



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

<b>A#:</b>	7382
<b>P&amp;S #:</b>	6952
<b>Date:</b>	2/17/2012
<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, February 15, 2012:**

Northern Lights Distributors, LLC/Epiphany Funds No. 6634

**Last Trade Date, February 21, 2012:**

Morningstar Investment Services, Inc. No. 6496

**Last Trade Date, February 27, 2012:**

Prudential Investment Management Services LLC/American Skandia Marketing Inc No. 6610

- The following firm will no longer participate in the Trade Recording, Trade Comparison, NYSE Listed, OTC and Municipal Bond Comparison systems, Corporate, Municipal and UIT Comparison, Fund/SERV, Networking, MF-Profile, Commission Settlement, ACATS Fund/SERV and Envelope Settlement services, as detailed below:

**Last Trade Date, February 14, 2012:**

Penson Financial Services, Inc. No. 0234  
OTC/MUNI Alpha Identifier: PFSI  
NYSE Alpha Identifier: PN

- The following firm will no longer participate in the MF-Daily Price and Rate service, as detailed below:

**Last Trade Date, February 16, 2012:**

Pinnacle Investments, LLC/Tarkio Fund No. 3609

- The following firm will change its name only, as detailed below:  
**First Trade Date, March 1, 2012:**  
 From: Ultimus Fund Distributors, LLC/PMFM Investment Trust No. 6692  
 To: Ultimus Fund Distributors, LLC/Stadion Investment Trust No. 6692
- The following firm will begin participation in the Fund/SERV and MF-Profile services, as detailed below:  
**First Trade Date, February 15, 2012:**  
 PHL Variable Insurance Company No. 4582
- The following firm will begin participation in the MF-Profile service, as detailed below:  
**First Trade Date, March 1, 2012:**  
 Ultimus Fund Distributors, LLC/PMFM Investment Trust No. 6692
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, February 17, 2012:**  
 American Enterprise Investment Services, Inc. No. 3433
- An additional number has been assigned to Rafferty Capital Markets, LLC (#5726) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, February 16, 2012:**  
 Rafferty Capital Markets, LLC/Epiphany Funds No. 6634  
 Networking Symbol: GO  
 Contact: Larie Lydik  
 Phone: (402) 493-4603 x 7123
- The following additional numbers have been assigned to Gemini Fund Services, LLC (#3845) for participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, February 22, 2012:**  
 Gemini Fund Services, LLC/Central Park Group Carlyle Equity Opportunity Fund, LLC No. 3585  
 Gemini Fund Services, LLC/Central Park Group Cobalt Fund, LLC No. 3586  
 Gemini Fund Services, LLC/Central Park Group Multi Event Fund No. 3587  
 Gemini Fund Services, LLC/Central Park Group JPM Alternative Strategies Fund, LLC No. 3589

- Please update the NSCC Directory dated February 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>
<b><u>Delete Last Trade Date, February 13, 2012</u></b>				
Score Securities, Inc.	MLCO	0161	SCOR	
MBSC, LLC	MLCO	0161	MBSC	
<b><u>Delete Last Trade Date, February 14, 2012</u></b>				
Portfolio Resources Group, Inc.	NFSC	0226	PRGI	
<b><u>Delete Last Trade Date, February 29, 2012</u></b>				
Thomas Weisel Partners LLC	STFL	0793	TWPT	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Name Change Effective First Trade Date, February 14, 2012</u></b>				
From: Permac Securities, Inc.	PRST	0551	PEMA	
To: Victor Securities, Inc.	PRST	0551	PEMA	
<b><u>Delete Last Trade Date, February 13, 2012</u></b>				
Innova Securities Inc.	MLCO	0161	INNO	
<b><u>Delete Last Trade Date, February 16, 2012</u></b>				
Penson Financial Services, Inc.	PFCL	0158	PFNV	
<b><u>Delete Last Trade Date, February 17, 2012</u></b>				
Concept Capital Markets, LLC	PRST	0551	CMKT	
Infinium Securities, Inc.	PRST	0551	INFU	
Merlin Securities, LLC	PRST	0551	MLIN	
<b><u>Add First Trade Date, February 15, 2012</u></b>				
Casimir Capital L.P.	SILK	0501	CSMR	
<b><u>Add First Trade Date, February 16, 2012</u></b>				
Penson Financial Services, Inc.	PFCL	0158	PFRK	
Penson Financial Services, Inc.	PFCL	0158	PFRJ	

**Add First Trade Date, February 21, 2012**

XP Securities, LLC

PERS 0443 XPUS

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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>

**Add First Trade Date, February 17, 2012**

Esposito Securities, LLC

PERS 0443 ESPP

**Add First Trade Date, March 1, 2012**

CertusSecurities, Inc.

NFSC 0226 CRTS

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)