



**Important Notice**  
**National Securities Clearing Corporation**

<b>A#:</b>	7350
<b>P&amp;S #:</b>	6920
<b>Date:</b>	1/06/2012
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ADREAN HINOJOSA, ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, January 5, 2012:**

Quasar Distributors LLC/Cookson Peirce Funds No. 5421

**Last Trade Date, January 6, 2012:**

World Group Securities, Inc. No. 0729

First SunAmerica Life Ins Co/DVFS No. 4604

**Last Trade Date, January 26, 2012:**

Quasar Distributors, LLC /Genworth VIT Funds No. 5519

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

**First Trade Date, January 9, 2012:**

From: American Growth Fund Sponsors Inc No. 5676

To: World Capital Brokerage, Inc. No. 5676

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

**First Trade Date, January 6, 2012:**

Sentinel Financial Services Company No. 5873

- The following additional number has been assigned to Transamerica Financial Advisors, Inc. (#0285) for the purpose of utilizing the Insurance Processing Services, MF-Daily Price and Rate and Commission Settlement services as detailed below:

**First Trade Date, January 9, 2012:**

Transamerica Financial Advisors, Inc./World Group Securities, Inc. No. 0729

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- The following additional number has been assigned to JPMorgan Distribution Services, Inc. (#5599) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, and MF-Profile services as detailed below:

**First Trade Date, January 10, 2012:**

JPMorgan Distribution Services, Inc./NY Advisor 529 Plan	No.	3789
Networking Symbol:		48
Contact: Joyce Luke		
Phone: (614) 213-7125		

- Please update the NSCC Directory dated December 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>
<b><u>Delete Last Trade Date, January 3, 2012</u></b> Semaza Securities, LLC	LGNT	0052	SMZA	
<b><u>Delete Last Trade Date, January 4, 2012</u></b> Morgan Joseph & Co., Inc.	BSSC	0352	MJCO	
<b><u>Delete Last Trade Date, January 6, 2012</u></b> Torc Investments and Research LLC	PFSI	0234	TORK	
<b><u>Delete Last Trade Date, January 24, 2012</u></b> People's Securities, Inc.	PFCL	0158	PPLP	
<b><u>Add First Trade Date, January 13, 2012</u></b> StormHarbour Securities LP	BSSC	0352	STHR	

- Please update the NSCC Directory dated December 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>
<b><u>Delete Last Trade Date, January 3, 2012</u></b> WJB Capital Group, Inc.	PERS	0443	WJBI	
<b><u>Delete Last Trade Date, January 5, 2012</u></b> Newedge USA, LLC	PCAP	0608	NEUC	
Morgan Joseph & Co., Inc.	SWST	0279	MJOS	

**Delete Last Trade Date, January 6, 2012**

Torc Investments and Research LLC	PFSI	0234	TORF
Torc Investments and Research LLC	PFSI	0234	TORM
Torc Investments and Research LLC	PFSI	0234	TORP
Torc Investments and Research LLC	PFSI	0234	TORV
Hanmi Asset Securities, Inc	SWST	0279	HANS
Raven Securities Corp.	AACC	0541	RAVN

**Add First Trade Date, January 6, 2012**

Morgan Joseph Triartisan LLC	SWST	0279	MJCO
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**Add First Trade Date, January 9, 2012**

ABN AMRO Clearing Chicago LLC	SHMR	0695	IMMX
Mountainview Securities, LLC	PERS	0443	MVSC
Penson Financial Services, Inc.	PFCL	0158	PFRG
Lebanthal & Co., LLC.	PERS	0443	LBCO
Vector Global WMG	PERS	0443	VGLB

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)