



Important Notice
National Securities Clearing Corporation

A#:	8088
P&S #:	7663
Date:	09/25/2015
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, September 30, 2015:

Quasar Distributors, LLC / Brandes Dublin Offshore

No. 5911

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, and DTCC Payment aXis services, as detailed below:

First Trade Date, October 01, 2015:

ALPS Distributors Inc./Brandes Dublin Offshore

No. 5911

Contact: Kole Anderson

Phone: (353) 1 618 2700

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

Last Trade Date, September 30, 2015:

ALPS Distributors, Inc./Riverside Funds

No. 3028

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

First Trade Date, October 01, 2015:

From: First Investors Corporation

No. 5146

To: Foresters Financial Services, Inc.

No. 5146

From: First Investors Corporation

No. 5545

To: Foresters Financial Services, Inc.

No. 5545

First Trade Date, October 02, 2015:

From: Quasar Distributors, LLC/Lotsoff Capital Mgt No. 5841
To: Quasar Distributors, LLC/Ziegler Funds No. 5841

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

First Trade Date, October 1, 2015:

Van Eck Securities Corporation No. 5524

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

First Trade Date, October 1, 2015:

Quasar Distributors LLC/Sound Point Funds No. 3079

- The following firms will begin participation in the DTCC Payment aXis service, as detailed below:

First Trade Date, October 1, 2015:

Quasar Distributors, LLC/Scharf Funds No. 3771
Quasar Distributors, LLC/Lotsoff Capital Mgt No. 5841

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

First Trade Date, October 1, 2015:

Quasar Distributors, LLC/Pension Partners Fund No. 3367

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

First Trade Date, September 24, 2015:

SS&C Technologies, Inc. No. 9812
SS&C Technologies, Inc. No. 9813

First Trade Date, September 30, 2015:

Swiss Financial Services, Inc. No. 4787
Fairway America, LLC No. 6787

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

First Trade Date, September 25, 2015:

Securian Financial Services, Inc. No. 8411

- The following additional number has been assigned to John Hancock Funds, LLC (#5582) for the purpose of utilizing Fund/SERV, Networking, and MF – Daily Price and Rate services, as detailed below:

First Trade Date, September 28, 2015:

John Hancock Funds, LLC/John Hancock Distributors LLC, VIT No. 3267
Contact: Kelly Darcy
Phone: (617) 663-3966

- 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, and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 1, 2015:

ALPS Distributors Inc./Clough Funds
 Contact: Matt Elschen
 Phone: (720) 917-0627

No. 3254

- 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>
<u>Delete Last Trade Date, September 25, 2015</u> Estrada Hinojosa & Company, Inc.	FSWC	0309	ESTR	
<u>Add First Trade Date, September 22, 2015</u> Americas Executions, LLC	IBFS	0824	AMRI	

- Please update the NSCC Directory dated September 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, September 28, 2015</u> From: Estrada Hinojosa & Company, Inc. To: Estrada Hinojosa & Company, Inc.	FSWC	0309	ESTR	
	SWST	0279	ESTR	
<u>Delete Last Trade Date, September 23, 2015</u> Seidel & Shaw LLC	FSWC	0309	DAVW	

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