



Important Notice
National Securities Clearing Corporation

A#:	7424
P&S #:	6994
Date:	5/11/2012
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

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

Last Trade Date, May 11, 2012:

Quasar Distributors, LLC/Quaker Investment Trust	No.	4885
Westchester Capital Management, LLC	No.	6601
Funds Distributor, LLC/Ashmore Funds	No.	5195

- The following firms will no longer participate in the MF-Profile service, as detailed below:

Last Trade Date, May 9, 2012:

Benefit Trust Company/Prime Plan Solutions	No.	3694
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Last Trade Date, May 18, 2012:

Reliance Trust Company/SSB&T	No.	3636
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- The following firm will no longer participate in the ACATS service, as detailed below:

Last Trade Date, May 18, 2012:

ABN AMRO Clearing Chicago LLC/Bonds	No.	0575
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- The following firm will change its name only, as detailed below:

First Trade Date, May 8, 2012:

From: Blue Frog Solutions, Inc.	No.	6358
To: Aplifi, Inc.	No.	6358

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

First Trade Date, May 15, 2012:

Realty Capital Securities, LLC	No.	3833
Realty Capital Securities, LLC	No.	3834

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Realty Capital Securities, LLC	No.	1682
Realty Capital Securities, LLC	No.	1688
Realty Capital Securities, LLC	No.	1690
Realty Capital Securities, LLC	No.	1692
Realty Capital Securities, LLC	No.	1694
Realty Capital Securities, LLC	No.	1732
Realty Capital Securities, LLC	No.	1734

First Trade Date, May 16, 2012:

Cobalt Capital, Inc.	No.	1753
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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 14, 2012:

Market Street Financial Group LLC	No.	6901
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- The following firm will begin participation in the Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 14, 2012:

Ashmore Investment Management (US) Corporation	No.	5195
Networking Symbol:	RF	
Contact: Chris Tsutsui		
Phone: (212) 661-0061		

- The following additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Profile and ACATS Fund/SERV services, as detailed below:

First Trade Date, May 14, 2012:

Foreside Fund Services, LLC/Quaker Funds	No.	4885
Networking Symbol:	XB	
Contact: Casey Sauer		
Phone: (414) 347-5766		

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

First Trade Date, May 14, 2012:

Foreside Distribution Services, L.P. /ACPI Global UCITS Funds PLC	No.	3329
Networking Symbol:	RE	
Contact: Fiona Shanahan		
Phone: 353 1900 2400		

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

First Trade Date, May 14, 2012:

Quasar Distributors, LLC/Merger Fund	No.	6601
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Networking Symbol:
 Contact: Casey Sauer
 Phone: (414) 347-5766

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- The following additional number has 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, May 15, 2012:

Northern Lights Distributors, LLC/Sustainable Opportunities Fund No. 3326
 Networking Symbol: R2
 Contact: Mike Nielsen
 Phone: (402) 493-1731 x 3

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

First Trade Date, May 15, 2012:

Foreside Distribution Services, L.P./Old Mutual Asset Management Trust Company No. 3330
 (BHMS) Collective Investment Trust TJ
 Networking Symbol:
 Contact: Vincent Manning
 Phone: (617) 369-7337

- Please update the NSCC Directory dated May 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</u>				
<u>First Trade Date, May 10, 2012</u>				
From: Collins Stewart LLC	BSSC	0352	CSTI	
To: Canaccord Genuity Securities LLC	BSSC	0352	CSTI	
<u>Delete Last Trade Date, May 9, 2012</u>				
Cross Point Capital LLC.	FSWC	0309	SAAS	
<u>Add First Trade Date, May 11, 2012</u>				
Forefront Capital Markets LLC		0235	FFCB	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change Effective First Trade Date, May 11, 2012</u>				
From: Avila Capital Markets, Inc.	PFCL	0158	AVIL	
To: Avila Capital Markets, Inc.	NFSC	0226	AVIL	
<u>Delete Last Trade Date, May 8, 2012</u>				
SRM Securities, Incorporated	NFSC	0226	SRPR	
<u>Delete Last Trade Date, May 11, 2012</u>				
UNX, Inc.	SILK	0501	UNXD	
UNX, Inc.	SILK	0501	UNXU	
<u>Add First Trade Date, May 11, 2012</u>				
Jump Trading	SHMR	0695	JOTA	
<u>Add First Trade Date, May 15, 2012</u>				
International Assets Advisory, LLC	NFSC	0226	INTX	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change Effective First Trade Date, May 8, 2012</u>				
From: Spencer Trask Ventures, Inc.	NFSC	0226	STSI	
To: Spencer Trask Ventures, Inc.		0235	STSI	
<u>Delete Last Trade Date, May 10, 2012</u>				
Madden Securities Corp.	SWST	0279	MADN	
Gurun Inc.	SWST	0279	GURN	
<u>Add First Trade Date, May 11, 2012</u>				
Avila Capital Markets, Inc.	NFSC	0226	AVIL	

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