 2015, the following account changes will occur to No. 0395 - Citadel Securities LLC and No. 8430 - Citadel Securities LLC/Internal. Also see MPID section for additional information.*

- Switch the OTC Alpha Identifiers for 0395 and 8430, as detailed below:  
CDRG from 0395 to 8430  
CTDL from 8430 to 0395
- The following firm will begin participation in the NYSE Listed service, as detailed below:  
**First Trade Date, June 15, 2015:**  
Citadel Securities LLC/Internal No. 8430  
NYSE Alpha Identifier: CDRG
- The following firms will retire from all services, as detailed below:  
**Last Trade Date, June 11, 2015:**  
Unified Financial Securities, Inc./Epicurus Mexico Fixed Income Fund No. 3039  
  
**Last Trade Date, June 12, 2015:**  
Quasar Distributors, LLC/Jordan Opportunity Fund No. 5917
- The following firm will no longer participate in the OTC and Bond Comparison services, as detailed below:  
**Last Trade Date, June 16, 2015:**  
Sweney Cartwright & Company No. 7027  
OTC/MUNI Alpha Identifier: SWEN  
*\*See below for additional information*

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

**First Trade Date, June 10, 2015:**

UMB Fund Services Inc.

No. 6970

- The following firm will begin participation in the MF – Daily Price and Rate service, as detailed below:

**First Trade Date, June 10, 2015:**

Northern Lights Distributors LLC/Miller Convertible Funds

No. 5622

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

**First Trade Date, June 10, 2015:**

Robert W. Baird & Co. Incorporated

No. 0547

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

	<b><u>Clearing Broker Identifiers</u></b>		<b><u>Executing Broker Identifiers</u></b>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, June 2, 2015</u></b>				
Loewen, Ondaatje, McCutcheon USA Limited		0235	LOMU	
Arive Capital Markets LLC	FSWC	0309	ARIV	
<b><u>Delete Last Trade Date, June 3, 2015</u></b>				
D. Weckstein & Co., Inc.	VSIN	0595	WECK	
<b><u>Delete Last Trade Date, June 5, 2015</u></b>				
Cova Capital Partners LLC		0235	CPLC	
<b><u>Add First Trade Date, June 4, 2015</u></b>				
Tradier Brokerage, Inc.	PFCL	0158	TBIA	
<b><u>Add First Trade Date, June 5, 2015</u></b>				
Dinosaur Securities, L.L.C.	ICBK	0388	TREX	
Loewen, Ondaatje, McCutcheon USA Limited		0235	LOMU	
<b><u>Add First Trade Date, June 8, 2015</u></b>				
Angel Island Capital Services, LLC	ECUT	0100	AICS	
<b><u>Add First Trade Date, June 17, 2015</u></b>				
Sweney Cartwright & Company		0235	SWEN	

- Please update the NSCC Directory dated June 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>
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	APOG	
To: Citadel Securities LLC	CDRG	8430	APOG	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	CATS	
To: Citadel Securities LLC	CDRG	8430	CATS	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	CCMX	
To: Citadel Securities LLC	CDRG	8430	CCMX	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	CEDL	
To: Citadel Securities LLC	CDRG	8430	CEDL	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	CEMM	
To: Citadel Securities LLC	CDRG	8430	CEMM	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	ICRD	
To: Citadel Securities LLC	CDRG	8430	ICRD	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	IELP	
To: Citadel Securities LLC	CDRG	8430	IELP	
<b><u>Clearing Broker Change Effective First</u></b>				
<b><u>Trade Date, June 15, 2015</u></b>				
From: Citadel Securities LLC	CDRG	0395	PRDG	
To: Citadel Securities LLC	CDRG	8430	PRDG	

<b>Delete Last Trade Date, June 3, 2015</b>				
Wedbush Securities Inc.	WEDB	0103	WMLP	
Kyson & Co	WEDB	0103	KYSN	
<b>Delete Last Trade Date, June 4, 2015</b>				
Wedbush Morgan Securities, Inc.	WEDB	0103	WMMO	
Webush Morgan Securities	WEDB	0103	WMSR	
Wedbush Securities Inc.	WEDB	0103	WMEU	
<b>Delete Last Trade Date, June 5, 2015</b>				
Wedbush Morgan Securities, Inc.	SHMR	0695	LIFW	
Wedbush Morgan Securities, Inc.	SHMR	0695	WMSS	
Wedbush Securities Inc.	SHMR	0695	WSLT	
Wedbush Securities Inc.	APMA	0396	WLSC	
<b>Add First Trade Date, June 4, 2015</b>				
Lime brokerage LLC	APMA	0396	LIWK	
<b>Add First Trade Date, June 8, 2015</b>				
OTCex LLC	ICBK	0388	OTCT	
Industrial and Commercial Bank of China Financial	IBFS	0824	ICBC	
<b>Add First Trade Date, June 11, 2015</b>				
Global Alliance Securities, LLC	IBFS	0824	GASS	
Victor Securities, LLC.	IBFS	0824	VSIC	

- Please update the NSCC Directory dated June 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>
<b>Add First Trade Date, June 4, 2015</b>				
Wolverine Trading, LLC	ICBK	0388	WTLP	

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