



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

<b>A#:</b>	8082
<b>P&amp;S #:</b>	7657
<b>Date:</b>	09/18/2015
<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

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

**Last Trade Date, September 18, 2015:**

UMB Distribution Services, LLC/Commonwealth International Series Trust No. 4878

*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 Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, DTCC Payment aXis, ACATS, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, September 21, 2015:**

Unified Financial Securities, Inc./Commonwealth International Series Trust No. 4878

Contact: Joe Flannery

Phone: (317) 917-7425

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

**Last Trade Date, September 18, 2015:**

Sweney Cartwright & Company No. 7027

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

**First Trade Date, September 18, 2015:**

From: Lincoln Investment Planning, Inc. No. 0145

To: Lincoln Investment Planning, LLC No. 0145

**First Trade Date, September 21, 2015:**

From: Ascensus Trust Company/EFC Financial Services LLC No. 1328

To: Ascensus Trust Company/Ascensus Financial Services, LLC No. 1328

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

**First Trade Date, September 22, 2015:**

Foreside Fund Services, LLC/Performance Trust No. 5324

**First Trade Date, September 25, 2015:**

Adviser Dealer Services, Inc. No. 5706

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

**First Trade Date, September 18, 2015:**

Conifer Financial Services LLC No. 9808

U.S. Bancorp Fund Services, LLC No. 9809

**First Trade Date, September 22, 2015:**

Gemini Fund Services, LLC No. 9810

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

**First Trade Date, September 18, 2015:**

Regulus Advisors, LLC. No. 3214

- Please update the NSCC Directory dated September 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>

**Delete Last Trade Date, September 18, 2015**

Whitaker Securities LLC	PERS	0443	WTKR
Whitaker Securities LLC	PERS	0443	WHCG

**Add First Trade Date, September 21, 2015**

GFI Securities LLC	BGCF	0537	LATG
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- Please update the NSCC Directory dated September 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>

**Clearing Broker Change Effective First Trade Date, September 23, 2015**

From: Needham & Company, LLC	BSSC	0352	NEED
To: Needham & Company, LLC	PERS	0443	NEED

**Delete Last Trade Date, September 16, 2015**

Jefferies LLC SILK 0501 GJEF

**Delete Last Trade Date, September 22, 2015**

Invex, Inc. BSSC 0352 IVEX  
VectorGlobal WMG BSSC 0352 VMEX  
R.W. Pressprich & Co. BSSC 0352 RWPS

**Add First Trade Date, September 21, 2015**

GFI Securities LLC BGCF 0537 GFIG

- Please update the NSCC Directory dated September 2015 (for Municipal Bond Comparison System) as detailed below:

**Clearing Broker Identifiers**      **Executing Broker Identifiers**  
Alpha      Numeric      Alpha      Numeric

**Clearing Broker Change Effective First Trade Date, September 21, 2015**

From: GFI Securities LLC PERS 0443 GFIG  
To: GFI Securities LLC BGCF 0537 GFIG

**Clearing Broker Change Effective First Trade Date, September 21, 2015**

From: Hartfield, Titus & Donnelly, LLC PERS 0443 HFLD  
To: Hartfield, Titus & Donnelly, LLC SWST 0279 HFLD

**Clearing Broker Change Effective First Trade Date, September 23, 2015**

From: VectorGlobal WMG BSSC 0352 VMEX  
To: VectorGlobal WMG PERS 0443 VMEX

**Clearing Broker Change Effective First Trade Date, September 23, 2015**

From: R.W. Pressprich & Co. BSSC 0352 RWPS  
To: R.W. Pressprich & Co. PERS 0443 RWPS

**Delete Last Trade Date, September 22, 2015**

Needham & Company, LLC BSSC 0352 NEED

**Add First Trade Date, September 23, 2015**

Invex, Inc. PERS 0443 IVEX

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