



Important Notice
National Securities Clearing Corporation

A#:	7378
P&S #:	6948
Date:	2/10/2012
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 begin participation in the Commission Settlement service, as detailed below:

First Trade Date, February 15, 2012:

Quasar Distributors, LLC/Brookfield Investment Funds No. 3734

First Trade Date, March 1, 2012:

Matrix Capital Group Inc./Catalyst Funds No. 5527

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

First Trade Date, February 13, 2012:

Johnson Investment Counsel, Inc. No. 3779

Networking Symbol: 86

Contact: Scott Bischoff

Phone: (513) 661-4399 x 1323

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

First Trade Date, February 14, 2012:

Presidential Brokerage, Inc. No. 6904

First Trade Date, February 15, 2012:

Thoroughbred Financial Services, LLC No. 6903

- 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>
<u>Executing Broker Name Change Effective First Trade Date, February 13, 2012</u>				
From: A&F Financial Securities, Inc.	LGNT	0052	FRIS	
To: J.D. Nicholas & Associates, Inc.	LGNT	0052	FRIS	
<u>Delete Last Trade Date, February 6, 2012</u>				
Battenkill Capital, Inc.	MLCO	0161	BATC	
Benchmark Financial Services, Inc.	MLCO	0161	BHMK	
BTN Research, Inc.	MLCO	0161	BTNR	
Aton Securities, Inc.	MLCO	0161	ATON	
<u>Delete Last Trade Date, February 7, 2012</u>				
ICAP Corporates LLC	MLCO	0161	POLW	
Infinium Securities, Inc.	MLCO	0161	INFN	
Fourth Street Financial Group	MLCO	0161	FORS	
Highland Information Services, Inc.	MLCO	0161	HIPC	
Firefly Capital, Inc.	MLCO	0161	FFLY	
Finacorp Securities	MLCO	0161	FINS	
<u>Delete Last Trade Date, February 10, 2012</u>				
Griffin Securities, Inc.	PFCL	0158	GSEC	
Adamson Brothers, Inc.	PFSI	0234	AMSN	
Basic Investors, Inc.	PFSI	0234	BACS	
Barron Moore, Inc.	PFSI	0234	BMOR	
Bedrock Securities, LLC	PFSI	0234	BRCK	
Burch & Co., Inc.	PFSI	0234	BURC	
Cumberland Brokerage Corporation	PFSI	0234	CUMB	
Premiertrade Securities, Inc.	PFSI	0234	DFFI	
Domestic Securities Inc.	PFSI	0234	DSIP	
DC Evans And Company, LLC	PFSI	0234	EVAN	
Five Mile Capital Securities LLC	PFSI	0234	FMCS	
Fortune Securities, Inc	PFSI	0234	FRTN	
First Wall Street Corp.	PFSI	0234	FWST	
Global Crown Capital, LLC	PFSI	0234	GCCL	
Electronic Access Direct Inc.	PFSI	0234	GLBA	
GLB Trading, Inc.	PFSI	0234	GLBT	
GLB Trading, Inc.	PFSI	0234	GLBX	
Hamerslag, Dodeles, & Co., LLC	PFSI	0234	HASK	
Whitestone Securities Inc.	PFSI	0234	HITE	
Midas Securities LLC	PFSI	0234	KMDS	
Tradeking	PFSI	0234	KRSG	
Jean Marquat	PFSI	0234	MARQ	

Maxxtrade, Inc.	PFSI	0234	MAXX
Midas Securities, LLC	PFSI	0234	MDAS
Maximum Financial Investment Group, Inc.	PFSI	0234	MXFG
Nobletrading.com, Inc.	PFSI	0234	NBLT
Investin Securities Corp.	PFSI	0234	NVST
Newwest Securities Corporation	PFSI	0234	NWST
NWT Financial Group, LLC	PFSI	0234	NWTF
Pointe Capital, LLC	PFSI	0234	PENP
Tradeportal Securities, Inc.	PFSI	0234	PORT
Griffin, Mills & Long, LLC	PFSI	0234	PRNC
Seaboard Securities, Inc.	PFSI	0234	SEAC
San Francisco Securities, Inc.	PFSI	0234	SFSE
SAMCO Financial Services, Inc.	PFSI	0234	SMFN
Titan Trading Services, LLC	PFSI	0234	SPIF
Civilian Capital Inc.	PFSI	0234	TCTC
Investscape Inc.	PFSI	0234	TIME
Titan Trading Services, LLC	PFSI	0234	TITN
Global Crown Capital, LLC	PFSI	0234	TMAI
Trendtrader LLC	PFSI	0234	TORS
Thinkorswim, Inc.	PFSI	0234	TOSI
Grossman & Co., LLC.	PFSI	0234	TRDW
U.S. Trading LLC	PFSI	0234	USTC
Vanthedgepoint Securities, LLC	PFSI	0234	VHPA

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<u>Delete Last Trade Date, February 3, 2012</u> Spencer Trask Ventures, Inc.	NFSC	0226	STSI	
<u>Delete Last Trade Date, February 6, 2012</u> A.C. Trading, Inc.	MLCO	0161	ACTR	
<u>Delete Last Trade Date, February 7, 2012</u> Gfong Associates, Inc.	MLCO	0161	FONG	
Financial Advisors of America, LLC	MLCO	0161	BOYS	
Offutt Securities, Inc.	BSSC	0352	OFUT	
<u>Delete Last Trade Date, February 9, 2012</u> Vectorglobal WMG	PERS	0443	VGLB	

Delete Last Trade Date, February 10, 2012

Archey & Co. LLC	PFSI	0234	ACCO
Sound Securities, LLC	PFSI	0234	APNT
Richhave Financial, Inc.	PFSI	0234	AVST
Bluefire Capital, LLC	PFSI	0234	BFRC
Comtex USA, LLC	PFSI	0234	CMTX
Direct Access Brokerage Services, Inc.	PFSI	0234	DIRM
Domestic Securities Inc.	PFSI	0234	DOMS
Dru Stock, Inc.	PFSI	0234	DRST
Dunmore Trading LLC	PFSI	0234	DUNN
E.H. Smith Jacobs & Co., Inc.	PFSI	0234	EHSA
Euronet Securities Corp.	PFSI	0234	ENET
Etech Securities, Inc.	PFSI	0234	ETEC
Founders Equity Securities, Inc.	PFSI	0234	FNDR
First New York Securities, LLC	PFSI	0234	FNYP
Genesis Securities, LLC	PFSI	0234	GNSD
Genesis Securities, LLC	PFSI	0234	GNSG
Great Eastern Securities, Inc.	PFSI	0234	GREA
Hamerslag, Dodeles & Co., LLC	PFSI	0234	HASD
Electronic Access Direct, Inc.	PFSI	0234	HBRT
Intercoastal Financial Services Corp.	PFSI	0234	IFSC
American Securities Group, Inc.	PFSI	0234	IIDC
Sunstate Equity Trading	PFSI	0234	JIMK
Jesup & Lamont Securities Corp	PFSI	0234	JSLI
Astoria Capital Markets, Inc.	PFSI	0234	JSMD
Kabrik Trading LLC	PFSI	0234	KBKP
Hedge Fund Capital Partners, LLC	PFSI	0234	KKSS
Lighthouse Financial Group, LLC	PFSI	0234	LFCM
Lightspeed Trading, LLC	PFSI	0234	LSPE
Massie Capital, Ltd	PFSI	0234	MASY
Schonex, LL.C	PFSI	0234	MLSI
Mercor Securities, LLC	PFSI	0234	MSLC
Nationwide Planning Associates Inc.	PFSI	0234	NPAI
New Vernon Securities, LLC	PFSI	0234	NVAS
Pacific On-Line Trading & Securities, Inc.	PFSI	0234	PDTI
Prime Global Securities, Inc.	PFSI	0234	PGSI
Phalanx Trading LLC	PFSI	0234	PHAL
Lampost Capital, LC	PFSI	0234	POST
Penstar Trading, LLC	PFSI	0234	PTAR
Stock USA Investments	PFSI	0234	QTRD
Rushmore Securities Corp.	PFSI	0234	RFGI
Rainmaker Securities, LLC	PFSI	0234	RMKR
R&H Securities, LLC	PFSI	0234	ROBH
Service Asset Trading, Inc.	PFSI	0234	SATI
Safe Harbor Securities, Inc.	PFSI	0234	SFHS
Shd Holding, LLC	PFSI	0234	SHDH
Solaris Securities, Inc.	PFSI	0234	SOLA
Titan Trading Services, LLC	PFSI	0234	SPKE

STG Secure Trading Group, Inc.	PFSI	0234	STGB
STG Secure Trading Group, Inc.	PFSI	0234	STGI
Stockcross Financial Services, Inc.	PFSI	0234	STXF
TAG Securities, Inc.	PFSI	0234	TAGG
Thor Capital LLC	PFSI	0234	THRC
Terra Nova Financial, LLC	PFSI	0234	TNPS
Thinkorswim, Inc.	PFSI	0234	TOSM
Tradespot Markets, Inc.	PFSI	0234	TSMI
Teton Investment Partners, LLC	PFSI	0234	TTON
Tullett Liberty Securities, Inc.	PFSI	0234	TULL
Vantage Investments	PFSI	0234	VTIS
Lexit Capital, LLC	PFSI	0234	WCMP
Wedbush Morgan Securities, Inc.	PFSI	0234	WMQP
Hunter World Markets, Inc.	PFSI	0234	WRLD
Xtent Financial Group, Inc.	PFSI	0234	XTFG

Add First Trade Date, February 7, 2012

Brookline Securities, LLC	WEDB	0103	BRKL
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Add First Trade Date, February 10, 2012

Clarkson Capital Markets	BNPS	0049	CLKS
RBC Capital Markets, LLC		0235	GELP
ABN AMRO Clearing Chicago LLC	APMA	0396	BRIX
ABN AMRO Clearing Chicago LLC	APMA	0396	KETB

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All-Tech Direct, Inc.	PFSI	0234	ALST	
MK Securities USA, LLC	PFSI	0234	FALC	
Meeting Street Brokerage, LLC	PFSI	0234	MSBR	
New Castle Financial Group Inc.	PFSI	0234	NCFG	
Seaboard Securities, Inc.	PFSI	0234	SEAB	
Tradeking	PFSI	0234	TKNG	
Vision Securities Inc.	PFSI	0234	VISN	
Zeus Securities Inc.	PFSI	0234	ZEUS	

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