



Important Notice
National Securities Clearing Corporation

A#:	7636
P&S #:	7206
Date:	05/17/2013
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, May 20, 2013:

Matrix Capital Group, Inc./360 Funds

No. 5695

- The following firms will begin participation in the Omni/SERV Activity & Position service, as detailed below:

First Trade Date, May 17, 2013:

ALPS Distributors, Inc./AQR Funds

No. 5922

First Trade Date, May 20, 2013:

Foreside Fund Services, LLC/American Beacon Fds

No. 5742

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

First Trade Date, June 3, 2013:

NGAM Distribution, L.P./Aurora Horizons Series

No. 7080

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

First Trade Date, May 17, 2013:

Realty Capital Securities, LLC

No. 1093

First Trade Date, May 23, 2013:

IFC Holdings, Inc.

No. 1062

SII Investments, Inc.

No. 1081

National Planning Corporation

No. 3422

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- The following additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking and MF – Daily Price and Rate services, as detailed below:

First Trade Date, May 20, 2013:

Global Trust Company/NADA	No.	7075
Networking Symbol:	6N	
Contact: Joseph Mikula		
Phone: (781) 970-5043		

- Please update the NSCC Directory dated May 2013 (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>Add First Trade Date, May 16, 2013</u> B&T Securities, Inc.	VSIN	0595	BTSI	

- Please update the NSCC Directory dated May 2013 (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, May 15, 2013</u> From: Woodlawn Advisors LLC To: Woodlawn Advisors LLC	MLCO	0161	WDLN	
	PFCL	0158	WDLN	
<u>Delete Last Trade Date, May 14, 2013</u> Stock USA Execution Services, Inc.	PFCL	0158	SUSA	
<u>Delete Last Trade Date, May 15, 2013</u> ED&F Man Capital Markets Inc. ING Financial Markets LLC	ICBK	0388	EDFC	
	INGF	0270	INGG	
<u>Delete Last Trade Date, May 16, 2013</u> Arbor Research & Trading, Inc. J.M. Lummis Securities, Inc.	ICBK	0388	ARTI	
	ICBK	0388	JMLS	
<u>Delete Last Trade Date, May 31, 2013</u> Wang Investment Associates, Inc.	PFCL	0158	WIAI	
<u>Add First Trade Date, May 15, 2013</u> Jump Trading	SHMR	0695	MAKI	

Add First Trade Date, May 20, 2013

ViewTrade Securities, Inc.

IBFS 0824 VIEW

Add First Trade Date, May 24, 2013

Renaissance Macro Securities, LLC.

MLCO 0161 RMAC

- Please update the NSCC Directory dated May 2013 (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>

Delete Last Trade Date, May 14, 2013

Woodlawn Advisors LLC

MLCO 0161 WDLN

Delete Last Trade Date, May 15, 2013

PPG West LLC

ICBK 0388 PPGW

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