



Important Notice
National Securities Clearing Corporation

A#:	8057
P&S #:	7632
Date:	07/17/2015
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 firms will retire from all services, as detailed below:

Last Trade Date, July 17, 2015:

Mesirow Financial, Inc.

No. 0727

Last Trade Date, July 20, 2015:

Northern Lights Distributors, LLC/Aftershock Strategies Fund

No. 7018

Last Trade Date, July 23, 2015:

Barclays Capital Inc./Barclays Celsius Funds Ireland/Malta

No. 5375

- The following firm will no longer participate in the Fund/SERV and Networking services, as detailed below:

Last Trade Date, July 17, 2015:

Koonce Securities, Inc.

No. 0712

- The following firms will change their names only, as detailed below:

First Trade Date, July 14, 2015:

From: Inland American Real Estate Trust, Inc.

No. 1756

To: InvenTrust Properties Corp.

No. 1756

First Trade Date, July 17, 2015:

From: Upromise Investments, Inc.

No. 5704

To: Ascensus Broker Dealer Services, Inc.

No. 5704

From: Upromise Investments, Inc./Phoenix Platform Account

No. 5670

To: Ascensus Broker Dealer Services, Inc./Phoenix Platform Account

No. 5670

From: Upromise Investments, Inc./Envision

No. 3031

To: Ascensus Broker Dealer Services, Inc./Envision

No. 3031

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

First Trade Date, July 17, 2015:

Northern Lights Distributors, LLC/BTS Funds No. 5401

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

First Trade Date, July 17, 2015:

Northern Lights Distributors LLC/Miller Convertible Funds No. 5622

- The following firm will begin participation in the ACATS Fund/SERV service, as detailed below:

First Trade Date, July 20, 2015:

Walhausen Funds No. 5595

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

First Trade Date, July 17, 2015:

Terra Income Advisors, LLC No. 6893

First Trade Date, July 21, 2015:

Legg Mason Investor Services, LLC No. 2921

- The following additional number has been assigned to Amundi Luxembourg S.A. (#3391) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and DTCC Payment aXis services, as detailed below:

First Trade Date, July 22, 2015:

Amundi Luxembourg SA/First Eagle No. 3248

Contact: Daniel Stacewicz

Phone: (352) 4767-5355

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

Clearing Broker Identifiers

Executing Broker Identifiers

Alpha

Numeric

Alpha

Numeric

Executing Broker Name Change Effective First Trade Date, July 16, 2015

From: INTL Trading Inc.

To: INTL FCStone Financial Inc.

MLCO

0161

INTL

MLCO

0161

INTL

Clearing Broker Change Effective First Trade Date, July 17, 2015

From: International Strategy & Investment Group LLC

To: International Strategy & Investment Group LLC

BSSC

0352

ISIG

NFSC

0226

ISIG

Clearing Broker Change Effective First Trade Date, July 20, 2015

From: White Mountain Capital, LLC	BSSC	0352	WMCL
To: White Mountain Capital, LLC	SWST	0279	WMCL

Delete Last Trade Date, July 17, 2015

J.D. Nicholas & Associates, Inc.	LGNT	0052	FRIS
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Add First Trade Date, July 14, 2015

Tribal Capital Markets, LLC		0235	TRIB
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Add First Trade Date, July 17, 2015

Westrock Capital Management, Inc.	LGNT	0052	WSRP
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- Please update the NSCC Directory dated July 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>

Executing Broker Name Change Effective First Trade Date, July 16, 2015

From: INTL FCStone Securities Inc.	PERS	0443	FCST
To: INTL FCStone Financial Inc.	PERS	0443	FCST

Delete Last Trade Date, July 16, 2015

High Point Capital Group, Inc.	ETCC	0873	COHI
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Delete Last Trade Date, July 17, 2015

Electronic Transaction Clearing, Inc.	ETCC	0873	ETDE
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Add First Trade Date, July 16, 2015

Jump Trading	SHMR	0695	XPQR
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Add First Trade Date, July 17, 2015

Precision Securities, LLC	IBFS	0824	CPNT
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.