



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

<b>A#:</b>	7407
<b>P&amp;S #:</b>	6977
<b>Date:</b>	4/13/2012
<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, April 18, 2012:**  
Unified Financial Securities, Inc./Mirzam Funds No. 5305
- The following firm will no longer participate in the Obligation Warehouse and Envelope Settlement services, as detailed below:  
**Last Trade Date, April 18, 2012:**  
Timber Hill LLC / Account # 2 No. 0437
- The following firm will no longer participate in the Obligation Warehouse service, as detailed below:  
**Last Trade Date, April 19, 2012:**  
National Stock Exchange/NSX DMA No. 0700
- The following firm will no longer participate in the OTC Comparison, ACATS, Obligation Warehouse and Envelope Settlement services, as detailed below:  
**Last Trade Date, April 19, 2012:**  
BMO Nexbitt Burns Trading Corp. S.A. No. 0018  
OTC Alpha Identifier: NBTC
- The following firms will change their name only, as detailed below:  
**First Trade Date, April 10, 2012:**  
From: ABN AMRO Investment Trust Company No. 5493  
To: BNP Paribas Investment Partners Trust Company No. 5493  
  
**First Trade Date, April 19, 2012:**  
From: BNY Mellon Distributors LLC No. 0440  
To: Foreside Funds Distributors LLC No. 0440

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

Non-Confidential

From: BNY Mellon Distributors LLC/ BNYM I.S. Trust Co FBO Morningstar Wrap Program Customers	No.	0474
To: Foreside Funds Distributors LLC/BNYM I.S. Trust Co FBO Morningstar Wrap Program Customers	No.	0474
From: BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO Health Savings Account Customers	No.	0592
To: Foreside Funds Distributors LLC/BNYM I.S. Trust Co FBO Health Savings Account Customers	No.	0592
From: BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO JJB Hilliard WL Lyons Inc	No.	0649
To: Foreside Funds Distributors LLC/BNYM I.S. Trust Co FBO JJB Hilliard WL Lyons Inc	No.	0649
From: BNY Mellon Distributors LLC/BNYM I.S. Trust FBO Managers Funds Wrap Program Customers	No.	0657
To: Foreside Funds Distributors LLC/BNYM I.S. Trust FBO Managers Funds Wrap Program	No.	0657
From: BNY Mellon Distributors LLC/Primerica Financial Services	No.	0689
To: Foreside Funds Distributors LLC/Primerica Financial Services	No.	0689
From: BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO Fundmanager Clients	No.	5914
To: Foreside Funds Distributors LLC/BNYM I.S. Trust Co FBO Fundmanager Clients	No.	5914
From: BNY Mellon Distributors LLC	No.	6658
To: Foreside Funds Distributors LLC	No.	6658
From: BNY Mellon Distributors LLC/Dimensional Funds PLC and Dimensional Funds II PLC	No.	3746
To: Foreside Funds Distributors LLC/Dimensional Funds PLC and Dimensional Funds II PLC	No.	3746
From: BNY Mellon Distributors LLC/Versus Capital Multi-Manager Real Estate Income Fund LLC	No.	3750
To: Foreside Funds Distributors LLC/Versus Capital Multi-Manager Real Estate Income Fund LLC	No.	3750
From: BNY Mellon Distributors LLC/Lincoln Advisors Trust	No.	3788
To: Foreside Funds Distributors LLC/Lincoln Advisors Trust	No.	3788
From: BNY Mellon Distributors LLC/Fairholme Funds, Inc.	No.	4870
To: Foreside Funds Distributors LLC LLC/Fairholme Funds, Inc.	No.	4870
From: BNY Mellon Distributors LLC/Simple Alternatives Funds of the RBB Fund, Inc.	No.	5342

To: Foreside Funds Distributors LLC/Simple Alternatives Funds of the RBB Fund, Inc.	No.	5342
From: BNY Mellon Distributors LLC/Spirit of America Investment Funds	No.	5362
To: Foreside Funds Distributors LLC/Spirit of America Investment Funds	No.	5362
From: BNY Mellon Distributors LLC/Perimeter Capital Management of the RBB Fund, Inc.	No.	5416
To: Foreside Funds Distributors LLC/Perimeter Capital Management of the RBB Fund, Inc.	No.	5416
From: BNY Mellon Distributors LLC/Consulting Group Capital Markets Funds	No.	5422
To: Foreside Funds Distributors LLC/Consulting Group Capital Markets Funds	No.	5422
From: BNY Mellon Distributors LLC/Stratton Family of Funds	No.	5448
To: Foreside Funds Distributors LLC/Stratton Family of Funds	No.	5448
From: BNY Mellon Distributors LLC/ First Puerto Rico Family of Funds	No.	5547
To: Foreside Funds Distributors LLC/First Puerto Rico Family of Funds	No.	5547
From: BNY Mellon Distributors LLC/Fundvantage Trust	No.	5611
To: Foreside Funds Distributors LLC/Fundvantage Trust	No.	5611
From: BNY Mellon Distributors LLC/Sterling Capital Funds	No.	5648
To: Foreside Funds Distributors LLC/Sterling Capital Funds	No.	5648
From: BNY Mellon Distributors LLC/Old Westbury Funds, Inc.	No.	5651
To: Foreside Funds Distributors LLC/Old Westbury Funds, Inc.	No.	5651
From: BNY Mellon Distributors LLC/Aston Funds	No.	5699
To: Foreside Funds Distributors LLC/Aston Funds	No.	5699
From: BNY Mellon Distributors LLC/Kalmar Pooled Investment Trust	No.	5716
To: Foreside Funds Distributors LLC/Kalmar Pooled Investment Trust	No.	5716
From: BNY Mellon Distributors LLC/Matthews International Funds DBA Matthews Asia Funds	No.	5724
To: Foreside Funds Distributors LLC/Matthews International Funds DBA Matthews Asia Funds	No.	5724
From: BNY Mellon Distributors LLC/Mercer Funds	No.	5725
To: Foreside Funds Distributors LLC/Mercer Funds	No.	5725
From: BNY Mellon Distributors LLC/Guidestone Funds	No.	5782
To: Foreside Funds Distributors LLC/Guidestone Funds	No.	5782
From: BNY Mellon Distributors LLC/Robeco Investment Funds of the RBB Fund, Inc.	No.	5800

To: Foreside Funds Distributors LLC/Robeco Investment Funds of the RBB Fund, Inc.	No.	5800
From: BNY Mellon Distributors LLC/The RBB Fund, Inc.	No.	5808
To: Foreside Funds Distributors LLC/The RBB Fund, Inc.	No.	5808
From: BNY Mellon Distributors LLC/ Bogle Investment Management Funds of the RBB Fund, Inc.	No.	5818
To: Foreside Funds Distributors LLC/Bogle Investment Management Funds of the RBB Fund, Inc.	No.	5818
From: BNY Mellon Distributors LLC/High Mark Funds	No.	5820
To: Foreside Funds Distributors LLC/HighMark Funds	No.	5820
From: BNY Mellon Distributors LLC/Schneider Capital Management Funds of the RBB Fund, Inc.	No.	5856
To: Foreside Funds Distributors LLC/Schneider Capital Management Funds of the RBB Fund, Inc.	No.	5856
From: BNY Mellon Distributors LLC/Matson Money, Inc Funds of the RBB Fund, Inc.	No.	5947
To: Foreside Funds Distributors LLC/Matson Money, Inc Funds of the RBB Fund, Inc.	No.	5947
From: BNY Mellon Distributors LLC/Pyxis Funds	No.	5979
To: Foreside Funds Distributors LLC/Pyxis Funds	No.	5979
From: BNY Mellon Distributors LLC/The Torray Funds	No.	6554
To: Foreside Funds Distributors LLC/The Torray Funds	No.	6554
From: BNY Mellon Distributors LLC/E.I.I. Realty Securities Trust	No.	6579
To: Foreside Funds Distributors LLC/E.I.I. Realty Securities Trust	No.	6579
From: BNY Mellon Distributors LLC/The Motley Fool Funds Trust	No.	6594
To: Foreside Funds Distributors LLC/The Motley Fool Funds Trust	No.	6594
From: BNY Mellon Distributors LLC/Metropolitan West Funds	No.	6644
To: Foreside Funds Distributors LLC/Metropolitan West Funds	No.	6644
From: BNY Mellon Distributors LLC/Marvin & Palmer Funds of the RBB Fund, Inc.	No.	6679
To: Foreside Funds Distributors LLC/Marvin & Palmer Funds of the RBB Fund, Inc.	No.	6679

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

**First Trade Date, April 18, 2012:**

Johnson Investment Counsel, Inc.	No.	3779
----------------------------------	-----	------

**First Trade Date, April 19, 2012:**

M&T Securities, Inc.

No. 0040

- 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, April 16, 2012:**

State Street Bank & Trust Company/ING/State of Minnesota

No. 3689

Networking Symbol:

0Y

Contact: Belynda Crick

Phone: (617) 662-6013

- Please update the NSCC Directory dated April 2012 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

<b><u>Clearing Broker Change Effective First Trade Date, April 13, 2012</u></b>	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
From: CCM Securities, LLC	BSSC	0352	TURN	
To: CCM Securities, LLC	MLCO	0161	TURN	
<b><u>Delete Last Trade Date, April 13, 2012</u></b>				
Sloan Securities Corp.	PFCL	0158	SLOA	

- Please update the NSCC Directory dated April 2012 (for OTC Executed-By List) as detailed below:

<b><u>Delete Last Trade Date, April 11, 2012</u></b>	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
Loeb Arbitrage Fund	BSSC	0352	LOEB	
<b><u>Delete Last Trade Date, April 12, 2012</u></b>				
Romano Brothers and Company	FCCP	0141	ROMO	
<b><u>Delete Last Trade Date, April 13, 2012</u></b>				
Sloan Securities Corp.	PFCL	0158	SLON	
<b><u>Add First Trade Date, April 10, 2012</u></b>				
Union Gaming Advisors, LLC	PERS	0443	UGAM	
<b><u>Add First Trade Date, April 12, 2012</u></b>				
ABN AMRO Clearing Chicago LLC	SHMR	0695	TTTA	

**Add First Trade Date, April 13, 2012**

Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZWW
Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZVV
Goldman Sachs Execution & Clearing, L.P.	SILK	0501	BZWX
Hampton Securities (USA), Inc.		0235	HMPT
CV Brokerage Inc.	PFCL	0158	CVBR

**Add First Trade Date, April 16, 2012**

Wedbush Securities Inc.	WEDB	0103	WBLL
-------------------------	------	------	------

- Please update the NSCC Directory dated April 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>
<b><u>Add First Trade Date, April 9, 2012</u></b>			
Cross Point Capital LLC	PERS	0443	CRPT

If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).