



Important Notice
National Securities Clearing Corporation

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|-------------------|---|
| A#: | 8060 |
| P&S #: | 7635 |
| Date: | 07/31/2015 |
| 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 firm will retire from all services, as detailed below:

Last Trade Date, July 28, 2015:

U.S. Bancorp Fund Services, LLC

No. 1967

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

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

First Trade Date, July 29, 2015:

Opus Fund Services (USA) LLC

No. 1967

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

Last Trade Date, August 3, 2015:

Capital One Investment Services LLC

No. 0431

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following firm will begin participation in the Networking, DTCC Payment aXis, and Insurance Processing services, as detailed below:

First Trade Date, August 4, 2015:

Capital One Investing, LLC

No. 0431

Contact: Kristen Constantino

Phone: (631) 577-5819

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

Last Trade Date, August 3, 2015:

Capital One Investment Services LLC/Chevy Chase Securities, Inc. No. 0290

In connection with the above account retirement, another member firm will now assume this number, as detailed below:

- The following additional number has been assigned to Capital One Investing, LLC (#0431) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, and Insurance Processing services, as detailed below:

First Trade Date, August 4, 2015:

Capital One Investing LLC/Chevy Chase Securities Inc. No. 0290

Contact: Kristen Constantino

Phone: (631) 577-5819

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

Last Trade Date, July 30, 2015:

Reich & Tang Distributors, Inc. No. 5845

Last Trade Date, July 31, 2015:

Global Trust Company/BHMS No. 7039

- The following firm will no longer participate in the DTCC Payment aXis service, as detailed below:

Last Trade Date, July 30, 2015:

Quasar Distributors, LLC/Capital Guardian Funds No. 3002

- The following firm will change its name only, as detailed below:

First Trade Date, July 31, 2015:

From: Pacific Select Distributors, Inc. No. 5478

To: Pacific Select Distributors, LLC No. 5478

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

First Trade Date, July 31, 2015:

ALPS Distributors, Inc./Mairs and Power Funds Trust No. 6546

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

First Trade Date, August 3, 2015:

Vanguard Marketing Corporation No. 5772

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

First Trade Date, August 4, 2015:

Northern Lights Distributors, LLC/Swan Defined Risk Fund No. 3357

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

First Trade Date, August 3, 2015:

Michael J. Liccar & Company, LLC No. 6995

First Trade Date, August 4, 2015:

SS&C Technologies, Inc. No. 6996

- The following additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, August 3, 2015:

State Street Bank & Trust Company/NRS Inc/Minnesota State Board No. 3249

Contact: Belynda Crick

Phone: (617) 662-6013

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

First Trade Date, August 3, 2015:

Quasar Distributors LLC/Fulcrum Funds No. 3236

Contact: Casey Sauer

Phone: (414) 203-9122

- 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, August 3, 2015:

Foreside Fund Services, LLC/Man Umbrella SICAV No. 3216

Contact: Jarek Czernek

Phone: (352) 45141-4206

- Please update the NSCC Directory dated July 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> |
| <u>Delete Last Trade Date, July 30, 2015</u> | | | | |
| Independent Brokers LLC | FSWC | 0309 | INDE | |
| <u>Delete Last Trade Date, July 31, 2015</u> | | | | |
| Atlantic Trading Partners Incorporated | | 0235 | ATTR | |
| Liberum Capital Inc | BSSC | 0352 | LINC | |
| <u>Add First Trade Date, July 29, 2015</u> | | | | |
| Axia Capital Markets, LLC | ECUT | 0100 | AXIA | |

- 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> |
| <u>Delete Last Trade Date, July 29, 2015</u> Dynasty Capital Partners, Inc. | SWST | 0279 | DCPI | |
| <u>Delete Last Trade Date, July 31, 2015</u> Marco Polo Securities Inc. | ETCC | 0873 | MPSC | |
| <u>Add First Trade Date, July 28, 2015</u> Benjamin & Jerold Brokerage I, LLC | ETCC | 0873 | BDVE | |
| <u>Add First Trade Date, July 31, 2015</u> Berenberg Capital Markets LLC Liquidnet, Inc. | SILK SILK | 0501 0501 | BCM STRM | |

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