



Important Notice
National Securities Clearing Corporation

A#:	7902
P&S #:	7472
Date:	09/19/2014
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 18, 2014:

ALPS Distributors, Inc./BPVfunds

No. 3768

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 Ultimus Fund Distributors LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 19, 2014:

Ultimus Fund Distributors LLC/BPV Family of Funds

No. 3768

Contact: Doug Jones

Phone: (513) 587-3408

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

Last Trade Date, September 30, 2014:

Quasar Distributors, LLC /Litman Gregory Funds

No. 4892

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 – Profile and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 1, 2014:

ALPS Distributors Inc./Litman Gregory Masters Funds

No. 4892

Contact: Brian Montgomery

Phone: (720) 917-0746

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Non-Confidential

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

Last Trade Date, September 18, 2014:

National Stock Exchange, Inc. No. 0738

Last Trade Date, September 19, 2014:

Barclays Capital Inc./Barclays Multi-Manager Fund PLC No. 3350

Last Trade Date, September 22, 2014:

Northern Lights Distributors, LLC/Makefield Managed Futures Strategy Fund No. 3714

Northern Lights Distributors, LLC/Diversified Risk Parity Fund No. 5304

Last Trade Date, October 17, 2014:

Northern Lights Distributors, LLC/PTA Funds No. 5924

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

Last Trade Date, September 16, 2014:

Keybank Capital Markets Inc. No. 0799

OTC/MUNI Alpha Identifier: KEYB

**See below for additional information*

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

First Trade Date, September 25, 2014:

From: Plymouth Opportunity REIT, Inc. No. 1867

To: Plymouth Industrial REIT, Inc. No. 1867

- The following firms will begin participation in the ACATS service, as detailed below:

First Trade Date, September 22, 2014:

SEI Investments Distribution Co./Causeway Capital Management Trust No. 4913

SEI Investments Distribution Co/Wilshire Mutual Funds No. 4875

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

First Trade Date, September 22, 2014:

Northern Lights Distributors, LLC/Tactical Asset Allocation Fund No. 7992

First Trade Date, October 1, 2014:

MG Trust Company, LLC No. 5954

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

First Trade Date, September 26, 2014:

BHIL Distributors, Inc./Robeco Institutional Asset Management B.V. No. 3607

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

First Trade Date, September 19, 2014:

U.S. Bancorp Fund Services, LLC No. 2766

- The following additional number has been assigned to Saxony Securities Inc. (#3358) for the purpose of utilizing the Insurance Processing services as detailed below:

First Trade Date, September 22, 2014:

Saxony Securities Inc./Saxony Insurance, LLC No. 3129

- The following additional number has been assigned to Ultimus Fund Distributors LLC (#5837) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services as detailed below:

First Trade Date, September 26, 2014:

Ultimus Fund Distributors LLC/EBS Funds No. 3094

Contact: Doug Jones

Phone: (513) 587-3408

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

First Trade Date, September 30, 2014:

Northern Lights Distributors, LLC/PCS Commodity Strategy Fund No. 3126

Contact: Mike Nielsen

Phone: (402) 896-7267

- The following additional number has been assigned to Arbor Court Capital LLC (#7023) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, October 1, 2014:

Arbor Court Capital, LLC/Meyers Capital Investments Trust No. 3122

Contact: Greg Getts

Phone: (440) 922-0066 x101

- The following additional number has been assigned to Arbor Court Capital LLC (#7023) for the purpose of utilizing the Fund/SERV service, as detailed below:

First Trade Date, October 1, 2014:

Arbor Court Capital, LLC/MP63 Fund No. 3123

Contact: Greg Getts

Phone: (440) 922-0066 x101

- Please update the NSCC Directory dated September 2014 (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>Add First Trade Date, September 17, 2014</u> Keybank Capital Markets Inc.	PERS	0443	KEYB	

- Please update the NSCC Directory dated September 2014 (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>Clearing Broker Change Effective First Trade Date, September 26, 2014</u> From: Citigroup Global Markets Inc. To: Citigroup Global Markets Inc.	SBSH	0418	CXCX	
	CGMI	0505	CXCX	

Delete Last Trade Date, September 16, 2014
Trident Securities Division of McDonald Investment

KEYB	0799	TRDT
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Delete Last Trade Date, September 22, 2014

Israel A. Englander & Co., LLC
Liquid Capital Securities, LLC

WEDB	0103	IAEW
WEDB	0103	LIQD

Add First Trade Date, September 17, 2014

ConvergEx Execution Solutions LLC
Glendale Securities, Inc.

ECUT	0100	VRTX
ETCC	0873	GLEE

Add First Trade Date, September 18, 2014

PDQ ATS, Inc.
BATS Trading, Inc.
BATS Trading, Inc.
Electronic Transaction Clearing, Inc.

MLCO	0161	PDQX
WEDB	0103	EGAW
WEDB	0103	EGXW
ETCC	0873	ETAB

Add First Trade Date, September 22, 2014

Sanford C. Bernstein & Co., LLC
BATS Trading, Inc.
BATS Trading, Inc.

BERN	0013	SCBO
MSCO	0050	EGAM
MSCO	0050	EGXM

Add First Trade Date, November 10, 2014

Barclays Capital Inc.

LEHM	0229	BCDX
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- Please update the NSCC Directory dated September 2014 (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 17, 2014</u>				
From: Park Avenue Securities LLC	NFSC	0226	PASC	
To: Park Avenue Securities LLC	PERS	0443	PASC	
<u>Add First Trade Date, September 16, 2014</u>				
Lazard Freres & Co. LLC	PERS	0443	LAZF	

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