



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

<b>A#:</b>	7729
<b>P&amp;S #:</b>	7299
<b>Date:</b>	11/08/2013
<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 firms will no longer participate in the Corporate Bond Comparison service, as detailed below:

**Last Trade Date, November 7, 2013:**

ABN AMRO Clearing Chicago LLC/Bonds No. 0575  
ABN AMRO Clearing Chicago LLC No. 0695

- The following firm will no longer participate in the OTC and Bond Comparison services, as detailed below:

**Last Trade Date, November 12, 2013:**

BNP Paribas Securities Corp. No. 0049  
OTC/MUNI Alpha Identifier: BNPS  
*\*See below for additional information*

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

**First Trade Date, November 14, 2013:**

From: Quasar Distributors, LLC/Mariner Funds No. 5406  
To: Quasar Distributors, LLC/Convergence Funds No. 5406

- The following firm will begin participation in the Envelope Settlement Service, as detailed below:

**First Trade Date, November 7, 2013:**

Electronic Transaction Clearing, Inc. No. 0873

- The following firm will begin participation in the Omni/SERV 529 Aggregation service, as detailed below:

**First Trade Date, November 8, 2013:**

MFS Fund Distributors, Inc. No. 5516

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

**First Trade Date, November 11, 2013:**

GE Investment Distributors, Inc. No. 5679

- The following firms will begin participation in the MF Profile Daily Price & Rate service, as detailed below:

**First Trade Date, November 13, 2013:**

Northern Lights Distributors, LLC/Good Harbor Funds No. 7038  
 Quasar Distributors, LLC/Nuance Funds No. 5369  
 Quasar Distributors, LLC/Mariner Funds No. 5406  
 Quasar Distributors, LLC/Tortoise Core Infrastructure Fund No. 5168

**First Trade Date, November 14, 2013:**

Quasar Distributors, LLC/DSM Funds No. 5952

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

**First Trade Date, November 14, 2013:**

UMB Fund Services, Inc. No. 1442

- The following additional number has been assigned to American United Life Insurance Company (#4591) for the purpose of utilizing the Insurance Processing Service, as detailed below:

**First Trade Date, November 6, 2013:**

American United Life Insurance Company/COM Test No. 1364

- The following additional number has been assigned to BOFA Distributors, Inc. (#5320) for the purpose of utilizing Fund/SERV, Networking, Omni/SERV Activity & Position and MF Profile services as detailed below:

**First Trade Date, November 12, 2013:**

BOFA Distributors, Inc./Bank of America Global Liquidity U.S. Dollar Fund PLC No. 1347  
 Networking Symbol: US  
 Contact: Patrick Campbell  
 Phone: (617) 585-4110

- The following additional numbers have been assigned to Guardian Insurance & Annuity Company, Inc. (The) (#4533) for the purpose of utilizing Insurance Processing service as detailed below:

**First Trade Date, November 15, 2013:**

Guardian Insurance & Annuity Company, Inc. (The)/Berkshire No. 7959  
 Guardian Insurance & Annuity Company, Inc. (The)/GLIC No. 7960

- The following additional numbers have 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, November 15, 2013:**

Northern Lights Distributors, LLC/Redwood Managed Volatility Fund No. 1365  
 Networking Symbol: IC  
 Contact: Mike Nielsen  
 Phone: (402) 896-7267

**First Trade Date, November 15, 2013:**

Northern Lights Distributors, LLC/West Shore Real Return Income Fund No. 1366  
 Networking Symbol: U0  
 Contact: Mike Nielsen  
 Phone: (402) 896-7267

**First Trade Date, November 15, 2013:**

Northern Lights Distributors, LLC/Larkin Point Equity Preservation Fund No. 1370  
 Networking Symbol: U6  
 Contact: Mike Nielsen  
 Phone: (402) 896-7267

- Please update the NSCC Directory dated November 2013 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker</u>		<u>Executing Broker</u>	
	<u>Identifiers</u>		<u>Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, November 4, 2013</u></b>				
Scottsdale Capital Advisors Corp.	PFCL	0158	SCAI	
<b><u>Delete Last Trade Date, November 6, 2013</u></b>				
Investec Securities (US) LLC	PERS	0443	INVC	
Domestic Financial Service, Inc.	SWST	0279	DFIC	
AKJ	PFCL	0158	AKJI	
Buckman, Buckman & Reid, Inc.	PFCL	0158	BBRF	
CM Securities, Inc.	PFCL	0158	CMSE	
Commerce Street Capital, LLC	PFCL	0158	CSCL	
Dawson James Securities, Inc.	PFCL	0158	DJSI	
FMS Bonds, Inc.	PFCL	0158	FMUS	
Genesis Securities, LLC	PFCL	0158	GNDS	
HCFP Brenner Securities, LLC	PFCL	0158	HCBR	
ChoiceTrade	PFCL	0158	LETS	
Merrimac Corporate Securities, Inc.	PFCL	0158	MERR	
Newport Coast Securities	PFCL	0158	NCSI	
NI Advisors	PFCL	0158	NIAD	
Obex Securities LLC	PFCL	0158	OBEX	
Quest Capital Strategies, Inc.	PFCL	0158	QUEC	
Redi Markets LLC	PFCL	0158	REDI	
Reuven Enterprises Securities Division, Inc.	PFCL	0158	REUV	

Hudson Valley Capital Management	PFCL	0158	SECT
Landmark Investmet Group, Inc	PFCL	0158	SUMC
Tobias Bros, Inc.	PFCL	0158	TOBI
Tradewinds Financial Group, Incorporated	PFCL	0158	TRFI
IJL Financial Advisors, LLC	PFCL	0158	TRUM
Thomas Group Capital	PFCL	0158	TSEC
H.C. Wainwright & Co., Inc.	PFCL	0158	WAIN
Capital Growth Resources	PFCL	0158	WALT
White Pacific Securities, Inc.	PFCL	0158	WPSI
Wyser-Pratte & Co., Inc.	PFCL	0158	WYSE
Zecco Trading, Inc.	PFCL	0158	ZECO

**Delete Last Trade Date, November 7, 2013**

Autonomous Research LLP	BNPS	0049	ARUK
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**Add First Trade Date, November 13, 2013**

BNP Paribas Securities Corp.	BPBI	2154	BNPS
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**Add First Trade Date, December 2, 2013**

Solium Financial Services LLC	BSSC	0352	SOLM
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- Please update the NSCC Directory dated November 2013 (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>
<b><u>Clearing Broker Change Effective First Trade Date, November 8, 2013</u></b>				
From: River Cross Securities, LLLP	PRST	0551	PRRX	
To: River Cross Securities, LLLP	ECUT	0100	PRRX	
<b><u>Clearing Broker Change Effective First Trade Date, November 8, 2013</u></b>				
From: River Cross Securities, LLLP	PRST	0551	RCSL	
To: River Cross Securities, LLLP	ECUT	0100	RCSL	
<b><u>Clearing Broker Change Effective First Trade Date, November 13, 2013</u></b>				
From: BNP Paribas Securities Corp.	BNPS	0049	PARI	
To: BNP Paribas Securities Corp.	BPBI	2154	PARI	
<b><u>Clearing Broker Change Effective First Trade Date, November 13, 2013</u></b>				
From: BNP Paribas Securities Corp.	BNPS	0049	BNPB	
To: BNP Paribas Securities Corp.	BPBI	2154	BNPB	

**Clearing Broker Change Effective**  
**First Trade Date, November 13, 2013**

From: Fator Securities LLC	BNPS	0049	FATO
To: Fator Securities LLC	BPBI	2154	FATO

**Clearing Broker Change Effective**  
**First Trade Date, November 13, 2013**

From: BNP Paribas Investment Services, LLC	BNPS	0049	BNPC
To: BNP Paribas Investment Services, LLC	BPBI	2154	BNPC

**Clearing Broker and Executing Broker Name Change**  
**Effective First Trade Date, November 13, 2013**

From: Brean Murray, Carret & Co.,LLC	PFCL	0158	BMUR
To: Brean Capital, LLC	PERS	0443	BMUR

**Delete Last Trade Date, November 6, 2013**

Advisors Clearing Network, Inc.	PFCL	0158	ADCN
American Union Securities, Inc.	PFCL	0158	AUSI
AX Trading, LLC	PFCL	0158	AXTN
Bannockburn Partners, LLC	PFCL	0158	BPLC
Blue Trading, Inc.	PFCL	0158	BTNY
Ceros Financial Services, Inc.	PFCL	0158	CFSI
Chapdelaine Corporate Securities	PFCL	0158	CHPY
Kevin Dann & Partners, LLC	PFCL	0158	DANN
Descap Securities inc.	PFCL	0158	DESS
Title Securities, Inc.	PFCL	0158	DIRX
DME Securities, LLC	PFCL	0158	DMES
Doley Securities, LLC	PFCL	0158	DOLE
Equity Station, Inc.	PFCL	0158	ESTA
Farina & Associates, Inc.	PFCL	0158	FARC
Farina & Associates, Inc.	PFCL	0158	FARJ
Granite Financial Group, Inc.	PFCL	0158	GFIN
Granite Financial Group, Inc.	PFCL	0158	GFNC
H.C. Wainwright & Co., Inc.	PFCL	0158	HCWT
Internet Capital Markets Corporation	PFCL	0158	ICMC
Infinium Securities Inc.	PFCL	0158	INFC
Island Traders Securities	PFCL	0158	ITSI
JB Drax Honore' Inc.	PFCL	0158	JBDH
Quantlab Securities LP	PFCL	0158	LABQ
FMSBonds, Inc.	PFCL	0158	MIAM
Montecito Advisors, Inc.	PFCL	0158	MORF
MVP Financial, LLC	PFCL	0158	MVFN
NCP Northland Capital Partners (USA) Inc.	PFCL	0158	NCPU
Falcon Research, Inc.	PFCL	0158	PIDG
Raymond James (USA) Ltd.	PFCL	0158	RAJC
Advanced Equities Services Corp.	PFCL	0158	SALD
Shoreline Trading Group LLC	PFCL	0158	SHTP
SNC Capital Management Corp.	PFCL	0158	SNCC
TD Securities (USA) LLC	PFCL	0158	TDED

ThinkEquity LLC	PFCL	0158	THNK
Todd & Company Inc.	PFCL	0158	TODD
VCG Securities LLC	PFCL	0158	VANQ
ThinkEquity Partners LLC	PFCL	0158	VISR
Wolf A. Popper, Inc.	PFCL	0158	WAPS
Watermark Securities, Inc.	PFCL	0158	WZSC
York Securities Inc	PFCL	0158	YOSE

**Delete Last Trade Date, November 7, 2013**

Marco Polo Securities Inc.	BNPS	0049	DVNE
Jaypee International, Inc.	BNPS	0049	JPII
Religare Capital Markets Inc.	BNPS	0049	RCUS

**Add First Trade Date, November 5, 2013**

Dinosaur Securities, L.L.C.	ETCC	0873	DINO
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**Add First Trade Date, November 6, 2013**

Bays Capital LLC	IBFS	0824	BAYS
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**Add First Trade Date, November 11, 2013**

DART Executions, LLC	PRST	0551	DRTM
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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>

**Delete Last Trade Date, November 7, 2013**

Aviate Global LP	BNPS	0049	AVUS
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).