



Important Notice
National Securities Clearing Corporation

A#:	7391
P&S #:	6961
Date:	3/09/2012
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, March 8, 2012:

Northern Lights Distributors LLC/Winans Long/Short Fund	No.	4825
Northern Lights Distributors LLC/Global Fusion Funds	No.	5685
Northern Lights Distributors LLC/Santa Barbara Group of Mutual Funds	No.	4877

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

First Trade Date, March 13, 2012:

From: BHIL Distributors, Inc./Independent Franchise Partners US Franchise Equity Fund	No.	3754
To: BHIL Distributors, Inc./Independent Franchise Partners US Equity Fund	No.	3754

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

First Trade Date, March 15, 2012:

Financial Advisers of America, LLC	No.	6012
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- The following firms will begin participation in the Obligation Warehouse service, as detailed below:

First Trade Date, March 19, 2012:

Mizuho Securities USA Inc.	No.	0892
Mizuho Securities USA Inc./Fixed Income	No.	2396

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

First Trade Date, April 2, 2012:

Hornor, Townsend & Kent, Incorporated	No.	0326
Networking Symbol:	OI	
Contact: Scott Polter		
Phone: (215) 956-8651		

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

First Trade Date, March 12, 2012:

ICON Capital Corp. No. 3592

- The following additional number has been assigned to Reliance Trust Company (#4896) for the purpose of utilizing Fund/SERV, Networking and MF-Profile services, as detailed below:

First Trade Date, March 12, 2012:

Reliance Trust Company/SSB&T No. 3636

Networking Symbol: 93

Contact: Eric Anderson

Phone: (404) 965-7219

- 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 19, 2012:

State Street Bank & Trust Company/JPMorgan/Pacificorp Plus Employees No. 3686

Savings Plan 94

Networking Symbol:

Contact: Lisa Chu

Phone: (617) 662-6213

- Please update the NSCC Directory dated March 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>

Clearing Broker Change Effective First Trade Date, March 5, 2012

From: ABN AMRO Clearing Chicago LLC	AACC	0541	TTTX
To: ABN AMRO Clearing Chicago LLC	SHMR	0695	TTTX

Clearing Broker Change Effective First Trade Date, March 6, 2012

From: Swedbank First Securities, LLC	SHMR	0695	SWFS
To: Swedbank First Securities, LLC	PERS	0443	SWFS

Clearing Broker Change Effective First Trade Date, March 16, 2012

From: Telsey Advisory Group LLC	PFCL	0158	ALPA
To: Telsey Advisory Group LLC	MLCO	0161	ALPA

From: Telsey Advisory Group LLC	PFCL	0158	TAGC
To: Telsey Advisory Group LLC	MLCO	0161	TAGC

Delete Last Trade Date, March 7, 2012

Lime Brokerage LLC JEFF 0019 JFLI

Delete Last Trade Date, March 9, 2012

Key Investment Services LLC KEYB 0779 KISL

Add First Trade Date, March 7, 2012

CCM Securities, LLC PRST 0551 TRNP
Cowen Capital LLC MLCO 0161 ATMC

Add First Trade Date, March 8, 2012

Empire Asset Management Company NFSC 0226 EAMC

Add First Trade Date, March 9, 2012

BNY Mellon Capital Markets LLC PERS 0443 BKMM
Morgan Stanley & Co. LLC MSCO 0050 MSEL

Add First Trade Date, March 12, 2012

ABN AMRO Clearing Chicago LLC SHMR 0695 OBDX

- Please update the NSCC Directory dated March 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>

Clearing Broker Change Effective First Trade Date, March 12, 2012

From: Key Investment Services LLC	KEYB	0779	KISL
To: Key Investment Services LLC	PERS	0443	KISL

Add First Trade Date, March 16, 2012

Telsey Advisory Group LLC	MLCO	0161	ALPA
Telsey Advisory Group LLC	MLCO	0161	TAGC

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