



Important Notice
National Securities Clearing Corporation

A#:	7363
P&S #:	6933
Date:	1/27/2012
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 firms will retire from all services, as detailed below:
Last Trade Date, January 24, 2012:
Penson Financial Services, Inc./Peoples Securities Inc. No. 0220

Last Trade Date, January 27, 2012:
First Sunamerica Life Insurance Company No. 4517
- The following firm will no longer participate in the MF-Daily Price and Rate and Networking services, as detailed below:
Last Trade Date, January 31, 2012:
Alps Distributors, Inc./Cortina Funds No. 3762
- The following firm will change its name only, as detailed below:
First Trade Date, January 30, 2012:
From: Assent LLC No. 0442
To: SunGard Brokerage & Securities Services LLC No. 0442
- The following firm will begin participation in the MF-Profile service, as detailed below:
First Trade Date, February 1, 2012:
Forside Fund Services, LLC./Dundee Wealth Funds No. 6549
- The following firm will begin participation in the Networking service, as detailed below:
First Trade Date, February 1, 2012:
NYLIFE Securities LLC No. 0368
Networking Symbol: 80
Contact: Steven Govaert
Phone: (212) 576-8687

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- The following firm will begin participation in the Fund/SERV, Networking, Commission Settlement, ACATS, Obligation Warehouse, and OTC Comparison services, as detailed below:

First Trade Date, January 25, 2012:

People's Securities, Inc. No. 0220
 OTC Alpha Identifier: PEOP

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

First Trade Date, January 30, 2012:

Altegris Portfolio Management, Inc. dba Altegris Funds No. 3476

First Trade Date, February 1, 2012:

Industrial Income Trust Inc. No. 3495

- 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, January 30, 2012:

Northern Lights Distributors, LLC/Kottke Commodity Strategies Fund No. 3615
 Networking Symbol: 76
 Contact: Mike Nielsen
 Phone: (402) 493-1731 Ext. 3

First Trade Date, January 30, 2012:

Northern Lights Distributors, LLC/Linde Hansen Contrarian Value Fund No. 3616
 Networking Symbol: 77
 Contact: Mike Nielsen
 Phone: (402) 493-1731 Ext. 3

First Trade Date, January 30, 2012:

Northern Lights Distributors, LLC/IASG Managed Futures Strategy Fund No. 3617
 Networking Symbol: 78
 Contact: Mike Nielsen
 Phone: (402) 493-1731 Ext. 3

- The following additional number has been assigned to The United States Life Insurance Company in the City of New York (#4531) for the purpose of utilizing the Insurance Processing Services as detailed below:

First Trade Date, January 30, 2012:

The United States Life Insurance Company in the City of New York/SunAmerica (NY) No. 4517

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF-Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 1, 2012:

ALPS Distributors, Inc./Seafarer Funds No. 3777
 Networking Symbol: 63
 Contact: Brian Bishop
 Phone: (720) 917-0617

- The following additional number has been assigned to Symetra Life Insurance Company (#4609) for the purpose of utilizing Fund/SERV, Networking, Insurance Processing Services and MF-Daily Price and Rate services, as detailed below:

First Trade Date, February 1, 2012:

Symetra Life Insurance Company/Symetra Fee Based No. 3618
 Networking Symbol: 82
 Contact: Mimi Eng
 Phone: (425) 256-5186

- 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 1, 2012:

State Street Bank & Trust Company/JPM Retirement Plan Services/Bechtel No. 3629
 Networking Symbol: 81
 Contact: Dawn Cruickshank
 Phone: (781) 302-6167

- Please update the NSCC Directory dated January 2012 (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 26, 2012

From: Nutmeg Securities	PERS	0443	NTMG
To: Fieldpoint Private Services, LLC	PERS	0443	NTMG

Clearing Broker Change Effective First Trade Date, January 30, 2012

From: Scottrade, Inc.	PFSI	0234	SCTO
To: Scottrade, Inc.	PFCL	0158	SCTO

Clearing Broker Change Effective First Trade Date, January 30, 2012

From: Zecco Trading, Inc.	PFSI	0234	ZECO
To: Zecco Trading, Inc.	PFCL	0158	ZECO

Delete Last Trade Date, January 25, 2012

Winebrenner Capital Partner L.L.C. SALI 0750 WCAP

Delete Last Trade Date, January 26, 2012

MD Global Partners LLC FSWC 0309 MDPS

- Please update the NSCC Directory dated January 2012 (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>Clearing Broker Change Effective First Trade Date, January 25, 2012</u>				
From: Dawson James Securities, Inc.	NFSC	0226	DJSI	
To: Dawson James Securities, Inc.	PFCL	0158	DJSI	
<u>Clearing Broker Change Effective First Trade Date, January 27, 2012</u>				
From: Penserra Securities, LLC	SILK	0501	PNSR	
To: Penserra Securities, LLC	MLCO	0161	PNSR	
<u>Clearing Broker Change Effective First Trade Date, January 30, 2012</u>				
From: Optionshouse, Inc.	PFSI	0234	EZOP	
To: Optionshouse, Inc.	PFCL	0158	EZOP	
<u>Executing Broker Name Change Effective First Trade Date, January 30, 2012</u>				
From: Pipeline Trading Systems LLC	PERS	0443	BLOK	
To: Aritas Securities LLC	PERS	0443	BLOK	
<u>Delete Last Trade Date, January 23, 2012</u>				
Kenny Securities Corp.	PERS	0443	KENY	
<u>Delete Last Trade Date, January 24, 2012</u>				
Gateway Securities Inc./CDS	CICF	5046	GTWY	
Mcdermid Capital Corp.	MCMF	5076	MCDC	
<u>Delete Last Trade Date, January 25, 2012</u>				
Wealth Monitors Inc.	BSSC	0352	WTHM	
<u>Delete Last Trade Date, January 26, 2012</u>				
Ticonderoga Securities LLC	NFSC	0226	FORT	
Ticonderoga Securities LLC	NFSC	0226	REND	

Delete Last Trade Date, January 27, 2012

Bolder Investment Partners HASF 5058 BOLD

Add First Trade Date, January 24, 2012

East / West Securities Corp. PFCL 0158 EWST

Add First Trade Date, January 25, 2012

Obd Securities LLC SHMR 0695 OBDS

Add First Trade Date, January 26, 2012

Wedbush Securities Inc. WEDB 0103 WMCH

Add First Trade Date, January 30, 2012

Craig Scott Capital, LLC LGNT 0052 CSCP

Penson Financial Services, Inc. SHMR 0695 PFRD

- Please update the NSCC Directory dated January 2012 (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>

Delete Last Trade Date, January 24, 2012

Dawson James Securities, Inc. NFSC 0226 DJSI

Add First Trade Date, January 27, 2012

Penserra Securities, LLC MLCO 0161 PNSR

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