

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 7324  
**P&S#:** 6894  
**Date:** 11/18/11  
**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 begin participation in the ACATS Fund/SERV service, as detailed below:  
**First Trade Date, November 21, 2011:**  
Northern Trust Company/DTC No. 2669
- The following firm will begin participation in the ACATS and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, November 21, 2011:**  
Driehaus Securities LLC / Driehaus Active Income Fund No. 5923
- The following firms will begin participation in the ACATS service, as detailed below:  
**First Trade Date, November 21, 2011:**  
UMB Distribution Services LLC/ UMB Scout Fds No. 4854  
UMB Distribution Services LLC/ Commonwealth International Series Trust No. 4878  
UMB Distribution Services LLC/ Grand DS/Investment Managers Series Trust No. 4985  
UMB Distribution Services LLC/ Alerian MLP Funds No. 5116  
UMB Distribution Services LLC/ Westport Funds No. 5598  
UMB Distribution Services LLC/ Marsico Invt Funds No. 5728  
UMB Distribution Services LLC/ Wasatch Advisors No. 5773  
UMB Distribution Services LLC/ Lotsoff Capital Mgt No. 5841  
UMB Distribution Services LLC/ Giant 5 Funds No. 6534  
UMB Distribution Services LLC/ Stewart Capital Advisors No. 6599  
Lazard Freres & Co. LLC No. 4850
- First Trade Date, November 25, 2011:**  
Cohen & Steers Securities, LLC No. 5780

- The following firm will begin participation in the Insurance Processing Services, as detailed below:

**First Trade Date, November 28, 2011:**

First Investors Corporation No. 5146

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

**First Trade Date, November 21, 2011:**

Cole Capital Corporation No. 3403

- 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, November 21, 2011:**

Northern Lights Distributors, LLC/North Star Opportunity Fund No. 3783

Networking Symbol: 42

Contact: Mike Nielsen

Phone: (402) 493-1731 Ext. 3

**First Trade Date, November 21, 2011:**

Northern Lights Distributors, LLC/The Multi-Strategy Growth & Income Fund No. 3784

Networking Symbol: 43

Contact: Mike Nielsen

Phone: (402) 493-1731 Ext. 3

- Please update the NSCC Directory dated October 2011 (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>
BSSC	0352	BRCM	

**Add First Trade Date, December 5, 2011**

BlackRock Capital Markets, LLC

- Please update the NSCC Directory dated October 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>
MSRO	0727	LSSI	
SALI	0750	LSSI	

**Clearing Broker Change and Executing Broker Name Change Effective First Trade Date, November 18, 2011**

From: Langdon Shaw Securities, Inc.

To: EJ Sterling Inc.

**Delete Last Trade Date, November 14, 2011**

First Tryon Securities LLC	BSSC	0352	TRYN
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**Delete Last Trade Date, November 15, 2011**

ABN Amro Clearing Chicago LLC	APMA	0396	DRKA
Madison Williams and Company LLC	PERS	0443	MWCO

**Add First Trade Date, November 15, 2011**

ABN Amro Clearing Chicago LLC	AACC	0541	SWDX
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**Add First Trade Date, November 16, 2011**

Rice, Voelker, LLC	LSCI	0512	CEON
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**Add First Trade Date, November 18, 2011**

Penson Financial Services, Inc.	PFCL	0158	PFRC
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**Add First Trade Date, November 21, 2011**

Discern Securities, Inc.	ECUT	0100	DCRN
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- Please update the NSCC Directory dated October 2011 (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>

**Clearing Broker Change Effective First Trade Date, November 14, 2011**

From: First Tryon Securities LLC	BSSC	0352	TRYN
To: First Tryon Securities LLC	PERS	0443	TRYN

**Add First Trade Date, November 15, 2011**

Global Credit Partners, LLC	PERS	0443	GCPL
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If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com)