



Important Notice
National Securities Clearing Corporation

A#:	8078
P&S #:	7653
Date:	09/04/2015
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 item is revised from Important Notice A#8074 (P&S#7649) dated August 28, 2015. The last trade date has changed from September 2, 2015 to September 8, 2015.

- The following firm will retire from all services, as detailed below:
Last Trade Date, September 8, 2015:
Fintegra, LLC No. 0281
- The following firm will retire from all services, as detailed below:
Last Trade Date, September 3, 2015:
Quasar Distributors, LLC/Strategic Income Management Funds No. 5905
- The following firm will no longer participate in the Fund/SERV, Networking, ACATS, ACATS Fund/SERV, Trade Comparison, Trade Recording, Obligation Warehouse and Envelope Settlement services, as detailed below:
Last Trade Date, September 14, 2015:
Sweeney Cartwright & Company No. 7027
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, September 4, 2015:
Interactive Brokers LLC/Retail No. 0534

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

First Trade Date, September 4, 2015:

iCapital Advisors, LLC	No.	6858
iCapital Advisors, LLC	No.	6859
iCapital Advisors, LLC	No.	6868
iCapital Advisors, LLC	No.	6959
iCapital Advisors, LLC	No.	6981
iCapital Advisors, LLC	No.	7029

First Trade Date, September 9, 2015:

SS&C Technologies, Inc.	No.	9801
SS&C Technologies, Inc.	No.	9802

- 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 ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2015:

ALPS Distributors Inc./Clarkston Funds	No.	3257
Contact: Financials Team		
Phone: (866) 909-8084		

- 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, September 3, 2015:

State Street Bank & Trust Company/NRS Inc/Mercer Trust Co.	No.	3265
Contact: Belynda Crick		
Phone: (617) 662-6013		

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis, MF – Daily Price and Rate, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 4, 2015:

Northern Lights Distributors, LLC/Hanlon Funds	No.	3263
Contact: Mike Nielsen		
Phone: (402) 896-7267		

- The following additional number has been assigned to Princor Financial Services Corporation (#5546) for the purpose of utilizing Fund/SERV, Networking, MF – Daily Price and Rate, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 4, 2015:

Princor Financial Services Corporation/Principal Trust Company	No.	3264
Contact: Kristin Camp		
Phone: (302) 993-8554		

- 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>Delete Last Trade Date, September 3, 2015</u> Forefront Capital Markets LLC		0235	FFCB	
<u>Delete Last Trade Date, September 11, 2015</u> Otkritie Inc.	BSSC	0352	OTKR	
<u>Add First Trade Date, September 2, 2015</u> Rothschild Lieberman LLC	LGNT	0052	RTLL	

- Please update the NSCC Directory dated August 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 4, 2015</u> Emerging Growth Equities, Ltd.	ITGI	0099	EGRO	
<u>Add First Trade Date, September 3, 2015</u> DFPG Investments, Inc.		0235	DFPG	

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