



Important Notice
National Securities Clearing Corporation

A#:	7417 REVISED 4/30/2012
P&S #:	6987
Date:	4/27/2012
To:	ALL PARTICIPANTS
Attention:	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
From:	ADREAN HINOJOSA, ACCOUNT ADMINISTRATION
Subject:	CHANGES IN THE LIST OF PARTICIPANTS

Revision: The reference to Name Change for Credit Suisse Securities (USA) LLC/Luxembourg Funds is for No. 4994; original distribution indicated 4944.

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

Last Trade Date, April 24, 2012:

Timber Hill LLC / Account #2 No. 0437

Last Trade Date, April 25, 2012:

BMO Nesbitt Burns Trading Corp. S.A. No. 0018

National Stock Exchange / NSX DMA No. 0700

Last Trade Date, April 26, 2012:

Matrix Capital Group, Inc./Catalyst Funds No. 5527

Matrix Capital Group, Inc./Compass EMP Funds No. 6607

Matrix Capital Group, Inc./Delux Funds No. 3748

Matrix Capital Group, Inc./JAG Funds No. 3603

Last Trade Date, May 1, 2012:

Forside Funds Distributors LLC/Dimensional Funds PLC
and Dimensional Funds II PLC No. 3746

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

First Trade Date, April 30, 2012:

From: Credit Suisse Asset Management Securities, Inc. No. 5735

To: Credit Suisse Securities (USA) LLC No. 5735

From: Credit Suisse Asset Management Securities, Inc./Luxembourg Funds No. 4994

To: Credit Suisse Securities (USA) LLC/Luxembourg Funds No. 4994

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Non-Confidential

First Trade Date, May1, 2012:

From: 401(K) Investment Services Inc.	No.	7119
To: Schwab Retirement Plan Services Company	No.	7119
From: Prudential Investment Management Services LLC/Retirement	No.	0450
To: Prudential Investment Management Services LLC	No.	0450
From: Prudential Investment Management Services LLC	No.	0498
To: Prudential Investment Management Services LLC/Clearing	No.	0498

- The following firm will begin participation in the Commission Settlement service, as detailed below:

First Trade Date, May 1, 2012:

Unified Financial Securities, Inc./Iron Funds	No.	5301
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- The following firm will begin participation in the MF-Daily Price and Rate service, as detailed below:

First Trade Date, May 1, 2012:

Chase Investment Services Corp.	No.	0432
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- The following Data Services Only member will begin participation in the Insurance Processing Services, as detailed below:

First Trade Date, May 2, 2012:

P.J. Robb Variable Corporation	No.	6906
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- The following additional numbers have been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/AmericaFirst Funds	No.	3314
Networking Symbol:	J6	
Contact: Mike Nielsen		
Phone: (402) 493-1731 ext 3		

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/VRM Funds	No.	3315
Networking Symbol:	JJ	
Contact: Mike Nielsen		
Phone: (402) 493-1731 ext 3		

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/Eventide Funds	No.	3316
Networking Symbol:	KY	
Contact: Mike Nielsen		
Phone: (402) 493-1731 ext 3		

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/Day Hagan Funds	No.	3317
Networking Symbol:	NK	

Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/Camelot Funds No. 3320
Networking Symbol: OB
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/SMH Funds No. 3321
Networking Symbol: P6
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/Catalyst Funds No. 5527
Networking Symbol: T3
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/Compass EMP Funds No. 6607
Networking Symbol: QB
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/Delux Funds No. 3748
Networking Symbol: PC
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, April 27, 2012:

Northern Lights Distributors, LLC/JAG Funds No. 3603
Networking Symbol: 58
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, May 1, 2012:

Northern Lights Distributors, LLC/Crow Point Fund No. 3322
Networking Symbol: Q7
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

First Trade Date, May 1, 2012:

Northern Lights Distributors, LLC/AIS Tactical Asset Allocation Portfolio No. 3325
Networking Symbol: QC

Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 30, 2012:

Quasar Distributors, LLC/Collins Capital Funds No. 3306
Networking Symbol: 9D
Contact: Casey Sauer
Phone: (414) 347-5766

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

First Trade Date, May 1, 2012:

Northern Lights Distributors, LLC/BCM Portfolios No. 3323
Networking Symbol: QA
Contact: Mike Nielsen
Phone: (402) 493-1731 ext 3

- The following additional number has been assigned to Foreside Distribution Services, L.P.(#4967) for the purpose of utilizing Fund/SERV, Networking, MF-Daily Price and Rate, Commission Settlement and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 2, 2012:

Forside Distribution Services, L.P./HSBC Global Investment Funds No. 3312
Networking Symbol: GZ
Contact: Hanna Redman
Phone: (212) 525-4855

- The following additional number has been assigned to DFA Securities LLC (#6684) for the purpose of utilizing Fund/SERV, Networking and MF-Daily Price and Rate services, as detailed below:

First Trade Date, May 2, 2012:

DFA Securities LLC/Dimensional Funds PLC and Dimensional Funds II PLC No. 3746
Networking Symbol: 08
Contact: Rick Eustice
Phone: +44(0)20 3033 3388

- Please update the NSCC Directory dated April 2012 (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>Executing Broker Name Change Effective First Trade Date, April 24, 2012</u>				
From: Alaris Tarding Partners, LLC	MLCO	0161	ATPA	
To: Concept Capital Markets, LLC	MLCO	0161	ATPA	
<u>Clearing Broker Change Effective First Trade Date, April 26, 2012</u>				
From: Hilliard Farber & Co., Inc.	MLCO	0161	JJKE	
To: Dealerweb Inc.	MLCO	0161	JJKE	
From: Hilliard Farber & Co., Inc.	MLCO	0161	RCML	
To: Dealerweb Inc.	MLCO	0161	RCML	
<u>Delete Last Trade Date, April 24, 2012</u>				
ICP Securities LLC	MLCO	0161	ICPS	
Pacific Growth Equities, LLC	MLCO	0161	GROW	
<u>Delete Last Trade Date, April 26, 2012</u>				
Assist Investment Management Company, Inc.	SWST	0279	ASST	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Executing Broker Name Change Effective First Trade Date, April 24, 2012</u>				
From: Midwood Securities, Inc.	KING	0743	MDWD	
To: Wellington Shields & Co., LLC	KING	0743	MDWD	
From: Trading Services Group Inc.	MLCO	0161	TSRV	
To: Commerce Square Trading, LLC	MLCO	0161	TSRV	
<u>Clearing Broker Change Effective First Trade Date, April 25, 2012</u>				
From: SecondMarket, Inc.	PFCL	0158	GRDK	
To: SecondMarket, Inc.	PERS	0443	GRDK	
<u>Delete Last Trade Date, April 23, 2012</u>				
DZ Financial Markets LLC	BNPS	0049	DZFM	
McNicoll, Lewis & Vlak LLC	BNPS	0049	MLVT	
Spreadzero, LLC	BNPS	0049	SZRO	

Axes, LLC	BNPS	0049	AXES
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Delete Last Trade Date, April 24, 2012

Hamilton Johnston & Co., Inc.	MLCO	0161	HAJO
Beacon Capital Markets, LLC	MLCO	0161	BEAC

Delete Last Trade Date, April 26, 2012

Obsidian Financial Group, LLC	PFCL	0158	OFGL
WIC Corp.	SWSTS	0279	WHIT

Add First Trade Date, April 25, 2012

Electronic Transaction Clearing, Inc.	ETCC	0873	ETAT
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Add First Trade Date, April 27, 2012

ABN AMRO Clearing Chicago LLC	APMA	0396	ZENA
Grace Financial Group LLC	MSCO	0050	GFMS
VTB Capital Inc.	PERS	0443	VTBI

Add First Trade Date, April 30, 2012

Tejas Securities Group, Inc.	LSCI	0512	TJAS
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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change, Effective First Trade Date, April 26, 2012</u>				
From: SecondMarket, Inc.	PFCL	0158	GRDK	
To: SecondMarket, Inc.	PERS	0443	GRDK	
<u>Add First Trade Date, April 27, 2012</u>				
Telemus Investment Brokers, LLC	PERS	0443	TIBS	

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