



Important Notice
National Securities Clearing Corporation

| | |
|-------------------|---|
| A#: | 7594 |
| P&S #: | 7164 |
| Date: | 03/01/2013 |
| 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 firm will retire from all services, as detailed below:

Last Trade Date, March 8, 2013:

Unified Financial Securities, Inc./Marathon Funds

No. 5303

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 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, March 11, 2013:

Northern Lights Distributors, LLC/Marathon Value Portfolio

No. 5303

Networking Symbol:

7I

Contact: Mike Nielsen

Phone: (402) 493-1731 x3

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

Last Trade Date, March 1, 2013:

FBR Investment Services, Inc.

No. 5526

Last Trade Date, March 8, 2013:

Glickenhau & Co.

No. 5514

Last Trade Date, March 15, 2013:

Northern Lights Distributors, LLC/The Currency Strategies Fund

No. 6696

Last Trade Date, March 22, 2013:

Northern Lights Distributors, LLC/ GPS Multiple Strategy Fund

No. 3707

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit http://www.dtcc.com/subscription_form.php.

Non-Confidential

- The following firm will no longer participate in the Omni/SERV 529 Aggregation service, as detailed below:

Last Trade Date, February 25, 2013:

Templeton Sicav Funds/Franklin Temp Dist Inc. No. 5690

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

First Trade Date, March 1, 2013:

From: ALPS Distributors Inc/MTB Funds No. 5696

To: ALPS Distributors Inc/Wilmington Funds No. 5696

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

First Trade Date, March 4, 2013:

Upromise Investments, Inc. No. 5704

First Trade Date, March 5, 2013:

ING Investments Distributor, LLC/Iowa Advisor 529 Plan No. 7065

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

First Trade Date, March 1, 2013:

Pembrook Capital Management, LLC No. 1884

- The following additional number has been assigned to State Street Bank & Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, February 27, 2013:

State Street Bank & Trust Company/NRS/NADART No. 7078

Networking Symbol: NQ

Contact: Belynda Crick

Phone: (617) 662-6013

- The following additional number has been assigned to CMFG Life Insurance Company (#4734) for the purpose of utilizing the Insurance Processing Service, as detailed below:

First Trade Date, February 28, 2013:

CMFG Life Insurance Company/MEMBERS Life Insurance Company No. 7072

- The following additional number has been assigned to Capital Guardian Trust Company (#4873) for the purpose of utilizing Fund/SERV, Networking, and MF-Daily Price and Rate services, as detailed below:

First Trade Date, March 1, 2013:

Capital Guardian Trust Company/US Bank No. 7077

Networking Symbol: 4S

Contact: Matthew Carter

Phone: (949) 705-2046

- The following additional number has 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, March 1, 2013:

| | | |
|---|-----|------|
| Northern Lights Distributors, LLC/Avatar Fund | No. | 7076 |
| Networking Symbol: | KH | |
| Contact: Mike Nielsen | | |
| Phone: (402) 493-1731 x3 | | |

- Please update the NSCC Directory dated February 2013 (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, March 6, 2013</u> | | | | |
| From: Keefe, Bruyette & Woods, Inc. | PERS | 0443 | KBWI | |
| To: Keefe, Bruyette & Woods, Inc. | STFL | 0793 | KBWI | |
| <u>Delete Last Trade Date, February 26, 2013</u> | | | | |
| North Atlantic Securities, L.L.C. | FSWC | 0309 | NOAS | |
| <u>Delete Last Trade Date, March 4, 2013</u> | | | | |
| Cortview Capital Securities LLC | PERS | 0443 | CORT | |
| <u>Add First Trade Date, March 1, 2013</u> | | | | |
| ETC Brokerage Services, LLC | LGNT | 0052 | ETCB | |

- Please update the NSCC Directory dated February 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> |
| <u>Delete Last Trade Date, February 26, 2013</u> | | | | |
| Latour Trading LLC | SHMR | 0695 | BZYS | |
| <u>Add First Trade Date, February 26, 2013</u> | | | | |
| Apex Clearing Corporation | PFCL | 0158 | APCC | |
| <u>Add First Trade Date, February 28, 2013</u> | | | | |
| Rockfleet Financial Services, Inc. | FSWC | 0309 | RCKF | |

- Please update the NSCC Directory dated February 2013 (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, February 28, 2013</u> | | | | |
| From: Rockfleet Financial Services, Inc. | NFSC | 0226 | RCKF | |
| To: Rockfleet Financial Services, Inc. | FSWC | 0309 | RCKF | |
| <u>Clearing Broker and Executing Broker Name Change Effective First Trade Date, March 1, 2013</u> | | | | |
| From: Brean Murray, Carret & Co.,LLC | PFCL | 0158 | BMUR | |
| To: Brean Capital, LLC | ICBK | 0388 | BMUR | |
| <u>Clearing Broker Change Effective First Trade Date, March 1, 2013</u> | | | | |
| From: PPG West LLC | MLCO | 0161 | PPGW | |
| To: PPG West LLC | ICBK | 0388 | PPGW | |

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