



Important Notice
National Securities Clearing Corporation

A#:	7374
P&S #:	6944
Date:	2/03/2012
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 firm will retire from all services, as detailed below:
Last Trade Date, February 15, 2012:
Northern Lights Distributors, LLC/Rady Funds No. 5402
- The following firm will change its name only, as detailed below:
First Trade Date, February 6, 2012:
From: Matrix Capital Group, Inc./Pope Family of Funds No. 5695
To: Matrix Capital Group, Inc./360 Funds No. 5695
- The following firm will begin participation in the ACATS Fund/SERV service, as detailed below:
First Trade Date, January 31, 2012:
Peoples Securities, Inc. No. 0220
- The following firm will begin participation in the Commission Settlement service, as detailed below:
First Trade Date, February 3, 2012:
Foreside Fund Services, LLC/Turner Funds No. 5592
- The following firm will begin participation in the MF-Daily Price and Rate service, as detailed below:
First Trade Date, February 6, 2012:
Northern Lights Distributors, LLC/Vertical Capital Income Fund No. 3769
- The following firm will begin participation in the ACATS service, as detailed below:
First Trade Date, February 6, 2012:
Pacific Select Distributors, Inc. No. 5478

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

First Trade Date, February 8, 2012:

Acadia Life International Limited No. 6902
 Networking Symbol: 87
 Contact: Lisa Richardson
 Phone: (786) 364-3121

- The following firm will begin participation, as a Third Party Administrator, in the Fund/SERV and Networking services, as detailed below:

First Trade Date, February 3, 2012:

Wells Fargo Bank, N.A. No. 7115
 Networking Symbol: 79
 Contact: Jim Koch
 Phone: (651) 205-5561

- The following additional number has 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, February 10, 2012:

Northern Lights Distributors, LLC/WOA All Asset I No. 3632
 Networking Symbol: 84
 Contact: Mike Nielsen
 Phone: (402) 493-1731 Ext. 3

- 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</u>		<u>Executing Broker</u>	
<u>Identifiers</u>		<u>Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, January 31, 2012

Telemus Investment Brokers, LLC	NFSC	0226	TIBS
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Delete Last Trade Date, February 3, 2012

Ewing Capital, Inc.	MLCO	0161	EWGC
Charles River Brokerage LLC	MLCO	0161	CRBC
Consolidated Research LLC	MLCO	0161	CRLC
Ethos Securities Corp.	MLCO	0161	ETOS

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	<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, February 8, 2012</u>				
From: Pacific Crest Securities Inc.	PFCL	0158	PACS	
To: Pacific Crest Securities Inc.	NFSC	0226	PACS	
<u>Delete Last Trade Date, January 30, 2012</u>				
Wedbush Securities Inc.	WEDB	0103	WMDT	
Wedbush Securities Inc.	SILK	0501	WMLM	
<u>Delete Last Trade Date, January 31, 2012</u>				
Kaufman Bros., L.P.	NFSC	0226	KBRO	
Rockwell Global Capital, LLC	PERS	0443	ROCK	
<u>Delete Last Trade Date, February 1, 2012</u>				
Penson Financial Services, Inc.	PFCL	0158	PFDX	
Ballista Securities, LLC	PERS	0443	BALZ	
<u>Delete Last Trade Date, February 3, 2012</u>				
Electronic Securities Processing (ESP) LLC	MLCO	0161	ESPF	
<u>Delete Last Trade Date, February 7, 2012</u>				
Penson Financial Services, Inc.	PFCL	0158	PFTA	
<u>Add First Trade Date, January 26, 2012</u>				
AVM, L.P.	PERS	0443	AVML	
<u>Add First Trade Date, January 31, 2012</u>				
ABN AMRO Clearing Chicago LLC	APMA	0396	HNCA	
<u>Add First Trade Date, February 2, 2012</u>				
ICE Execution Services LLC	PERS	0443	ICEX	

- 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>
<u>Clearing Broker Change Effective First Trade Date, February 1, 2012</u>				
From: CF Global Trading, LLC	PERS	0443	CFGO	
To: CF Global Trading, LLC	MLCO	0161	CFGO	

Executing Broker Name Change Effective First Trade Date, February 6, 2012

From: Marquette Debarry Co., Inc.	FCCP	0141	MDEB
To: World First Financial Services, Inc.	FCCP	0141	MDEB

Delete Last Trade Date, February 3, 2012

Take Charge Financial	NFSC	0226	TCFF
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Delete Last Trade Date, February 7, 2012

Thornes & Associates, Inc. Investment Securities	FCCP	0141	TATA
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Delete Last Trade Date, February 8, 2012

Pacific Crest Securities Inc.	PFCL	0158	PACS
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Add First Trade Date, February 1, 2012

Academy Securities, Inc.	WEDB	0103	ACAD
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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