



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

<b>A#:</b>	7388
<b>P&amp;S #:</b>	6958
<b>Date:</b>	3/02/2012
<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, February 28, 2012:**

Penson Financial Services, Inc.

No. 0234

*Please note that account number (#0158) will assume all open contracts for Penson Financial Services, Inc. (#0234).*

- The following firm will change its name only, as detailed below:

**First Trade Date, March 5, 2012:**

From: Penson Financial Services, Inc./Ridge

No. 0158

To: Penson Financial Services, Inc.

No. 0158

Note: Please direct all inquiries regarding the above to:

Penson Financial Services, Inc.

Contact: Brian Gover

Phone: (214) 765-1542

- The following firms will retire from all services, as detailed below:

**Last Trade Date, February 29, 2012:**

First National Bank of Omaha/Nebraska Educational Savings Trust

No. 5371

ALPS Distributors Inc/Forward Funds Inc.

No. 5889

**Last Trade Date, March 1, 2012:**

Quasar Distributors, LLC/Thunderstorm Value Fund

No. 4857

**Last Trade Date, March 6, 2012:**

Harmon Financial Advisors, Inc.

No. 6022

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**Last Trade Date, March 7, 2012:**

Unified Financial Securities, Inc./Eastern Point Advisors Funds Trust No. 4975

- The following firm will no longer participate in the ACATS service, as detailed below:

**Last Trade Date, March 7, 2012:**

Wilmington Trust Company No. 2215

- The following firm will change its name only, as detailed below:

**First Trade Date, March 8, 2012:**

From: Foreside Distribution Services, L.P./HSBC Investor Funds No. 5814

To: Foreside Distribution Services, L.P./HSBC Funds No. 5814

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

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

SunAmerica Capital Services, Inc. No. 5596

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

**First Trade Date, March 7, 2012:**

Unified Financial Securities, Inc./Appleseed Fund No. 5286

- The following firm will begin participation in the Fund/SERV, Networking, Commission Settlement and MF-Daily Price and Rate services, as detailed below:

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

First National Capital Markets, Inc. No. 5371

Networking Symbol: XW

Contact: Deb Driscoll

Phone: (617) 454-6458

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

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

Forward Securities, LLC No. 5889

Networking Symbol: O8

Contact: Mathew Eischen

Phone: (720) 917-0627

- The following firm will begin participation in the ACATS and Corporate Bond Processing services, as detailed below:

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

ABN AMRO Clearing Chicago LLC/Bonds No. 0575

- 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, March 2, 2012:**

State Street Bank & Trust Company/NRS/Bechtel NR Program DC Master Trust No. 3647  
 Networking Symbol: 92  
 Contact: Lisa Chu  
 Phone: (617) 662-6213

- 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>Clearing Broker Change Effective First Trade Date, February 29, 2012</u></b>				
From: Joseph Grace	MSRO	0727	ETSB	
To: Joseph Grace		0235	ETSB	
<b><u>Delete Last Trade Date, February 27, 2012</u></b>				
Choice Investments	SWST	0279	COCE	
<b><u>Delete Last Trade Date, February 28, 2012</u></b>				
Pacific West Securities, Inc.	NFSC	0226	PACW	
Moloney Securities Co., Inc.	MSRO	0727	MOSE	
Bestvest Investments, Ltd.	MSRO	0727	BSTV	
American Beacon Partners, Inc	MSRO	0727	ABPI	
<b><u>Delete Last Trade Date, February 29, 2012</u></b>				
Fagenson & Co., Inc.	PFCL	0158	FAGI	
<b><u>Delete Last Trade Date, March 2, 2012</u></b>				
White Pacific Securities, Inc.	PFCL	0158	WPAC	
Viewpoint Securities, LLC	PFCL	0158	VWPT	
<b><u>Add First Trade Date, March 5, 2012</u></b>				
Olson, Cross & Alamo LLC		0235	OCAC	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Clearing Broker Change Effective First Trade Date, March 1, 2012</u></b>				
From: PRIME Executions, Inc.	PFCL	0158	SIBO	
To: PRIME Executions, Inc.	AFCO	0284	SIBO	

**Delete Last Trade Date, March 2, 2012**

Glenwood Securities, Inc.	AFCO	0284	GLWD
JSF Securities Corp.	AFCO	0284	JSFA
Kabrik Trading, LLC	AFCO	0284	KBRK
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCO	0161	MLSH
Merrill Lynch, Pierce, Fenner & Smith, Incorporated	MLCO	0161	MLSJ
Merrill Lynch, Pierce, Fenner & Smith, Incorporated	MLCO	0161	MLTY
Merrill Lynch, Pierce, Fenner & Smith, Incorporated	MLCO	0161	MLTZ
Merrill Lynch, Pierce, Fenner & Smith, Incorporated	MLCO	0161	MLUD
Merrill Lynch, Pierce, Fenner & Smith, Incorporated	MLCO	0161	MLUG
Centrade Securities Corp.	PFCL	0158	TCSC
Penson Financial Services, Inc.	PFCL	0158	PFNX

**Add First Trade Date, February 29, 2012**

Wedbush Securities Inc.	WEDB	0103	WMBY
Morgan Stanley & Co. LLC	MSCO	0050	MSET

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

Cantor Fitzgerald & Co.	CSPD	0197	CFPT
Wedbush Securities Inc.	ITGI	0099	WMIT
The FIG Group, LLC	BNPS	0049	FIGO

**Add First Trade Date, March 2, 2012**

ABN AMRO Clearing Chicago LLC	APMA	0396	MNTX
ABN AMRO Clearing Chicago LLC	AACC	0541	PRPX
ABN AMRO Clearing Chicago LLC	SHMR	0695	CSSX
ABN AMRO Clearing Chicago LLC	SHMR	0695	ATIX
ABN AMRO Clearing Chicago LLC	APMA	0396	WEBX
Mercor Securities LLC	IBKR	0017	MSLC

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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>

**Delete Last Trade Date, February 29, 2012**

Camelot Investment Advisors, LTD	NFSC	0226	ARGU
PRIME Executions, Inc.	PFCL	0158	SIBO

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)