



Important Notice
National Securities Clearing Corporation

A#:	7402
P&S #:	6972
Date:	3/30/2012
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 27, 2012:

State Street Bank & Trust Company/JP Morgan Retirement Plan Services/
Tower Perrin

No. 5111

Last Trade Date, March 28, 2012:

Orion Securities (USA) Inc./CDS

No. 5034

Last Trade Date, March 30, 2012:

BNY Mellon Distributors LLC/The Industry Leaders Fund
JP Morgan Chase Bank, N.A./Schroder Investments

No. 5654

No. 6699

- The following firms will begin participation in the MF-Daily Price and Rate service, as detailed below:

First Trade Date, April 5, 2012:

Northern Lights Distributors, LLC/SCA Funds

No. 5396

First Trade Date, April 9, 2012:

Institutional Investor Trust

No. 3709

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

First Trade Date, April 2, 2012:

Dodge & Cox Worldwide Investments Ltd.

No. 3684

Networking Symbol:

0M

Contact: Thomas Mistele

Phone: (415) 274-9393

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- The following additional number has been assigned to OppenheimerFunds Distributor, Inc. (#5511) for the purpose of utilizing Fund/SERV, Networking and Commission Settlement services, as detailed below:

First Trade Date, March 28, 2012:

OppenheimerFunds Distributor, Inc./MM Separate Investment Accounts No. 3697
 Networking Symbol: 0X
 Contact: Timothy Bushey
 Phone: (413) 744-3934

- 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 30, 2012:

State Street Bank & Trust Company/NRS/Delphi No. 3687
 Networking Symbol: 0Q
 Contact: Dawn Cruickshank
 Phone: (781) 302-6167

- The following additional number has been assigned to The Northern Trust Company (#6625) for the purpose of utilizing Fund/SERV, Networking and MF-Profile services, as detailed below:

First Trade Date, March 30, 2012:

The Northern Trust Company/Sub-Advised Collective Funds Trust - LSV No. 3698
 Networking Symbol: 1E
 Contact: Joya Favors
 Phone: (312) 557-3576

- The following additional number has been assigned to Benefit Trust Company (#0761) for the purpose of utilizing Fund/SERV, Networking and MF-Profile services, as detailed below:

First Trade Date, April 2, 2012:

Benefit Trust Company/Prime Plan Solutions No. 3694
 Networking Symbol: 0Z
 Contact: Dave Kenward
 Phone: (913) 663-0735

- The following additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 2, 2012:

Unified Financial Securities, Inc./Martin Funds No. 3303
 Networking Symbol: 3V
 Contact: Anna Maria Spurgin
 Phone: (317) 917-7422

- The following additional number has been assigned to Symetra Life Insurance Company (#5161) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 2, 2012:

Symetra Life Insurance Company/Symetra Mutual Funds Trust No. 3692
 Networking Symbol: 1F
 Contact: Casey Sauer
 Phone: (414) 347-5766

- The following additional number has been assigned to The Bancorp Bank (#4859) for the purpose of utilizing Fund/SERV, Networking and MF-Daily Price and Rate File services, as detailed below:

First Trade Date, April 2, 2012:

The Bancorp Bank/Participant Protection Account No. 3308
 Networking Symbol: 3W
 Contact: Pete Chiccino
 Phone: (302) 385-5006

- The following additional numbers have 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, April 2, 2012:

Northern Lights Distributors, LLC/GL Beyond Income Fund No. 3301
 Networking Symbol: 2D
 Contact: Mike Nielsen
 Phone: (402) 493-1731 ext 3

First Trade Date, April 2, 2012:

Northern Lights Distributors, LLC/Princeton Credit Income Fund No. 3304
 Networking Symbol: 2W
 Contact: Mike Nielsen
 Phone: (402) 493-1731 ext 3

- Please update the NSCC Directory dated March 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>

Clearing Broker and Executing Broker Name Change Effective First Date, March 29, 2012

From: Terminus Securities, Inc.	MSRO	0727	TRMS
To: Terminus Securities, LLC	FSWC	0309	TRMS

Delete Last Trade Date, March 27, 2012

Penson Financial Services, Inc.	PFCL	0158	PFIN
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Delete Last Trade Date, March 29, 2012

LFC Securities, LLC

SWST 0279 LFCY

Add First Trade Date, March 28, 2012

Avenir Financial Group, Inc.

LGNT 0052 AFGR

- 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>
<u>Clearing Broker Change Effective First Trade Date, March 28, 2012</u>				
From: B. Riley and Co. Inc.	PFCL	0158	RILY	
To: B. Riley and Co. Inc.	NFSC	0226	RILY	
<u>Delete Last Trade Date, March 27, 2012</u>				
Penson Financial Services, Inc.	PFCL	0158	PFCH	
<u>Delete Last Trade Date, March 28, 2012</u>				
TD Professional Execution Inc.	GLIP	5062	PROX	
<u>Delete Last Trade Date, March 29, 2012</u>				
Wesbanco Securities, Inc.	MSRO	0727	CBII	
<u>Add First Trade Date, March 27, 2012</u>				
ABN AMRO Clearing Chicago LLC	SHMR	0695	LARX	
ABN AMRO Clearing Chicago LLC	SHMR	0695	PISX	
First Ballantyne, LLC*	SALI	0750	FBLT	
<u>Add First Trade Date, March 29, 2012</u>				
Penson Financial Services, Inc.	PFCL	0158	PFTM	
<u>Add First Trade Date, April 2, 2012</u>				
Van Kampen Funds, Inc.	ITGI	0099	ZEDD	

*First Ballantyne, LLC ('FBLT') was originally announced on March 23, 2012 with an effective First Trade Date of March 30, 2012, however, this was revised to First Trade Date March 27, 2012 as listed above.

- 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>
<u>Clearing Broker Change Effective First Trade Date, March 30, 2012</u>				
From: Wesbanco Securities, Inc.	MSRO	0727	CBII	
To: Wesbanco Securities, Inc.	PERS	0443	CBII	
<u>Clearing Broker Change Effective First Trade Date, April 2, 2012</u>				
From: Unionbanc Investment Services LLC	MKTI	6728	MKTI	6728
To: Unionbanc Investment Services LLC	NFSC	0226	MKTI	

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