



Important Notice
National Securities Clearing Corporation

A#:	7501
P&S #:	7071
Date:	10/05/2012
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, October 4, 2012:

Hartford Life and Annuity Insurance Company No. 4669

Last Trade Date, October 5, 2012:

Quasar Distributors, LLC/Marketfield Funds No. 6529

Last Trade Date, October 9, 2012:

Union Securities Ltd./CDS No. 5077

OTC Alpha Identifier: USLF

PI Financial Corp./CDS (#5075) will assume all open contracts for Union Securities Ltd./CDS (#5077), which are to be cleared or settled through or by National Securities Clearing Corporation.

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

First Trade Date, October 4, 2012:

Foreside Fund Services, LLC/Performance Trust No. 5324

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

First Trade Date, October 8, 2012:

Oppenheimer Funds Dist, Inc./Oregon 529 Product No. 5470

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

First Trade Date, October 9, 2012:

Great Lakes Fund Solutions, Inc. No. 1780

Great Lakes Fund Solutions, Inc. No. 1782

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First Trade Date, October 10, 2012:

Huntington Asset Services, Inc.

No. 3581

- Please update the NSCC Directory dated September 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>Clearing Broker Change Effective First Trade Date, November 7, 2012</u>				
From: Rockwell Securities LLC	PFCL	0158	RKWS	
To: Rockwell Securities LLC		0235	RKWS	
<u>Delete Last Trade Date, October 5, 2012</u>				
Vianet Direct, Inc.	MLCO	0161	VNET	
Torc Investments And Research LLC	MLCO	0161	TORC	
Terra Nova Trading, L.L.C.	MLCO	0161	TNIS	
Terra Nova Trading, L.L.C.	MLCO	0161	TNIT	
Sword Securities Corporation	MLCO	0161	SWRD	
Washington Analysis Corporation	MLCO	0161	WALC	
<u>Add First Trade Date, October 8, 2012</u>				
BGC Financial, L.P.	BGCF	0537	WHBB	

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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>
<u>Clearing Broker Change Effective First Trade Date, October 8, 2012</u>				
From: TD Securities (USA) LLC	PFCL	0158	TDSI	
To: TD Securities (USA) LLC	BSCC	0352	TDSI	
<u>Clearing Broker Change Effective First Trade Date, October 12, 2012</u>				
From: Automated Trading Desk Financial Services, LLC	ECUT	0100	ATDF	
To: Automated Trading Desk Financial Services, LLC	CGMI	0505	ATDF	
<u>Delete Last Trade Date, October 1, 2012</u>				
Wedbush Morgan Securities Inc	WEDB	0103	WMSH	

Delete Last Trade Date, October 5, 2012

Trading Partners Inc.	MLCO	0161	TPAT
Wedbush Securities Inc.	MLCO	0161	WMPR

Add First Trade Date, October 1, 2012

Great Point Capital LLC	WEDB	0103	MAVB
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Add First Trade Date, October 10, 2012

PI Financial Corp.	PCFF	5075	USLF
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- Please update the NSCC Directory dated September 2012 (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 and Executing Broker Name Change</u>				
<u>Effective First Trade Date, October 8, 2012</u>				
From: Wolfe & Hurst Bond Brokers Inc.-Muni Division	WOHU	6998	WOHU	
To: BGC Financial, L.P.	BGCF	0537	WOHU	
<u>Add First Trade Date, October 8, 2012</u>				
TD Securities (USA) LLC	BSCC	0352	TDSI	

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