



Important Notice
National Securities Clearing Corporation

A#:	8074
P&S #:	7649
Date:	08/28/2015
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, August 28, 2015:

DST Market Services, LLC/GW

No. 3038

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 GWFS Equities Inc. (#0257) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, August 31, 2015:

GWFS Equities, Inc./GWCM

No. 3038

Contact: John Clouthier

Phone: (303) 737-4939

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

Last Trade Date, August 31, 2015:

Quasar Distributors LLC/Brandes Investment Trust

No. 5693

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 – Daily Price and Rate, DTCC Payment aXis, Omni/SERV Activity & Position, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2015:

ALPS Distributors Inc./Brandes Funds

No. 5693

Contact: Peter Irving

Phone: (414) 287-3689

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

Last Trade Date, September 1, 2015:

Northern Lights Distributors, LLC/Vice Funds	No.	7020
Blue Alternative Asset Management LLC	No.	3405

Last Trade Date, September 2, 2015:

Fintegra, LLC	No.	0281
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- The following firm will begin participation in the Invoicing and Fee Settlement: 12B-1 service, as detailed below:

First Trade Date, September 1, 2015:

Franklin/Templeton Distributors, Inc.	No.	5534
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- The following firms will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, August 28, 2015:

Interval Partners, L.P.	No.	6969
Militello Capital, LLC	No.	6785

First Trade Date, August 31, 2015:

Noctua Asset Management, LLC	No.	6789
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- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2015:

Northern Lights Distributors, LLC/Atlas Funds Contact: Mike Nielsen Phone: (402) 896-7267	No.	3262
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- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2015:

Quasar Distributors, LLC/Zevenbergen Capital Investments Contact: Casey Sauer Phone: (414) 203-9122	No.	3234
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- Please update the NSCC Directory dated August 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>Clearing Broker Change Effective First Trade Date, August 31, 2015</u>				
From: Rencap Securities, Inc.	BSSC	0352	RENC	
To: Rencap Securities, Inc.	ECUT	0100	RENC	
<u>Clearing Broker Change Effective First Trade Date, September 9, 2015</u>				
From: Thomas P. Reynolds Securities Ltd.	BSSC	0352	REYN	
To: Thomas P. Reynolds Securities Ltd.		0235	REYN	
<u>Clearing Broker Change Effective First Trade Date, September 9, 2015</u>				
From: Consolidated Financial Investments, Inc.	BSSC	0352	CFII	
To: Consolidated Financial Investments, Inc.		0235	CFII	
<u>Delete Last Trade Date, August 24, 2015</u>				
E.S. Financial Services, Inc.	PERS	0443	ESFS	
<u>Delete Last Trade Date, August 26, 2015</u>				
Arcadia Investment Corp.	BSSC	0352	AICO	
Chilian Partners L.P.	BSSC	0352	CHIL	
ING Investment Management Services LLC	BSSC	0352	FSFS	
Investacorp, Inc.	BSSC	0352	INVE	
SEI Investments Distribution	BSSC	0352	SEIC	
Vasiliou & Company, Inc.	BSSC	0352	VASL	
<u>Delete Last Trade Date, August 27, 2015</u>				
Indiana Merchant Banking & Brokerage Co., Inc.	SWST	0279	IMBB	
<u>Delete Last Trade Date, September 8, 2015</u>				
Blue Capital Securities, Inc.	BSSC	0352	BCSB	
Empire Asset Management Company	BSSC	0352	EAMC	
<u>Add First Trade Date, August 25, 2015</u>				
Banorte-IXE Securities International, Ltd.	PFCL	0158	BNTE	
<u>Add First Trade Date, August 26, 2015</u>				
Mora WM Securities	BSSC	0352	MORR	
<u>Add First Trade Date, September 9, 2015</u>				
Empire Asset Management Company		0235	EAMG	

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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>
<u>Clearing Broker Change Effective First Trade Date, September 9, 2015</u>				
From: N.B. Zoullas Securities, Inc.	BSSC	0352	ZOUL	
To: N.B. Zoullas Securities, Inc.		0235	ZOUL	
<u>Delete Last Trade Date, August 25, 2015</u>				
Mora WM Securities	BSSC	0352	MORA	
<u>Delete Last Trade Date, August 26, 2015</u>				
Pace (A.J.) & Co.	BSSC	0352	AJAY	
Valores Finamex International, Inc.	BSSC	0352	FINA	
<u>Add First Trade Date, August 26, 2015</u>				
First Allied Securities, Inc.	PERS	0443	FAST	
<u>Add First Trade Date, August 31, 2015</u>				
Arctic Securities LLC	IBFS	0824	ARSC	
SEI Investments Distribution Co.	ITGI	0099	SEIC	

- Please update the NSCC Directory dated August 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>
<u>Clearing Broker Change Effective First Trade Date, August 26, 2015</u>				
From: Mora WM Securities	BSSC	0352	MORA	
To: Mora WM Securities	PERS	0443	MORA	
<u>Delete Last Trade Date, August 26, 2015</u>				
Broad Street Securities	BSSC	0352	BDST	
Rice, Voelker L.L.C.	BSSC	0352	CEON	
Financial Research Company	BSSC	0352	FINR	
J. Scott Securities Corporation	BSSC	0352	JSSC	
KW Securities Corporation	BSSC	0352	LAKA	
NRP Financial, Inc.	BSSC	0352	OFCC	
Safian Investment Research, Inc.	BSSC	0352	SIRI	

Add First Trade Date, August 25, 2015

Brickell Global Markets, Inc.

PERS

0443

BGMI

Add First Trade Date, September 9, 2015

N.B. Zoullas Securities, Inc.

0235

ZOUL

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