



Important Notice
National Securities Clearing Corporation

A#:	7442
P&S #:	7012
Date:	6/15/2012
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 firm will retire from all services, as detailed below:
Last Trade Date, June 15, 2012:
TCW Investment Management Company No. 6563
- The following firm will no longer participate in the Commission Settlement service, as detailed below:
Last Trade Date, June 14, 2012:
OppenheimerFunds Distributor, Inc./MM Separate Investment Accounts No. 3697
- The following firms will begin participation in the MF-Daily Price and Rate service, as detailed below:
First Trade Date, June 13, 2012:
Benefit Trust Company/Prime Plan Solutions No. 3694
First Trade Date, June 14, 2012:
OppenheimerFunds Distributor, Inc./MM Separate Investment Accounts No. 3697
First Trade Date, June 15, 2012:
Symetra Life Insurance Company/Symetra Mutual Funds Trust No. 3692
- The following firms will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, June 13, 2012:
BlackRock Investments, LLC No. 5882
Pacific Select Distributors, Inc. No. 5478
Keeley Investment Corp. No. 5661

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First Trade Date, June 18, 2012:

Quasar Distributors LLC/Brandes Investment Trust No. 5693

- The following firm will begin participation in the Fund/SERV service, as detailed below:

First Trade Date, June 14, 2012:

Pacific Life Insurance Company No. 4532

- The following firm will begin participation in the Insurance Processing Service, as detailed below:

First Trade Date, June 25, 2012:

Branch Banking and Trust Company No. 5385

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

First Trade Date, June 18, 2012:

TCW Funds Distributors No. 6563

Networking Symbol: 3T

Contact: Nabil Madi

Phone: (213) 244-0448

- 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, June 15, 2012:

Northern Lights Distributors, LLC/Inflation Hedges Strategy Fund No. 3338

Networking Symbol: UH

Contact: Mike Nielsen

Phone: (402) 493-1731 ext 3

First Trade Date, June 15, 2012:

Northern Lights Distributors, LLC/Braver Tactical Opportunity Fund No. 3339

Networking Symbol: UT

Contact: Mike Nielsen

Phone: (402) 493-1731 ext 3

- The following additional number has been assigned to Great-West Life & Annuity Insurance Company (#4735) for the purpose of utilizing the Insurance Processing Service, as detailed below:

First Trade Date, June 18, 2012:

Great-West Life & Annuity Insurance Company/American Funds Distributors Inc. No. 3332

- The following additional number has been assigned to First Great-West Life & Annuity Insurance Company (#4736) for the purpose of utilizing the Insurance Processing Service, as detailed below:

First Trade Date, June 18, 2012:

First Great-West Life & Annuity Insurance Company/

American Funds Distributors Inc. No. 3334

- The following additional number has been assigned to Cadaret, Grant & Co., Inc. (#0241) for the purpose of utilizing the Insurance Processing Service, as detailed below:

First Trade Date, June 18, 2012:

Cadaret, Grant & Co., Inc./Cadaret Grant Agency Inc.

No. 3309

- Please update the NSCC Directory dated June 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>
<u>Delete Last Trade Date, June 15, 2012</u> Brookstone Securities, Inc.	FSWC	0309	RSIC	
<u>Add First Trade Date, June 14, 2012</u> Northeastern Financial Group Inc.	WEDB	0103	NFGI	
<u>Add First Trade Date, June 15, 2012</u> Phoenix Derivatives Group, LLC	MLCO	0161	PHXP	

- Please update the NSCC Directory dated June 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, June 18, 2012</u> From: Lampost Capital, L.C. To: Lampost Capital, L.C.	PFCL	0158	LAMP	
	LSCI	0512	LAMP	
<u>Delete Last Trade Date, June 12, 2012</u> Eroom Securities L.L.C.	SWST	0279	EROM	
<u>Delete Last Trade Date, June 14, 2012</u> Penson Financial Services, Inc.	PFCL	0158	PFTK	
Penson Financial Services, Inc.	PFCL	0158	PFDZ	
Penson Financial Services, Inc.	PFCL	0158	PFOB	
Penson Financial Services, Inc.	PFCL	0158	PFNY	
Penson Financial Services, Inc.	FLTG	0330	PFTM	
Penson Financial Services, Inc.	PFCL	0158	PFEN	

Add First Trade Date, June 15, 2012

ABN AMRO Clearing Chicago LLC

AACC 0541 PITX

Add First Trade Date, June 18, 2012

Eroom Securities L.L.C.

PRST 0551 EROM

If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.