

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7310
P&S#: 6880
Date: 10/28/11
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, October 31, 2011:
Friess Associates LLC No. 4978
- The following firm will no longer participate in the MF-Profile service, as detailed below:
Last Trade Date, October 31, 2011:
New York Life Trust Company No. 0906
- The following firm will change its name only, as detailed below:
First Trade Date, October 31, 2011:
From: DFA Securities Inc. No. 6684
To: DFA Securities LLC No. 6684
- The following firms will begin participation in the ACATS service, as detailed below:
First Trade Date, October 27, 2011:
Foreside Fund Services LLC/Liberty Street Funds No. 6767

First Trade Date, October 31, 2011:
Quasar Distributors, LLC/DoubleLine Funds No. 5353
- The following firm will begin participation in the ACATS and ACATS Fund/SERV services, as detailed below:
First Trade Date, October 28, 2011:
BNY Mellon Distributors Inc./High Mark Funds No. 5820

- The following firm will begin participation in the Insurance Processing Services, as detailed below:
First Trade Date, November 1, 2011:
Standard Insurance Company No. 4701
- The following firms will begin participation in the MF-Profile service, as detailed below:
First Trade Date, November 3, 2011:
Barclays Capital Inc. No. 5340
Barclays Capital Inc./Barclays Celsius Funds Ireland/Malta No. 5375
- The following Data Services Only member will begin participation in the Insurance Processing Services, as detailed below:
First Trade Date, October 31, 2011:
Lucia Securities, LLC No. 6900
- The following additional number has been assigned to The Northern Trust Company (#6625) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price and Rate File services as detailed below:
First Trade Date, November 1, 2011:
Northern Trust Company/Fixed Income Investment Fund, a Fund of the Chicago
Equity Partners Group Trust No. 3772
Networking Symbol: 36
Contact: Joya Favors
Phone: (312) 557-3576
- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, ACATS Fund/SERV and MF – Daily Price and Rate File services as detailed below:
First Trade Date, November 1, 2011:
APLS Distributors Inc./ Whitebox Funds No. 3763
Networking Symbol: 23
Contact: Brian Bishop
Phone: (720) 917-0617
- 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 File, ACATS and ACATS Fund/SERV services, as detailed below:
First Trade Date, November 1, 2011:
Quasar Distributors, LLC/ Brandywine Funds No. 4978
Networking Symbol: C7
Contact: Casey Sauer
Phone: (414) 347-5766

- Please update the NSCC Directory dated September 2011 (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>Executing Broker Name Change Effective First Trade Date, October 25, 2011</u>				
From: Barclays Global Investors Services N.A.	PFCL	0158	BGIS	
To: BlackRock Execution Services	PFCL	0158	BGIS	
<u>Add First Trade Date, October 26, 2011</u>				
Newedge USA, LLC	PCAP	0608	NETT	
Wedbush Securities Inc.	WEDB	0103	WMMF	
Fulcrum Securities, Inc.	PERS	0443	OFKS	
<u>Add First Trade Date, October 27, 2011</u>				
Merril Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLRM	
<u>Add First Trade Date, October 28, 2011</u>				
Wedbush Securities Inc.	WEDB	0103	WMCT	
<u>Add First Trade Date, October 31, 2011</u>				
Deutsche Bank Securities Inc.	DBAB	0573	DBRT	
Deutsche Bank Securities Inc.	DBAB	0573	DBST	
Cuttone & Co., Inc.	PERS	0443	CUPS	
<u>Add First Trade Date, November 1, 2011</u>				
APB Financial Group, LLC	WEDB	0103	APBI	

If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail NSCCAA@DTCC.com