



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

<b>A#:</b>	7357
<b>P&amp;S #:</b>	6927
<b>Date:</b>	1/13/2012
<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 firm will retire from all services, as detailed below:  
**Last Trade Date, January 13, 2012:**  
 Gartmore Morley Capital Management, Inc. No. 4811
  
- The following firm will no longer participate in the OTC Comparison System, as detailed below:  
**Last Trade Date, January 12, 2012:**  
 Newedge Canada Inc./CDS No. 5003  
 OTC Alpha Identifier: FIMT
  
- The following firms will change their name only, as detailed below:  
**First Trade Date, January 17, 2012:**  
 From: Funds Distributor, LLC/GMO U.S. Core Equity Series Fund No. 3601  
 To: Funds Distributor, LLC/GMO Series Trust No. 3601
  
- **First Trade Date, January 18, 2012:**  
 From: BNY Mellon Distributors Inc./Highland Family Of Funds No. 5979  
 To: BNY Mellon Distributors Inc./Pyxis Funds No. 5979
  
- **First Trade Date, January 23, 2012:**  
 From: Quasar Distributors, LLC/Scharf Investments No. 3771  
 To: Quasar Distributors, LLC/Scharf Funds No. 3771
  
- The following firm will begin participation in the Fund/SERV, Networking and MF-Daily Price and Rate File services, as detailed below:  
**First Trade Date, January 17, 2012:**  
 CUNA Mutual Insurance Society No. 4734  
 Networking Symbol: 71  
 Contact: Doug Creger  
 Phone: (319) 483-2526

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- The following additional numbers have been assigned to American United Life Insurance Company (#4591) for the purpose of utilizing the Insurance Processing Services as detailed below:

**First Trade Date, January 17, 2012:**

American United Life Insurance Company/2 No. 4754

**First Trade Date, January 17, 2012:**

American United Life Insurance Company/3 No. 4757

- The following additional number has been assigned to Princor Financial Services Corporation (#5546) for the purpose of utilizing Fund/SERV, Networking, and MF-Daily Price and Rate services, as detailed below:

**First Trade Date, January 17, 2012:**

Princor Financial Services Corporation/Union Bond & Trust No. 4811  
 Networking Symbol: F8  
 Contact: Joann Yates  
 Phone: (503) 484-9384

- 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>

**Executing Broker Name Change Effective First Trade Date, January 17, 2012**

From: Miller Tabak Roberts Securities, LLC	BSSC	0352	MITR
To: GMP Securities, LLC	BSSC	0352	MITR

- 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>

**Delete Last Trade Date, January 13, 2012**

Raven Securities Corp.	PCAP	0608	RANE
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**Add First Trade Date, January 17, 2012**

Instinet, LLC	WDSB	0536	INJX
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**Add First Trade Date, January 18, 2012**

Carey, Thomas, Hoover, & Breault, Inc.	NFSC	0226	HOOV
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- Please update the NSCC Directory dated December 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>
<b><u>Clearing Broker Change Effective First Trade Date, January 11, 2012</u></b>				
From: Vanderbilt Securities, LLC	PERS	0443	VBLT	
To: Vanderbilt Securities, LLC	NFSC	0226	VBLT	
<b><u>Clearing Broker Change Effective First Trade Date, January 18, 2012</u></b>				
From: Carey, Thomas, Hoover, & Breault, Inc.	SWST	0279	HOOV	
To: Carey, Thomas, Hoover, & Breault, Inc.	NFSC	0226	HOOV	
<b><u>Delete Last Trade Date, January 24, 2012</u></b>				
Sigma Financial Corporation	FCCP	0141	SIGM	
Sammons Securities Company, LLC	FCCP	0141	SAMS	

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)