

Alphabetical Reference

April 2012

Name	MUNI-OTC Symbol	CLEARING NO.			MUNI Type	LLC/CPM							
		OTC/Other	MUNI										
Aaron Capital Inc.	AACI	0158Δ	0158†	CNS									
Abacus Investments, Inc.	ABAI	0309Δ	0309†	CNS									
Abbey National Securities Inc.	ANSI	0642Δ											
Abel/Noser Corp.	ANOS	0100Δ											
ABG Sundal Collier, Inc.	ABGS	0103Δ											
ABN Amro Chicago Corporation Bond Trading	AABT		5231	TFT									
ABN AMRO Clearing Chicago LLC	ALLX	0695Δ											
ABN AMRO Clearing Chicago LLC	ATGX	0396Δ											
ABN AMRO Clearing Chicago LLC	ATIX	0695Δ											
ABN AMRO Clearing Chicago LLC	BRIX	0396Δ											
ABN AMRO Clearing Chicago LLC	CHVX	0695Δ											
ABN AMRO Clearing Chicago LLC	COGX	0695Δ											
ABN AMRO Clearing Chicago LLC	CSSX	0695Δ											
ABN AMRO Clearing Chicago LLC	FCAP	0396Δ											
ABN AMRO Clearing Chicago LLC	FMGF	0695Δ											
ABN AMRO Clearing Chicago LLC	FRTA	0396Δ											
ABN AMRO Clearing Chicago LLC	FSIK	0695Δ											
ABN AMRO Clearing Chicago LLC	FSOM	0695Δ											
ABN AMRO Clearing Chicago LLC	FTMG	0695Δ											
ABN AMRO Clearing Chicago LLC	FWBA	0396Δ											
ABN AMRO Clearing Chicago LLC	HBIF	0695Δ											
ABN AMRO Clearing Chicago LLC	HEDX	0396Δ											
ABN AMRO Clearing Chicago LLC	HNCA	0396Δ											
ABN AMRO Clearing Chicago LLC	IMCX	0396Δ											
ABN AMRO Clearing Chicago LLC	IMMX	0695Δ											
ABN AMRO Clearing Chicago LLC	JEXF	0536Δ											
ABN AMRO Clearing Chicago LLC	KETA	0396Δ											
ABN AMRO Clearing Chicago LLC	KETB	0396Δ											
ABN AMRO Clearing Chicago LLC	LARX	0695Δ											
ABN AMRO Clearing Chicago LLC	LBKX	0695Δ											
ABN AMRO Clearing Chicago LLC	MNTX	0396Δ											
ABN AMRO Clearing Chicago LLC	OBDX	0695Δ											
ABN AMRO Clearing Chicago LLC	OPTA	0396Δ											
ABN AMRO Clearing Chicago LLC	OTFX	0396Δ											
ABN AMRO Clearing Chicago LLC	PISX	0695Δ											
ABN AMRO Clearing Chicago LLC	PLTA	0396Δ											
ABN AMRO Clearing Chicago LLC	PLTX	0396Δ											
ABN AMRO Clearing Chicago LLC	PRPX	0541Δ											
ABN AMRO Clearing Chicago LLC	QLBX	0396Δ											
ABN AMRO Clearing Chicago LLC	QLTX	0695Δ											
ABN AMRO Clearing Chicago LLC	RTSF	0396Δ											
ABN AMRO Clearing Chicago LLC	SFGX	0396Δ											
ABN AMRO Clearing Chicago LLC	SHMR	0695											
ABN AMRO Clearing Chicago LLC	STRF	0695Δ											
ABN AMRO Clearing Chicago LLC	SUNF	0695Δ											
ABN AMRO Clearing Chicago LLC	SUNX	0695Δ											
ABN AMRO Clearing Chicago LLC	SWDX	0541Δ											
ABN AMRO Clearing Chicago LLC	TMGX	0695Δ											
ABN AMRO Clearing Chicago LLC	TTTX	0695Δ											
ABN AMRO Clearing Chicago LLC	WEBX	0396Δ											
ABN AMRO Clearing Chicago LLC/Bonds	ABND	0575											
ABN AMRO Clearing Chicago	FLTG	0330											
						ABN AMRO Clearing Chicago LLC/Portfolio Margining	APMA	0396					
						ABN AMRO Clearing Chicago LLC/Retail	AACC	0541					
						ABN AMRO Investment Trust Company		5493					
						ABN AMRO Securities (USA) LLC	ABNA	0349					
						Abner, Herrman & Brock, Inc.	AHBI	0352Δ	0352†	CNS			
						Academy Securities, Inc.	ACAD	0103Δ	0103†	CNS			
						Acadia Life International Limited		6902					
						ACAP Financial, Inc.	ACAF	0052Δ					
						ACAP Financial, Inc.	ACAP	8072Δ					
						Access Financial Group, Inc.	AFGI	0352Δ	0352†	CNS			
						Access Securities, Inc.	AXCB	0443Δ	0443†	CNS			
						Access Securities, Inc.	AXCS	0443Δ					
						Access Securities, Inc.	AXGP	0501Δ					
						Access Securities, Inc.	CBAL		0443†	CNS			
						Accrued Equities, Inc.		5678					
						ACS HR Solutions LLC		7102					
						Activa Capital Markets, Inc.	CNCR	0158Δ					
						Activner Securities, Inc.	ACTI		0443†	CNS			
						Adirondack Funds		6613					
						Adirondack Trading Group LLC	ADKT	0309Δ	0309†	CNS			
						Adirondack Trading Group, LLC	ADAK	0052Δ	0052†	CNS			
						ADP Inc./TPA		7120					
						Advance Capital I, Inc.		5860					
						Advanced Advisor Group, LLC		6015					
						Advanced Asset Trading, Inc.	BRGI	0235Δ	0235†	CNS			
						Advanced Equities Services Corp	SALD	0158Δ					
						Advanced Equities, Inc.	ADVA	0052Δ	0052†	CNS			
						Advantage GFC LLC	PINO	0750Δ					
						Adviser Dealer Services, Inc.		5706					
						Advisor Central, LLC		3900					
						Advisors Asset Management, Inc.	FISA	0443Δ	0443†	CNS			
						Advisors Asset Management, Inc.	FISB		0226†	CNS			
						Advisors Clearing Network, Inc.		0359					
						AEB Corporation	AEBC	0443Δ					
						Aegis Capital Corp.	AEGC	0512Δ	0512†	CNS			
						Aegis Capital Corp.	AGCC	0352Δ					
						Aegis Capital Corp.	AGIS	0158Δ	0158†	CNS			
						Aegis Investments, Inc.	AECS	0750Δ	0750†	CNS			
						AEGON/Monumental Life Insurance Company		4564					
						AEGON/Transamerica Life Insurance Company		4566					
						AEGON/Western Reserve Life Assurance Company of Ohio		4567					
						AG BD, LLC	AGBD	0352Δ					
						Agency Trading Group, Inc.	ATGP	0226Δ	0226†	CNS			
						AIG Life Insurance Company		4537					
						AIG Retirement Advisors, Inc.		0542					
						AIG Retirement Advisors, Inc./Account 2		0681					
						Akar Capital Management, Inc.	CAAA	0158Δ	0158†	CNS			
						Akjensen, Inc.	AKJI	0158Δ	0158†	CNS			
						Alamo Capital Corp.	ALAC	0279Δ	0279†	CNS			
						Alanar Incorporated	ALIN		0309†	CNS			
						Alaris Trading Partners, LLC	ATPA	0161Δ	0161†	CNS			

Alphabetical Reference

April 2012

Alaris Trading Partners, LLC	DDAY	0501Δ			Allstate Financial Services, LLC	LAGI	0226†	CNS
Alden (J.) Associates, Inc.	JADN	0226Δ	0226†	CNS	Allstate Financial Services, LLC		0222	
Alerus Securities Corporation	FNBS	0235Δ	0235†	CNS	Allstate Financial Services, LLC/Allstate Financial Annuities		5341	
Aletheia Securities, Inc.	TRUE		0226†	CNS	Allstate Life Insurance Company		4528	
Alexander (Don) Investments, Inc.	DAII	0235Δ	0235†	CNS	Allstate Life Insurance Company of New York		4557	
Alexander Capital, L.P.	ACLCP	0235Δ	0226†	CNS	Allstate Life Insurance Company of New York/Administered by Prudential		4688	
Alexander Investment Services Co.	ALIS	0235Δ	0235†	CNS	Allstate Life Insurance Company of New York/Fixed		4751	
Alexandra & James Co.	AJCO		0443†	CNS	Allstate Life Insurance Company/Administered by Prudential		4687	
Alfa Capital Markets (USA), Inc.	ALFA	0443Δ			Allstate Life Insurance Company/Administered by SE2 Technology Solutions		4696	
Algo Engineering Execution Services LLC	ALGF	0396Δ			Allstate Life Insurance Company/Administered by SE2 Technology Solutions		4697	
AlgoPartners, LLC	ALGP	0050Δ			Allstate Life Insurance Company/Cigna		4580	
All Funds, Inc.	AFIN		0226†	CNS	Allstate Life Insurance Company/CIGNA/Administered by Se2 Technology Solution		4690	
Alleghany Investments Inc.	ALLE		0226†	CNS	Allstate Life Insurance Company/Fixed		4750	
Allen & Company LLC	ALLN	0443Δ			Allston Trading, LLC	ALTN	0695Δ	
Allen & Company of Florida, Inc.	ALEN		0141†	CNS	Allston Trading, LLC	ALTR	0695Δ	
Allen C. Ewing & Co.	ACEJ		0226†	CNS	Alluvion Securities, LLC	ALLU	0750Δ	0750† CNS
Alliance Advisory & Securities, Inc.	ALAD		0235†	CNS	AloStar Bank of Commerce	ASBC	6776	6776 TFT
Alliance Bernstein Investment Research and Investment Management, Inc.		5515			Alpine Securities Corporation	ALPS	8072	
Alliance Financial Group, Inc.	AKGS	0141Δ	0141†	CNS	ALPS Distributors Inc./James Advantage Funds		5613	
AllianceBernstein Investment Research and Investment Mgmt, Inc./Sanford C. Bernstein		5553			ALPS Distributors Inc./Whitebox Funds		3763	
AllianceBernstein Investment Research and Investment Mgmt., Inc./ACIT		6584			ALPS Distributors, Inc.		5642	
AllianceBernstein Investment Research and Investment Mgmt., Inc./International Div.		5809			ALPS Distributors, Inc./Ameristock Mutual Funds		5455	
Alliant Securities, Inc. Turner, Nord, Kienbaum	BZTN	8084	8084	CNS	ALPS Distributors, Inc./AQR Funds		5922	
Allianz Global Investors Distributors LLC		5554			ALPS Distributors, Inc./Aspen Funds		3717	
Allianz Global Investors Distributors LLC/Allianz Global Investors Fund SICAV		5609			ALPS Distributors, Inc./BBH Funds		5722	
Allianz Global Investors Distributors LLC/College Access Plan		5579			ALPS Distributors, Inc./BPVFunds		3768	
Allianz Global Investors Distributors LLC/MI 529 Advisors Plan		6768			ALPS Distributors, Inc./Brown Capital		3740	
Allianz Global Investors Distributors LLC/Oklahoma Dream 529		5921			ALPS Distributors, Inc./Brown Capital		5521	
Allianz Global Investors Distributors LLC/Pimco Advisory Service		5784			ALPS Distributors, Inc./Caldwell & Orkin		5684	
Allianz Life Insurance Co. of New York-Fixed Business		4682			ALPS Distributors, Inc./Cook & Bynum Funds		5928	
Allianz Life Insurance Co. of North America-Fixed Business		4570			ALPS Distributors, Inc./Corner Cap Funds		5384	
Allianz Life Insurance Company of New York		4524			ALPS Distributors, Inc./Cortina Funds		3762	
Allianz Life Insurance Company of North America		4523			ALPS Distributors, Inc./CRM Funds		6619	
Allied Beacon Partners, Inc.	ABPI	0235Δ	0235†	CNS	ALPS Distributors, Inc./Cullen Funds		5466	
Allison (M.E.) & Co., Inc.	MEAL	0279Δ	0279†	CNS	ALPS Distributors, Inc./Cullen		3710	
Allison-Williams Company	ALWL	0279Δ						

Alphabetical Reference

April 2012

Funds plc					American Capital Partners	ACPL	0235Δ		
ALPS Distributors, Inc./Emerald Funds	3619				American Centurion Life Assurance Company		4600		
ALPS Distributors, Inc./Fifth Third Funds	5874				American Century Brokerage, Inc.	ACBD	0443Δ	0443†	CNS
ALPS Distributors, Inc./Financial Investors Variable Insurance Trust	6609				American Century Investment Services Inc./Kansas Postsecondary Savings Program		5338		
ALPS Distributors, Inc./FirstHand Funds	4901				American Century Investment Services Inc./SICAV Funds		3728		
ALPS Distributors, Inc./FIT-ALPS Funds	5904				American Century Investment Services, Inc.		5646		
ALPS Distributors, Inc./GLG Partners	5390				American Diversified Financial Group, LLC	ADFG	0235Δ	0235†	CNS
ALPS Distributors, Inc./Grandeur Peak Funds	3759				American Enterprise Investment Services Inc.	IDSI	0216	0216	CNS
ALPS Distributors, Inc./Heartland Funds	5571				American Enterprise Investment Services Inc./Beta/133	HRBF	0756	0756	CNS
ALPS Distributors, Inc./Heartland International Small Cap Fund	5345				American Enterprise Investment Services, Inc.		3433		
ALPS Distributors, Inc./Henssler Funds	6550				American Enterprise Life Insurance Company		4541		
ALPS Distributors, Inc./Holland Balanced Fund	6597				American Funds Distributors, Inc.		0754		
ALPS Distributors, Inc./Index IQ Trust	6505				American Funds Distributors, Inc.		5504		
ALPS Distributors, Inc./Laudus Funds	4903				American Funds Distributors, Inc./LC Planpremier		6508		
ALPS Distributors, Inc./MTB Funds	5696				American General Distributors, Inc		5718		
ALPS Distributors, Inc./Oak Funds	5761				American General Life Insurance Company		4502		
ALPS Distributors, Inc./Paxworld Funds	4940				American General Life Insurance Company/AGL Position File Feed		4743		
ALPS Distributors, Inc./Redmont Funds	3787				American General Securities Incorporated	AMGN		0443†	CNS
ALPS Distributors, Inc./River North Funds	6520				American Heritage Securities, Inc.	AHSI		0141†	CNS
ALPS Distributors, Inc./Seafarer Funds	3777				American Independent Securities Group, LLC	AISG	0235Δ	0235†	CNS
ALPS Distributors, Inc./State Street Institutional Investment Trust	6516				American International Life Assurance Company of New York		4536		
ALPS Distributors, Inc./Stone Harbor	5309				American Investors Group	AIGI		0279†	CNS
ALPS Distributors, Inc./Stonebridge Capital Management	5806				American Israeli Shared Values Trust		5310		
ALPS Distributors, Inc./Tilson Funds	5337				American Municipal Securities Inc.	AMMS		0141†	CNS
ALPS Distributors, Inc./Transparent Value Fund	5314				American National Insurance Company		4569		
ALPS Distributors, Inc./Vulcan Value Partners Fund	5313				American Network Securities Corp.	AMNN		0443†	CNS
ALPS Distributors, Inc./WesMark Funds	5944				American Portfolios Financial Services, Inc.		0555		
Altegris Portfolio Management, Inc. dba Altegris Funds	3476				American Trust Investment Services, Inc.	PEER	0235Δ	0235†	CNS
AlterNet Securities Inc.	ALTX	0099Δ			American Union Securities, Inc.	AUSI	0158Δ		
Alton Securities Group Inc.	ASGI	0235Δ	0235†	CNS	American United Life Insurance Company		4591		
Altrushare Securities LLC	ATRU	0100Δ			American United Life Insurance Company		4746		
Alzaid Financial Services, Inc.	AZAD	0750Δ	0750†	CNS	American United Life Insurance Company/2		4754		
AM&M Financial Services, Inc.		3920			American United Life Insurance Company/3		4757		
AM&M Investment Brokers, Inc.	AMMI		0443†	CNS	America's Choice Equities LLC	ACEP	0052Δ	0052†	CNS
Ambassador Financial Group, Inc.	AFGT	0279Δ	0279†	CNS					
Amcore Investment Services, Inc.		6151							
America Invest Online, Inc.	AIII	0052Δ	0052†	CNS					

Alphabetical Reference

April 2012

America's Portfolio's	APFS		0443†	CNS	Assist Investment Management	ASST	0279Δ	0279†	CNS
Ameriprise Financial Services, Inc.	AEFA	0216Δ	0216†	CNS	Associated Bank Green Bay		2257		
Ameritas Investment Corporation	BLNI	0443Δ	0443†	CNS	Associated Bond Brokers	ABBI		0279†	CNS
Ameritas Investment Corporation		0249			Associated Investment Services, Inc.	ASOI	0443Δ	0443†	CNS
Ameritas Life Insurance Corp.		4539			Associated Investment Services, Inc.		7192		
Ameritrade, Inc.	AMTD		0188†	CNS	Associated Securities Corporation	ASSO	0075Δ		
AmTrust Investment Services, Inc.		7148			AST Investor Services LLC	ASTI		0226†	CNS
AMUR Advisors, LLC	AMUR	0309Δ			Atis, Inc.	JEVO	0235Δ	0235†	CNS
ANB Financial Group LLC	ANBF		0309†	CNS	Atlantic Financial Services of Maine, Inc.	AFSM	0750Δ		
Ancora Securities, Inc.	DALE	0443Δ			Atlantic Trading Partners Incorporated	ATTR	0235Δ	0235†	CNS
Ancora Securities, Inc.	DALE		0443†	CNS	Atlas One Financial Group, LLC	AFGL	0161Δ	0161†	CNS
Ancora Securities, Inc.		4951			Atlas One Financial Group, LLC	AOFG	0158Δ	0158†	CNS
Anderson & Strudwick, Inc.	ANSR		0443†	CNS	Audobon Securities, Inc.	AUDO		0418†	CNS
Andes Capital Group, LLC	ACGP	0235Δ	0235†	CNS	Auerbach Grayson & Co. Inc.	AGCO	0443Δ		
Anovest Financial Services, Inc.	ANOV	0750Δ	0750†	CNS	Aufhauser Securities, Inc.	ARBI	0443Δ	0443†	CNS
ANZ Securities, Inc.	ANZS		0443†	CNS	Aura Financial Services, Inc.	AURA	0750Δ	0750†	CNS
APB Financial Group, LLC	ALIR	0226Δ	0226†	CNS	Auriga USA, Inc.	ARGA	0443Δ	0443†	CNS
APB Financial Group, LLC	APBI	0100Δ			Aurora Capital LLC	AURC	0052Δ	0052†	CNS
Aquila Distributors, Inc.		5552			Ausdal Financial Partners, Inc.		6905		
Aradir Corp.	ARAD	0352Δ			Automated Trading Desk Brokerage Services LLC	ATDB	0100Δ		
Arbor Research & Trading, Inc.	ARTI	0388Δ	0388†	CNS	Automated Trading Desk Financial Services, LLC	AUTO	0100Δ		
Arcadia Investment Corp.	AICO	0352Δ	0352†	CNS	Avenir Financial Group, Inc.	AFGR	0052Δ	0052†	CNS
Arcadia Securities, LLC	ARCD	0443Δ			Aventura Securities, LLC	AVEN		0226†	CNS
Archev & Co. LLC	JINS	0052Δ			Avian Securities, LLC	AVIA	0443Δ	0443†	CNS
Archipelago Securities, LLC	ACRA	0436			Aviemoore Funds		6509		
Archipelago Securities, LLC	ALLC	0436Δ			Avila Capital Markets, Inc.	AVIL	0158Δ		
Archipelago Securities, LLC	ARRB	0436Δ			Aviva Life Insurance Company		6425		
Archipelago Trading Services, Inc.	ARCA	0436Δ			Aviva Life Insurance Company of New York		6424		
Ardour Capital Investments, LLC	ARDR	0158Δ			AVM, L.P.	AVML	0443Δ	6704	TFT
Arete Wealth Management	KEYS		0226†	CNS	Avondale Partners, LLC	AVON	0226Δ	0226†	CNS
Ariel Distributors LLC		5751			AWM Securities, Inc.	FINC	0279Δ		
Aritas Securities LLC	BLOK	0443Δ			AX Trading, LLC	AXTN	0158Δ		
Arjent Services LLC	ALZN	0235Δ	0235†	CNS	AXA Advisors, LLC	AXAA		0075†	CNS
ARKA Securities, Inc.	ARKA		0443†	CNS	AXA Equitable Life Insurance Company		4535		
Arkansas Bankers Bank	ABBL		6706	TFT	AXA Equitable Life Insurance Company/Life Insurance		4632		
ARMA Financial Services, Inc.	ARMA		0226†	CNS	AXA Network, LLC		7123		
Artisan Partners Distributors, LLC		6653			Axelrod Associates, Inc.	AXEL	0727Δ	0727†	CNS
Arvest Investments, Inc.	ARVS	0141Δ	0141†	CNS	Axes, LLC	AXES	0049Δ		
Arvest Investments, Inc.		4988			Axiom Capital Management, Inc.	AXIO	0352Δ	0352†	CNS
ASB Securities, LLC		5581			AYRE Invstmnts, Inc.	AYRE	0052Δ	0052†	CNS
Ascendant Capital Markets, LLC	ASCM	0158Δ			Azzad Funds		5662		
Ashton Young, Inc.	MOMY	0279Δ	0279†	CNS	B & T Securities, Inc.	BTSI		0226†	CNS
Askar Corp.	ASKR		0141†	CNS	BAC Florida Investments Corp.	BCCS		0443†	CNS
Aspen Equity Partners, LLC	ASPN	0309Δ	0309†	CNS	Backstrom McCarley Berry & Co., LLC	BMCB		0103†	CNS
Assent, LLC	ASNA	0100Δ			Baird (Robert W.) & Co., Incorporated	BARD	0547	0547	CNS
Assent, LLC	ASNB	0442Δ			Baird Patrick & Co., Inc.	BPAT	0443Δ	0443†	CNS
Assent, LLC	ASNC	0442Δ			Baker & Co., Incorporated	BCOM	0235Δ	0235†	CNS
Assent, LLC	ASND	0442Δ			Baker (C.P.) Securities Incorporated	CPBC	0352Δ	0352†	CNS
Assent, LLC	ASNE	0442Δ							
Assent, LLC	ASNF	0442Δ							
Assent, LLC	ASNG	0442Δ							
Assent, LLC	ASNH	0442Δ							
Assent, LLC	ASNM	0442Δ							
Assent, LLC	ASNN	0442Δ							
Assent, LLC	ASNX	0442Δ							
Assent, LLC	ASSA	0442Δ							
Assent, LLC	ASSD	0442Δ							
Assent, LLC	ASSX	0442Δ							

Alphabetical Reference

April 2012

Baldwin (Leigh) & Co., LLC	LEBO	0226Δ	0226†	CNS	Barron (Nancy) & Associates, Inc.	NBAR	0226†	CNS
Baldwin Anthony Securities, Inc	BAMC	0279Δ			Barton Creek Ltd.	BCLT	0309†	CNS
Ballew Investments, Inc.	BALL		0443†	CNS	Base Securities LLC	CARL	0443†	CNS
Banc of America Investment Services	NBII	0226Δ	0226†	CNS	Basis Financial, LLC	BFLN	0052Δ	0052† CNS
Banc of America Securities, LLC	BASV	0352Δ			BATS Trading, Inc.	BATM	0050Δ	
Banc West Investment Services		6130			BATS Trading, Inc.	BATS	0103Δ	
Banca IMI Securities Corp.	BIMI	0136	0136	CNS	BATS Trading, Inc.	BYXM	0050Δ	
Banco Votorantim Securities, Inc.	VOTO	0443Δ	0443†	CNS	BATS Trading, Inc.	BYXX	0103Δ	
Bancorp Bank (The)	TBBK		0226†	CNS	Baum (George K.) & Co.	BAUM	0129	0129 CNS
Bancorp Bank (The)		4859			Bay Colony Securities Co., Inc.	LMSC	0235Δ	0235† CNS
Bancorp Bank (The)/Master Demand Account Advantage		3606			Bay Crest Partners, LLC	BAYC	0158Δ	
Bancorp Bank (The)/Participant Protection Account		3308			BB&T Investment Services, Inc.	BBTT	0702Δ	0702† CNS
Bancorpsouth Investment Services, Inc.	BSIS		0443†	CNS	BB&T Investment Services, Inc.		0156	
BancorpSouth Investment Services, Inc.		6048			BBVA Investments Inc.	BCMR	0443Δ	0443† CNS
Banesto Securities, Inc.	BSTO		0443†	CNS	BCP Securities, LLC	BRCY	0443Δ	0443† CNS
Banif Securities Inc.	BANF	0443Δ			Beacon Capital Markets, LLC	BEAC	0161Δ	
Banif Securities, Inc.	BANF		0443†	CNS	Beacon Investment Company	BICA		0443† CNS
Bank of America N.A.		2236			Beaconsfield Financial Services, Inc.	BEAF	0235Δ	0235† CNS
Bank of America N.A./ GWIM TRUST OPERATIONS		0955			Beal (M.R.) & Company	BEAL	0443Δ	0443† CNS
Bank of America, N.A.	NBNA		6737	TFT	Bear Creek Securities, LLC	BCRK	0052Δ	0052† CNS
Bank of America, N.A./Lasalle Bank N.A.		2251			Beck (H.), Inc.		0731	
Bank of Oklahoma, N.A.	BOKL		6752	TFT	Becker & Suffern Ltd.	BECS		0443† CNS
Bankers & Investors Co.	BAIN	0279Δ	0279†	CNS	Bedford Securities, Inc.	BSIN		0418† CNS
Bankers Bank	BBID		6409	TFT	Bedrok Securities, LLC	STLZ	0443Δ	0443† CNS
BankersBanc Capital Corporation	BBCC	0750Δ	0750†	CNS	Bel Air Securities LLC	BELS	0352Δ	0352† CNS
Bankoh Investment Services, Inc.	PCIS		0226†	CNS	Bellamah, Neuhauser & Barrett, Inc.	BNBB		0443† cns
Bannockburn Partners, LLC	BPLC	0158Δ			Belle Haven Investments, LP	BHII	0443Δ	0443† CNS
Bannockburn Partners, LLC	GOAL	0750Δ			Belle Haven Investments, LP	BHLP		0226† CNS
Banyan Securities, LLC	BNYN	0226Δ	0226†	CNS	Beloyan Investment Securities, Inc.	BELO	0052Δ	0052† CNS
Barclays Capital Inc.		5340			Belvedere Trading LLC	BELV	0501Δ	
Barclays Capital Inc./Barclays Celsius Funds Ireland/Malta		5375			Benchmark Company, LLC (The)	BNCH	0352Δ	0352† CNS
Barclays Capital, Inc.	BCAP	5101			Benchmark Investments, Inc.	BMRK	0235Δ	0235† CNS
Barclays Capital, Inc.	BCHY	5101Δ			Benefit Trust Company		0761	
Barclays Capital, Inc.	BCPP	5101Δ			Benefit Trust Company		6647	
Barclays Capital, Inc.	BWEL		0229†	CNS	Benefit Trust Company/Prime Plan Solutions		3694	
Barclays Capital, Inc./Fixed Income	BCAP	7256	7256	CNS	Benjamin & Jerold Brokerage, Inc.	BEJJ	0052Δ	0052† CNS
Barclays Capital, Inc./LE	LATS	0229Δ			Benjamin S. Edwards Incorporated	BFEC	0443Δ	
Barclays Capital, Inc./LE	LEHB	0229Δ			Benjamin Securities Investment Co., Inc.	BENS	0279Δ	
Barclays Capital, Inc./LE	LEHM	0229	0229	CNS	Bentley-Lawrence Securities, Inc.	BLSI	0727Δ	0727† CNS
Barclays Capital, Inc./LE	LEHP	0229Δ			Berean Capital, Inc.	WHWL	0727Δ	0727† CNS
Barclays Capital, Inc./LE	LHMA	0229Δ			Berghoff & Company, Inc.	BEMC	0235Δ	0235† CNS
Barclays Capital, Inc./LE	LHMB	0229Δ			Bermuda Investment Advisory Services	BERM		0443† CNS
Barclays Capital, Inc./LE	LHMS	0229Δ			Bernardi Securities, Inc.	BNDI		0443† CNS
Barclays Capital, Inc./LE	LHSB	0229Δ			Bernstein (Sanford C.) & Co., Inc.	BERN	0013	0013 CNS
Barclays Capital, Inc./LE	LSAH	0229Δ			Bernstein (Sanford C.) & Co., LLC	SBER	0013Δ	0013† CNS
Barclays Capital, Inc./Market Maker		0055			Berry Shino Securities, Inc.	BSAZ		0103† CNS
Baron Capital Inc.		4862			Berthel, Fisher & Company Financial Services, Inc.	BFFI	0226Δ	0226† CNS
Barrett & Company	BARR	0226Δ	0226†	CNS	Bertolet Capital Trust		6701	
Barrington Research Associates, Inc.	BRRR	0352Δ	0352†	CNS	Berwyn Financial Services	BFSA	0226Δ	
					Best Direct Securities, LLC	BDSE	0750Δ	
					BestVest Investments, Ltd.	BVIS	0235Δ	0235† CNS
					Beta Capital Management	BECM	0352Δ	
					Beyer & Co.	BEYR	0727Δ	

Alphabetical Reference

April 2012

BGB Securities Inc.	BGCM	0103Δ							
BGC Financial Inc.	MAXC	0537Δ							
BGC Financial Inc.	MINT	0537Δ							
BGC Financial, Inc.	BGCE	0161Δ							
BGC Financial, Inc.	EBKR	0537Δ							
BGC Financial, Inc.	MAXN	0537Δ							
BGC Financial, L.P.	BGCF	0537	0537	CNS					
BHIL Distributors, Inc.		6532							
BHIL Distributors, Inc./Diamond Hill Funds		4729							
BHIL Distributors, Inc./Independent Franchise Partners US Equity Fund		3754							
BHIL Distributors, Inc./Matthews International Capital Management LLC		5150							
BHIL Distributors, Inc./Performance Funds		5854							
BHIL Distributors, Inc./Praxis Funds		5791							
BHIL Distributors, Inc./Robeco Institutional Asset Management B.V.		3607							
BHK Securities, LLC	BHKS		0141†	CNS					
Bianco Financial Inc.	BFIB	0158Δ							
BIDS Trading L.P.	BIDS	0161Δ	0161†	CNS					
Bill Few Associates, Inc.	BFEW		0443†	CNS					
Biltmore International Corp.	BMIC	0161Δ							
Biondo Asset Management LLC	BGIA	0226Δ	0226†	CNS					
Birchwood Securities Corp.	BWEX	0442Δ							
Biremis Corporation	BRMS	0100Δ							
Birkelbach Investment Securities, Inc.	BRKE		0443†	CNS					
Bishop, Rosen & Co., Inc.	BISH	0226Δ	0226†	CNS					
Black (James I.) & Co.	BLCK	7031	7031	CNS					
Blackbook Capital LLC	PHNX	0158Δ	0158†	CNS					
Blackburn & Company	BLKB	0642Δ	0642†	CNS					
BlackRock Capital Markets, LLC	BRCM	0352Δ	0352†	CNS					
BlackRock Execution Services	BGIS	0352Δ	0352†	CNS					
BlackRock Institutional Trust Company, N.A.		4722							
BlackRock Investments, LLC		5882							
BlackRock Investments, LLC/BlackRock Global Funds		4982							
BlackRock Investments, LLC/BlackRock Liquidity Funds		5813							
BlackRock Investments, LLC/Bond Allocation Target Shares		4868							
BlackRock Investments, LLC/ICS		5123							
Blair (William) & Company, LLC	WBLR	0771	0771	CNS					
Blair (William) & Company, LLC		5538							
Blaylock Robert Van, LLC	BRVL	0443Δ	0443†	CNS					
Bley Investments Group, Inc.	BLAY	0443Δ	0443†	CNS					
Bley Investments Group, Inc.	BLEY	0443Δ	0443†	CNS					
Blinkbox, Ltd.	BBOX	0873Δ							
Block Kelly Company	BKKY	0750Δ							
Bloomberg Tradebook LLC	BOOK	0651Δ							
Bloomberg Tradebook LLC	IOIX	0651Δ							
Blount Parrish & Co., Inc.	BPCO		0750†	CNS					
Blue Alternative Asset Management LLC							3405		
Blue Base Securities, LLC	BLVS	0161Δ							
Blue Bay Capital Ltd.	BBAY	0750Δ							
Blue Capital Securities, Inc.	BCSB	0352Δ	0352†	CNS					
Blue Frog Solutions, Inc.		6358							
Blue Trading, Inc.	BTNY	0158Δ							
Blue Trading, Inc.	WBCO	0501Δ							
Blue Vase Securities, LLC	BLVS	0161Δ							
Bluebid Brokerage, LLC	BBBI		0443†	CNS					
Bluefin Research Partners, Inc.	TUNA	0443Δ	0443†	CNS					
BlueFire Capital, LLC	FIRE	0695Δ							
Blum (Robert) Municipals Inc.	RBMU		0279†	CNS					
BMA Securities	BMAS	0158Δ	0158†	CNS					
BMA Securities	BMSS	0512Δ							
BMO Capital Markets Corp.	BMOC	0045							
BMO Capital Markets Corp.	NBSI	0045Δ							
BMO Capital Markets GKST Inc.	GKST		6001	TFT					
BMO Harris Bank NA/M&I Trust	MRIS	0992	0992	TFT					
BMO Nesbitt Burns Inc./CDS	NTBF	5043•							
BMO Nesbitt Burns Securities, Ltd.	NBSL	0352Δ							
BMO Nesbitt Burns Trading Corp., S.A.	NBTC	0018							
BNP Paribas Investment Services, LLC	BNPC	0049Δ							
BNP Paribas Prime Brokerage, Inc.		2154							
BNP Paribas Securities Corp.	BNPB	0049Δ							
BNP Paribas Securities Corp.	BNPS	0049	0049	CNS					
BNP Paribas Securities Corp.	PARI	0049Δ							
BNP Paribas Securities Corp.		5551							
BNP Paribas Securities Corp./Fixed Income	PARI		0630	CNS					
BNP Paribas Securities Corp./Henderson Horizon Funds		5866							
BNP Paribas Securities Corp./Lion Global Investors		3604							
BNY Capital Markets Inc.	BKCM	0443Δ	0443†	CNS					
BNY Convergenx Execution Solutions, LLC	NYFT	0100Δ							
BNY Convergenx Execution Solutions, LLC	NYFX	0100Δ							
BNY Mellon Capital Markets LLC	BKMM	0443Δ							
BNY Mellon Distributors LLC		0440							
BNY Mellon Distributors LLC		6658							
BNY Mellon Distributors LLC/Aston Funds		5699							
BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO Fundmanager Clients		5914							
BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO Health Savings Account Customers		0592							
BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO JJB Hilliard WL Lyonds Inc.		0649							
BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO Managers Fund Wrap Program Customers		0657							

Alphabetical Reference

April 2012

BNY Mellon Distributors LLC/BNYM I.S. Trust Co FBO Morningstar Wrap Program Customers	0474	BNY Mellon Distributors LLC/Spirit of America Investment Funds	5362		
BNY Mellon Distributors LLC/Bogle Investment Management Funds of the RBB Fund, Inc.	5818	BNY Mellon Distributors LLC/Sterling Capital Funds	5648		
BNY Mellon Distributors LLC/Consulting Group Capital Markets Funds	5422	BNY Mellon Distributors LLC/Stratton Family of Funds	5448		
BNY Mellon Distributors LLC/Dimensional Funds PLC and Dimensional Funds II PLC	3746	BNY Mellon Distributors LLC/The Motley Fool Funds Trust	6594		
BNY Mellon Distributors LLC/E.I.I. Realty Securities Trust	6579	BNY Mellon Distributors LLC/The RBB Fund, Inc.	5808		
BNY Mellon Distributors LLC/Fairholme Funds, Inc.	4870	BNY Mellon Distributors LLC/The Turray Funds	6554		
BNY Mellon Distributors LLC/First Puerto Rico Family of Funds	5547	BNY Mellon Distributors LLC/Versus Capital Multi-Manager Real Estate Income Fund LLC	3750		
BNY Mellon Distributors LLC/Fundvantage Trust	5611	Bodell Overcash Anderson & Co.	BOLL	0309Δ	0309† CNS
BNY Mellon Distributors LLC/Guidestone Funds	5782	Boe Securities Inc.	BOSE	0161Δ	0161† CNS
BNY Mellon Distributors LLC/High Mark Funds	5820	Boenning & Scattergood, Inc.	BOSC	0141Δ	0141† CNS
BNY Mellon Distributors LLC/Kalmar Pooled Investment Trust	5716	BofA Distributors, Inc.		5320	
BNY Mellon Distributors LLC/Lincoln Advisors Trust	3788	Bolton Securities Corporation	BLTN	0235Δ	0235† CNS
BNY Mellon Distributors LLC/Marvin & Palmer Funds of the RBB Fund, Inc.	6679	BOM Capital	BCBM	0161Δ	0161† CNS
BNY Mellon Distributors LLC/Matson Family, Inc. Funds of the RBB Fund, Inc.	5947	Bond One, LLC	BDON	0750Δ	0750† CNS
BNY Mellon Distributors LLC/Matthews International Funds DBA Matthews Asia Funds	5724	Bonddesk Trading, LLC	BDTR		0226† CNS
BNY Mellon Distributors LLC/Mercer Funds	5725	Bonds.com, Inc	BNDS		0443† CNS
BNY Mellon Distributors LLC/Metropolitan West Funds	6644	BOSC, Inc.	BOKF		6757 TFT
BNY Mellon Distributors LLC/Old Westbury Funds, Inc.	5651	BOSC, Inc.	BOKI	0443Δ	0443† CNS
BNY Mellon Distributors LLC/Perimeter Capital Management of the RBB Fund, Inc.	5416	Botzum (C.A.) & Company	BOTZ	0052Δ	0052† CNS
BNY Mellon Distributors LLC/Primerica Financial Services	0689	Bozarth, Newton & Murphy Securities, Inc.	BNMI		0226† CNS
BNY Mellon Distributors LLC/Pyxis Funds	5979	BPU Investment Management Inc.	BZPI	0443Δ	0443† CNS
BNY Mellon Distributors LLC/Robeco Investment Funds of the RBB Fund, Inc.	5800	Bradesco Securities, Inc.	BRSE	0226Δ	0226† CNS
BNY Mellon Distributors LLC/Schneider Capital Management Funds of the RBB Fund, Inc.	5856	Branch Banking and Trust Company		5385	
BNY Mellon Distributors LLC/Simple Alternatives Funds of The RBB Fund, Inc.	5342	Brandis Tallman LLC	NBST		0103† CNS
		Braver Stern	BRST		0443† CNS
		Braver Stern Securities Corp.	BRAV	0352Δ	
		Braymen, Lambert and Noel Securities, Ltd.	BLNS	0309Δ	0309† CNS
		Bread & Butter Fund, Inc.		5358	
		Brean Murray, Carret & Co., LLC	BMUR	0158Δ	0158† CNS
		Brean Murray, Carret & Co., LLC	CRRT		0443† CNS
		Brecke & Young	BYAI		0226† CNS
		Brent (H.D.) & Company, Inc.	BRNT	0235Δ	0235† CNS
		Briggs-Ficks Securities, LLC	BFSL	0235Δ	0235† CNS
		Brighton Securities Corp.	BGHT		0141† CNS
		Brill Securities, Inc.	BRIL	0352Δ	0352† CNS
		Brinker Capital Securities Corp.	BRNK		0226† CNS
		Brinson Patrick Securities Corporation	BRIN	0158Δ	
		Brittingham, Inc.	BRIT		0226† CNS
		Broad Street Securities	BDST		0352† CNS
		Broadband Capital Management, LLC	BAND	0226Δ	0226† CNS
		Brockhouse & Cooper, Inc.	BROC	0443Δ	
		Broker Dealer Financial Services Corp.	BKFC		0141† CNS
		Broker Dealer Financial Services Corp.		5985	
		Brookline Securities, LLC	BRKL	0103Δ	
		Brookshire Securities Corporation	BSCO	0750Δ	0750† CNS

Alphabetical Reference

April 2012

Brookshire Securities Corporation	BSCT	0052Δ	0052†	CNS	Cambridge Investment Research, Inc.	CIRI	0443Δ	0443†	CNS
Brookstone Securities, Inc.	RSIC	0309Δ	0309†	CNS	CAMCO Investors Trust		3613		
Brookstone Securities, Inc.		0495			Canaccord Adams Inc.	ADAM	0443Δ		
Brookview Capital LLC	BKVV	0501Δ			Canaccord Capital Corporation/CDS	CCAI	5046Δ		
Brown & Brown Securities, Inc.	BRBR	0279Δ	0279†	CNS	Canaccord Genuity Corp.CDS	CICF	5046•		
Brown Advisory Securities, LLC	BSEC		0141†	CNS	Canaccord Wealth Management (USA) Inc.	NRAM	0443Δ		
Brown Associates, Inc.	BWNA	0235Δ	0235†	CNS	Cantella & Co., Inc.	CTLA	0443Δ	0226†	CNS
Brown Brothers Harriman & Co.	BBHC	0010	0010	CNS	Cantella & Co., Inc.		0699		
Brown Brothers Harriman & Co.		5930			Canterbury Consulting Incorporated	CTBY		0141†	CNS
Brown Brothers Harriman & Co./BBH Collective Investment Series Trust		5135			Cantone Research, Inc.	CANR		0141†	CNS
Brown Brothers Harriman and Company/ETF		0109			Cantor Fitzgerald & Co.	CANT	0696	0696	TFT
Brown, Lisle/Cummings, Inc.	BRLI		0226†	CNS	Cantor Fitzgerald & Co.	CFCS	0501Δ	0501†	CNS
Brownstone Investment Group	BIGG	0501Δ			Cantor Fitzgerald & Co.	CFPT	0197Δ		
BTG Capital Corp	PACT	0443Δ			Cantor Fitzgerald & Co.	ESPD	0696Δ		
BTIG, LLC	BAYT	0501Δ			Cantor Fitzgerald & Co.		0197Δ		
BTIG, LLC	BTIG	0501Δ			Cantor Fitzgerald & Co. - Cantor Clearing Services	CSPD	0197	0197	CNS
BTIG, LLC	BTIS	0443Δ			Cantor Fitzgerald & Co./Aqua Securities, L.P.	AQUA	7310	7310	CNS
BTIG, LLC	BTIX	0352Δ	0352†	CNS	Cantor Fitzgerald & Co./Debt Capital Markets	CFCO	7311	7311	CNS
Buckingham Research Group Incorporated (The)	BUCK	0226Δ	0226†	CNS	Cantor, Weiss & Friedner, Inc.	CWEI		0443†	CNS
Buckman, Buckman & Reid, Inc.	BBRF	0158Δ	0158†	CNS	Cape Securities Inc.	CAPE		0226†	CNS
Buckman, Buckman & Reid, Inc.	BKRT	0235Δ	0235†	CNS	Capital Analysts Inc.	CAPI	0443Δ		
Buell Securities Corp.	BUEL	0443Δ	0443†	CNS	Capital Analysts, Inc.	CAPI		0443†	CNS
Bulltick Securities, Inc.	BLTS	0443Δ	0443†	CNS	Capital Financial Services, Inc.	CAPF	0235Δ		
Bulltick, LLC	BLTK	0443Δ			Capital Group Securities (The)	CGSE	0235Δ	0235†	CNS
Burke & Quick Partners LLC	BAQP	0443Δ	0443†	CNS	Capital Growth Resources, Inc.	WALT	0158Δ	0158†	CNS
Burke, Lawton, Brewer & Burke, LLC	BURK		0141†	CNS	Capital Guardian Trust Company		4873		
Burnham Securities Inc.	BRNM	0352Δ	0352†	CNS	Capital Guardian Trust Company/Capital International Funds		5107		
Burnham Securities Inc.		5583			Capital Guardian Trust Company/CGPCS		5389		
Burrill LLC	BURR	0158Δ			Capital Institutional Services, Inc.	CIST	0161Δ	0161†	CNS
Butler Larsen Pierce & Company, Inc.	BLPC		0279†	CNS	Capital Institutional Services, Inc.		0475		
Buttonwood Partners, Inc.	BPWP		0226†	CNS	Capital Integration Systems LLC		3470		
C.I.G. Corp.		6479			Capital Investment Brokerage Inc.	CAPB	0750Δ	0750†	CNS
C.M. Life Insurance Company		4547			Capital Investment Group, Inc.	CAPG	0750Δ	0750†	CNS
C.O.R.E Marketing Inc		6006			Capital Investment Group, Inc.		0545		
Cabrera Capital Markets, Inc.	CABA	0161Δ	0161†	CNS	Capital Investment Group, Inc.		5664		
Cabrera Capital Markets, Inc.	CABR	0443Δ	0443†	CNS	Capital Investment Services, Inc.	CISE	0443Δ		
Cadaret, Grant & Co. Inc.		0241			Capital Management Securities, Inc.	CMSI	0279Δ		
Cadaret, Grant & Co., Inc.	CGAT	0443Δ	0443†	CNS	Capital One Investment Services LLC		0431		
Cadena Capital Group	CADG	0501Δ			Capital One Investment Services LLC/Chevy Chase Securities, Inc.		0290		
Cain Brothers & Company, LLC	CBCI		0443†	CNS	Capital One Southcoast, Inc.	SOCO	0443Δ	0443†	CNS
Calamos Financial Services LLC		5835			Capital Path Securities, LLC	PATH	0052Δ	0052†	CNS
Calamos Financial Services LLC/Calamos Global Fund PLC		6621			Capital Path Securities	CAPT		0512†	CNS
Caldwell International Securities Corporation	CISC	0279Δ	0279†	CNS	Capital Portfolio Management Inc.	CPMI	0352Δ	0352†	CNS
Caldwell Securities Ltd./CDS		5013			Capital Securities Investment Corporation	CSIC		0226†	CNS
Caldwell Securities, Incorporated	CALD	0103Δ			Capital Securities of America, Inc.	CPAM		0141†	CNS
Caldwell Trust Company		2687			Capital Select Investment	CSIN	0235Δ	0235†	CNS
Cales Investments, Inc.	CALE	0750Δ			Capital Synergy Partners	CSPI	0235Δ	0235†	CNS
Callaway Financial Services, Inc.	CALL	0309Δ	0309†	CNS					
Calton & Associates, Inc.	CALT	0279Δ	0279†	CNS					
Calvert Investment Distributors, Inc.		5543							
Cambria Capital, LLC	CAMC	0052Δ	0052†	CNS					

Alphabetical Reference

April 2012

Capitalquest Securities, Inc.	CQSI	0443†	CNS	Central Trust Bank	CTBK		0226†	CNS
Capitol Securities and Associates, Inc.	HSCO	0226†	CNS	Central Trust Bank		2880		
Capitol Securities Management, Inc.	CSCV	0702Δ	0702†	Centurion Institutional Services Inc.	CETR	0352Δ	0352†	CNS
Capitol Securities Management, Inc.	CSMI	0443Δ	0443†	Centurion Life Insurance Company		6005		
Capmark Securities Inc.	NEWM		0443†	Ceros Financial Services, Inc.	CERS	0226Δ	0226†	CNS
CAPMARUSA, LLC		6007		Ceros Financial Services, Inc.	CFSI	0158Δ		
CapNet Securities Corporation	MITC	0279Δ	0279†	Ceros Financial Services, Inc.		5331		
Caprock Securities, Inc.	CLSI	0279Δ	0279†	Cert Direct Securities Inc.	CDSO	0750Δ	0750†	CNS
Capstone Asset Planning Co./Capstone Church Bond Fund		5838		CertusSecurities, Inc.	CRTS		0226†	CNS
Capstone Financial Services, Inc.		5801		CF Global Trading, LLC	CFGO		0161†	CNS
Capstone Investments	CPSE	0873Δ		CF Global Trading, LLC	CFGT	0161Δ	0161†	CNS
Capstone Investments	CPST	0103Δ		CFD Investments	CFDI	0235Δ	0235†	CNS
Cardinal Bank		5996		CFT Securities LLC	QBSI	0352Δ	0352†	CNS
Cardinal Investments Inc.	CRDL	0235Δ	0235†	CG Compass (USA) LLC	CGCO	0352Δ		
Carey, Thomas, Hoover & Breault, Inc.	HOOV	0226Δ	0226†	Chapdelaine & Co.	CHPP	0443Δ		
Carillon Investments, Inc.	CLLN		0226†	Chapdelaine Corporate Securities	CHPY	0158Δ		
Caris & Company, Inc.	CRIS	0443Δ	0443†	Chapin, Davis	CHDA		0141†	CNS
Carl P. Sherr and Co., LLC	SHRR	0443Δ	0443†	Chardan Capital Markets LLC	AABA	0158Δ		
Carlin Equities LLC	CLYN		0443†	Charles Morgan Securities, Inc.	CMSS	0052Δ		
Carnes Capital Corp.	CCCO	0352Δ		Charles River Brokerage LLC	CRBB	0443Δ		
Carolina Capital Markets, Inc.	CARC	0702Δ	0702†	Charles Schwab & Co. Inc./ Charles Schwab Bank		2993		
Carolina Municipal Securities, Inc.	COLA	0235Δ	0235†	Charles Schwab & Co. Inc./MF Clearing Services		7471		
Carolinas Investment Consulting, LLC	CICL		0141†	Charles Schwab & Co., Inc.	CHAS	0164	0164	CNS
Carr Securities Corp.	CARR	0226Δ	0226†	Charles Schwab & Co., Inc.		5489		
Carter, Terry & Company, Inc.	CATE	0235Δ	0235†	Charles Schwab & Co., Inc./Schwab Global Investing Account	CSGI	7587		
Carty & Company, Inc.	CART		0443†	Charles Schwab Bank		5655		
Cary Street Partners LLC	CARY		0141†	Charles Vista, LLC	CVTA	0052Δ	0052†	CNS
Cascade Investment Group, Inc.	BJRC	0235Δ	0235†	Charleston Capital Corporation	CLAY		0309†	CNS
Casey Professional Services, LLC	CPSI	0501Δ		Charter One Securities Inc.		7237		
Casimir Capital L.P.	CSMR	0501Δ		Charter Pacific Securities, LLC	CPSL	0750Δ	0750†	CNS
Casimir Capital, L.P.	CASI	0158Δ		Chase Investment Services Corp.		0432		
Casimir Capital, L.P.	CSMR	0501Δ	0226†	Chase Investment Services Inc.	CISI	0352Δ	0352†	CNS
Cass (Quincy) Associates Inc.	QCAS		0226†	Chatsworth Securities LLC	CHTS	0279Δ	0279†	CNS
CastleOak Securities, L.P	COAK	0197Δ	0197†	Chauner Securities, Inc.	CHNR	0235Δ		
Castlewood Securities LLC	RFLI	0352Δ	0352†	Cheevers & Company Inc	CHBC	0161Δ	0161†	CNS
Cathay Securities, Inc.	CATH	0158Δ		Chela Technology Partners, LLC	CAMM	0352Δ	0352†	CNS
CBG Financial Group, Inc.	CBFG	0750Δ	0750†	Chelsea Financial Services	CFIN	0309Δ	0309†	CNS
CBIZ Financial Solutions, Inc.	BGSG	0226Δ	0226†	Chevy Chase Trust Company		4708		
CBIZ Financial Solutions, Inc.		0682		Chicago Analytic Trading Company, LLC	CATC	0443Δ		
CCM Securities, LLC	TRNP	0551Δ		Chicago Analytical Trading Company, LLC	CATC		0443†	CNS
CCM Securities, LLC	TURN	0352Δ	0352†	Chicago Board of Options Exchange/Bear Stearns	CBOH	0352Δ		
CCO Investment Services Corp		6313		Chicago Board Options Exchange, Inc.		0739		
CD Funding Securities, LLC	CDFS	0052Δ		Chickasaw Securities, LLC	CHCK	0352Δ	0352†	CNS
CDS Clearing and Depository Services Inc.		5099		Chilian Partners L.P.	CHIL	0352Δ	0352†	CNS
Celadon Financial Group LLC	CLDN	0551Δ		Choicetrade	LETS	0158Δ	0158†	CNS
Celadon Financial Group, LLC	SPLN	0443Δ		Chopper Securities LLC	CHPR	0695Δ		
Centaurus Financial Inc.	CNFI		0443†	Churchill Capital USA, Inc.	CHLC	0443Δ		
Centennial Securities Company, LLC	CTNL		0141†	Churchill Financial LLC	CHCH	0352Δ	0352†	CNS
CenterState Bank of Florida, N.A.	CSFL		6770	CIBC World Markets Corp.	CWMA	0229Δ		
Central Securities, LLC	CENT	0750Δ	0750†	CIBC World Markets Corp.	CWMC	0438Δ		
Central States Capital Markets, LLC	CSCM		0443†	CIBC World Markets Corp.	CWMK	0438	0438	CNS

Alphabetical Reference

April 2012

Compass Bank/Asset Management Group		2484			Credit Agricole Cheuvreux North America, Inc.	CRAG	0651Δ		
Compass Brokerage, Inc.	CBIN		0443†	CNS	Credit Agricole Securities (USA) Inc.	LYON	0651	0651	CNS
Compass Brokerage, Inc.		7227			Credit Suisse Asset Management Securities, Inc.		5735		
Compass Point Research & Trading, LLC	CMPT	0443Δ			Credit Suisse Asset Management Securities, Inc./Luxembourg Funds		4994		
Computershare Securities Corp.	CSCB	0161Δ	0161†	CNS	Credit Suisse Private Advisors	CSPA		0226†	CNS
Concept Capital Markets, LLC	CCCM	0352Δ	0352†	CNS	Credit Suisse Securities (USA) LLC	AESW	0103Δ		
Concept Capital Markets, LLC	CCMB	0443Δ			Credit Suisse Securities (USA) LLC	AESX	0355Δ		
Concorde Funds, Inc.		5669			Credit Suisse Securities (USA) LLC	FBCO	0355	0355	CNS
Concorde Investment Services, LLC	CNCD	0235Δ	0235†	CNS	Credit Suisse Securities (USA) LLC	FBPC	0443Δ	0443†	CNS
Condera Securities LLC	RDST	0352Δ	0352†	CNS	Credit Suisse Securities (USA) LLC	CTSC		0443†	CNS
Condor Securities, Inc.	COND		0226†	CNS	Crescent Securities Group, Inc.	CAGI	0279Δ	0279†	CNS
Conestoga Funds		4917			Crescent Securities Group, Inc.	CSNT	0309Δ	0309†	CNS
Conifer Securities, LLC	CNFR	0443Δ	0443†	CNS	Cressman Esser Securities, Inc.	CESI	0235Δ	0235†	CNS
Conners & Co., Inc.	CONR	0235Δ	0235†	CNS	Crews & Associates, Inc.	CREW	5158	5158	CNS
Conservative Financial Services, Inc.	CONF	0235Δ	0235†	CNS	CRI Securities Inc.	CRII		0443†	CNS
Consolidated Capital Management, Inc.	CONC	0727Δ	0727†	CNS	Croft Funds Corporation		6640		
Consolidated Financial Investments, Inc.	CFII	0352Δ	0352†	CNS	Cronin & Co., Inc.	CRON		0443†	CNS
Constellation Wealth Advisors LLC	CWAA		0443†	CNS	Cross Point Capital LLC.	SAAS	0309Δ	0309†	CNS
Consultiva Securities, Inc.	CONS		0141†	CNS	Crowell, Weedon & Co.	CWCO	0574	0574	CNS
Continental Investors Services, Inc.	CONT		0279†	CNS	Crown Capital Securities, L.P.	CCSS		0443†	CNS
ConvergEx Execution Solutions LLC	ECUT	0100	0100	CNS	CRT Capital Group LLC	CRTG	0387	0387	CNS
ConvergEx Prime Services LLC	CXPS	0017Δ			CRT Capital Group, LLC	CRTC	0443Δ	0443†	CNS
ConvergEx Prime Services LLC	NOPO	0352Δ			Crystal Capital Partners, LLC		3473		
Cooper (C.K.) & Company, Inc.	CKCC	0052Δ	0052†	CNS	CU Investment Solutions, Inc.	UCCM	0279Δ		
Cooper Malone McClain Inc.	CMMC		0279†	CNS	Cummins Financial Corporation	JDCO	0235Δ	0235†	CNS
Coordinated Capital Securities, Inc.	COOR		0141†	CNS	CUNA Brokerage Services		0239		
Corby Capital Markets, Inc.	CRBY		0226†	CNS	CUNA Mutual Insurance Society		4734		
Corinthian Partners, LLC	CRTH	0443Δ	0443†	CNS	Curian Clearing, LLC	CURN	0300		
Cormark Securities Inc./Valeurs Moillieres Cormark Inc.		5055			Curran Advisory Services, LLC	CLLC		0226†	CNS
Corporate Investments Group Inc.	CINV	0158Δ	0158†	CNS	Curren & Company	CURR	0352Δ	0352†	CNS
Cortview Capital Securities LLC	CORT	0443Δ	0443†	CNS	Curtiswood Capital, LLC	CTWD	0052Δ	0052†	CNS
Cosse International Securities Inc.	COSE	8153	8153	CNS	CUSO Financial Services, L.P.	CUSO		0443†	CNS
Cost Containment Services, Inc.	COCS	0352Δ	0352†	CNS	CUSO Financial Services, L.P.		0329		
Coughlin & Co., Inc.	CGLN		0103†	CNS	Cutter & Company Brokerage, Inc.	CUTT	0141Δ	0141†	CNS
Country Capital Inc.	CMGT	0235Δ	0235†	CNS	Cutter & Company, Inc.	CUTW	0702Δ		
Country Club Bank, Kansas City	CCBI		6744	TFT	Cuttone & Co., Inc.	CUPS	0443Δ		
Country Trust Bank		2561			D.J. St Germain Co., Inc.	DJST	0443Δ	0443†	CNS
Country Trust Bank		5185			Dahlman Rose & Co., LLC	DRCO	0443Δ		
Courtlandt Securities Corporation	COSC	0309Δ	0309†	CNS	Dahlman Rose & Company, LLC	DRCP	0501Δ		
Cowen & Company, LLC	COWN	0226Δ	0226†	CNS	Daily Access Corporation		7100		
Cowen & Company, LLC	COWP	0226Δ	0226†	CNS	Dain Correspondent Services	DCSD	0235Δ	0235†	CNS
Cowen and Company, LLC	COWL	0551Δ			Daiwa Capital Markets America Inc.	DAWA	0647	0647	CNS
Cowen and Company, LLC	COWR	0443Δ			Daiwa Securities Trust Company		0667		
Cowen and Company, LLC	COWX	0161Δ	0161†	CNS	Dakota Securities International, Inc.	DAKO	0052Δ	0052†	CNS
Cowen Capital LLC	ATMC	0161Δ			Dale K. Ehrhart, Inc.	DKEI		0141†	CNS
Coyle Securities LLC	COYL	0235Δ	0235†	CNS	Darbie (J.H.) & Co., Inc.	JDRB	0158Δ	0158†	CNS
CP Capital Securities	CPCG		0226†	CNS	Dardis (Jack) & Associates	JDAA		0443†	CNS
Craig Scott Capital, LLC	CSCP	0052Δ			Dart Executions, LLC	DART	0501Δ		
Craig-Hallum Capital Group, LLC	CHLM	0161Δ	0161†	CNS	Dart Executions, LLC	DCHF	0695Δ		
Credicorp Securities, Inc.	CRED		0443†	CNS	Dart Executions, LLC	DCVL	0501Δ	0501†	CNS

Alphabetical Reference

April 2012

Dart Executions, LLC	DEGS	0501Δ			Deutsche Bank Securities Inc.	DBRC	0573Δ		
Dart Executions, LLC	DRCT	0695Δ			Deutsche Bank Securities Inc.	DBRT	0573Δ		
Dart Executions, LLC	DRTG	0501Δ			Deutsche Bank Securities Inc.	DBST	0573Δ		
Dart Executions, LLC	DRTR	0501Δ			Deutsche Bank Securities Inc.	DBUL	0573Δ		
Darwood Associates, Inc.	DARA	0235Δ	0235†	CNS	DeWaay Financial Network, LLC	DWFN		0443†	CNS
Daugherty Cole, Inc.	DAGH		0443†	CNS	DFA Securities LLC		6684		
Davenport & Company LLC	DAVA	0715	0715	CNS	Diamant Investment Corp.	DAVE	0344	0344	CNS
David Harris & Co., Inc.	DHCO	0235Δ	0235†	CNS	Diamond Hill Securities, Inc.	BSFS	0727Δ		
Davidson (D.A.) & Co. Inc.	DADA	0361	0361	CNS	Dillon Gage Securities Inc.	DILG		0279†	CNS
Davis Distributors, LLC		5563			Dinosaur Securities LLC	DINO	0158Δ	0158†	CNS
Davis Distributors, LLC/Clipper Fund		5965			Dinosaur Securities, LLC	TREX	0226Δ	0226†	CNS
Davis Distributors, LLC/Davis Fund Sicav		4890			Direct Access Brokerage Services, Inc.	DIRW	0103Δ		
Davis Distributors, LLC/Selected		5850			Direct Access Partners LLC	DAPG	0501Δ		
Davis Securities LLC	DAVS	0226Δ	0226†	CNS	Direct Access Partners LLC	DAPJ	0161Δ	0161†	CNS
Davlin Philanthropic Funds		3612			Direct Access Partners LLC	DAPL	0443Δ		
Dawson James Securities, Inc.	DJSA	0750Δ			Direct Edge ECN LLC	EDGA	0161Δ		
Dawson James Securities, Inc.	DJSI	0158Δ			Direct Edge ECN LLC	EDGX	0161Δ		
DBTC Americas-Private Bank		2177			Direct Trading Institutional LP	DTAP		0161†	CNS
De La Rosa (E.J.) & Co., Inc.	EDLR		0103†	CNS	Discern Securities, Inc.	DCRN	0100Δ		
DeAM Investor Services, Inc.		5863			Ditto Trade, Inc.	DITO	0158Δ		
DeAM Investor Services, Inc./DWS Investment S.A.		4974			Divine Capital Markets, LLC	DIVA	0158Δ	0158†	CNS
Deep ATS, LLC	HUGE	0103Δ			DLS Capital Partners, Inc.	DLSC	0309Δ	0309†	CNS
Delafield & Hambrecht, Inc.	DELA		0443†	CNS	DME Securities, LLC	DMES	0158Δ		
Delaney Equity Group LLC	DLNY	0052Δ	0052†	CNS	DMG Securities, Inc.	DSGG		0226†	CNS
Delaware Distributors L.P.		5510			DNB Nor Markets, Inc.	DNOR	0501Δ		
Delaware Distributors, L.P./Delaware Investments Global Funds, PLC		6572			Dodge & Cox Funds		5483		
Delaware Distributors, L.P./Optimum Funds		6672			Dodge & Cox Worldwide Investments Ltd.		3684		
Delta Equity Services Corp.	RAYG	0443Δ	0443†	CNS	Doft & Co., Inc.	DOFT	0443Δ	0443†	CNS
Delta Trust Investments, Inc.	DTII		0141†	CNS	Doley Securities LLC	DOLY		0279†	CNS
DeMatteo Moness, LLC	DEMA	0501Δ			Doley Securities, LLC	DOLE	0158Δ		
Dempsey Financial Network	DEMF		0443†	CNS	Domestic Financial Service, Inc.	DFIC	0279Δ	0279†	CNS
Dempsey Lord Smith, LLC	DLSI		0226†	CNS	Dominick & Dominick, Inc./CDS	DOMK	0443Δ	0443†	CNS
Depfa First Albany Securities, LLC	DEFA	0443Δ	0443†	CNS	Dominion Investor Services Inc.	DOMI	0309Δ	0309†	CNS
Descap Securities, Inc.	DESS	0158Δ			Donnelly Penman & Partners Inc.	DPFH	0750Δ		
Desjardins Securities Inc./CDS	DESJ	5028•			Dorn & Co., Inc.	DORN	0235Δ		
Desjardins Securities International, Inc.	VMDI	0443Δ			Dorsey & Co. Inc.	DORS	0141Δ	0141†	CNS
Destra Capital Investments LLC		3739			Dougherty & Company LLC	DOTC	0352Δ	0352†	CNS
Detwiler Fenton Wealth Management Inc	DFWM		0226†	CNS	Douglas & Co. Municipals	DGLS		0443†	CNS
Detwiler, Mitchell, Fenton & Graves, Inc.	FEDE	0226Δ	0226†	CNS	Dowling & Partners Securities LLC	DOWL	0443Δ		
Deutsche Bank Securities Inc.	DBAB	0573	0573	CNS	Downstate Securities Group, Inc.	DDBI	0235Δ	0235†	CNS
Deutsche Bank Securities Inc.	DBAE	0573Δ			DPEC Capital, Inc.	IPRV	0750Δ	0750†	CNS
Deutsche Bank Securities Inc.	DBAT	0573Δ			Dratel Group, Inc. (The)	DRAT	0571Δ	0571†	CNS
Deutsche Bank Securities Inc.	DBAX	0573Δ			Drexel Hamilton, LLC	DREX	0501Δ		
Deutsche Bank Securities Inc.	DBIB	0573Δ	0573†	CNS	Dreyfus Service Organization, Inc.		6322		
Deutsche Bank Securities Inc.	DBKS		0573†	CNS	Driehaus Securities LLC		6642		
Deutsche Bank Securities Inc.	DBLV	0573Δ			Driehaus Securities LLC / Driehaus Active Income Fund		5923		
Deutsche Bank Securities Inc.	DBMS	0573Δ			DSIL Investment Services, LLC		6631		
Deutsche Bank Securities Inc.	DBPC	0443Δ	0443†	CNS	Du Pasquier & Co., Inc.	PASQ	0443Δ	0443†	CNS
Deutsche Bank Securities Inc.	DBPR	0573Δ			Dubeau Capital USA, Inc.	DCUS	0158Δ		
Deutsche Bank Securities Inc.	DBPT	0573Δ			Duncan & Williams, Inc.	DNWL	0443Δ	0443†	CNS
Deutsche Bank Securities Inc.	DBQT	0573Δ			Duncan (R.M.) Securities Inc.	DCAN		0279†	CNS
					Dundee Securities Corporation	DSCS	5039Δ		
					Dunham & Associates Investment Counsel, Inc.		5675		
					Duniya Trading, Inc.	DNYA	0158Δ		

Alphabetical Reference

April 2012

Dupree & Company, Inc.		6618			Electronic Access Direct, Inc.	EADA	0750Δ
DWM Securities Inc./CDS	DCAF	5039•			Electronic Brokerage Systems, LLC	BELZ	0627
DWS Investments Distributors Inc./Most 529		3721			Electronic Transaction Clearing, Inc.	ETAA	0873Δ
DWS Investments Distributors, Inc.		5503			Electronic Transaction Clearing, Inc.	ETAC	0873Δ
DWS Investments Distributors, Inc./Deutsche Bank		5459			Electronic Transaction Clearing, Inc.	ETAD	0873Δ
DXS Investment Distributors, Inc.	DIDI		0443†	CNS	Electronic Transaction Clearing, Inc.	ETAE	0873Δ
Dynamex Trading, LLC	MEXD	0551Δ			Electronic Transaction Clearing, Inc.	ETAF	0873Δ
Dynasty Capital Partners, Inc	DCPI	0279Δ			Electronic Transaction Clearing, Inc.	ETAG	0873Δ
DZ Financial Markets LLC	DZFM	0049Δ			Electronic Transaction Clearing, Inc.	ETAH	0873Δ
E*Trade Cap MKTS/CHXL Trading	ETMM	0100Δ			Electronic Transaction Clearing, Inc.	ETAJ	0873Δ
E*Trade Cap Mkts/Special Account	GVSA	0100Δ			Electronic Transaction Clearing, Inc.	ETAL	0873Δ
E*Trade Capital Markets, LLC	DNID	0100Δ			Electronic Transaction Clearing, Inc.	ETAM	0873Δ
E*Trade Capital Markets, LLC	ETLS	0100Δ			Electronic Transaction Clearing, Inc.	ETAN	0873Δ
E*Trade Capital Markets, LLC	ETNY	0100Δ			Electronic Transaction Clearing, Inc.	ETAO	0873Δ
E*Trade Capital Markets, LLC	ETRD	0100Δ			Electronic Transaction Clearing, Inc.	ETAP	0873Δ
E*Trade Capital Markets, LLC	ETRF	0161Δ	0161†	CNS	Electronic Transaction Clearing, Inc.	ETAQ	0873Δ
E*Trade Capital Markets/DEMP	DEMP	0100Δ			Electronic Transaction Clearing, Inc.	ETAR	0873Δ
E*Trade Clearing, LLC	ETCL	0385	0385	CNS	Electronic Transaction Clearing, Inc.	ETAS	0873Δ
E*Trade Securities, LLC	ETRS	0385Δ	0385†	CNS	Electronic Transaction Clearing, Inc.	ETAW	0873Δ
E.S. Financial Services, Inc.	ESFS	0443Δ	0443†	CNS	Electronic Transaction Clearing, Inc.	ETCC	0873
E1 Asset Management, Inc.	EVRS	0052Δ	0052†	CNS	Electronic Transaction Clearing, Inc.	ETCD	0873Δ
e3m Investments, Inc./CDS		5066			Electronic Transaction Clearing, Inc.	ETCE	0873Δ
Eagle Fund Distributors, Inc.		5822			Electronic Transaction Clearing, Inc.	ETCG	0873Δ
Eagle Life Insurance Company		6030			Electronic Transaction Clearing, Inc.	ETCH	0873Δ
Eagle One Investments, LLC	EOIL	0727Δ	0727†	CNS	Electronic Transaction Clearing, Inc.	ETCI	0873Δ
Earlybird Capital, Inc.	EBRD	0103Δ	0103†	CNS	Electronic Transaction Clearing, Inc.	ETCJ	0873Δ
East Shore Partners, Inc.	ESPN	0443Δ			Electronic Transaction Clearing, Inc.	ETCK	0873Δ
East/West Securities Corp.	EWSC	0158Δ	0158†	CNS	Electronic Transaction Clearing, Inc.	ETCN	0873Δ
East/West Securities Corp.	EWST	0158Δ			Electronic Transaction Clearing, Inc.	ETCO	0873Δ
Eastern Bank Capital Markets	EAST		6742	TFT	Electronic Transaction Clearing, Inc.	ETCP	0873Δ
Eaton Vance Distributors, Inc.		5509			Electronic Transaction Clearing, Inc.	ETCQ	0873Δ
Eaton Vance Distributors, Inc./Eaton Vance International (Caymen Islands) Funds LTD.		5715			Electronic Transaction Clearing, Inc.	ETCR	0873Δ
Eaton Vance Distributors, Inc./Eaton Vance International (Ireland) PLC		5438			Electronic Transaction Clearing, Inc.	ETCS	0873Δ
Eaton Vance Distributors, Inc./Eaton Vance Trust Company		5456			Electronic Transaction Clearing, Inc.	ETCT	0873Δ
Eaton Vance Distributors, Inc./Eaton Vance Variable Trust Funds		4938			Electronic Transaction Clearing, Inc.	ETCU	0873Δ
Eaton Vance Distributors, Inc./Exchange Funds		5110			Electronic Transaction Clearing, Inc.	ETCV	0873Δ
Eaton Vance Distributors, Inc./US Charitable		5760					
Ebix, Inc.		6317					
EBX LLC	EBXL	0161Δ	0161†	CNS			
EDHJ Brokerage, L.L.C	ACSL		0226†	CNS			
EDI Financial, Inc.	EDIF	0309Δ	0309†	CNS			
Edmond de Rothschild Asset Management		3718					
Edward Jones / CDS	EDJC	5012•					
EFG Capital International	EFGC	0352Δ	0352†	CNS			
EJ Sterling Inc.	LSSI	0750Δ					
EKN Financial Services Inc.	EKNS	0052Δ	0052†	CNS			

Alphabetical Reference

April 2012

Electronic Transaction Clearing, Inc.	ETCW	0873Δ			Falcon Research, Inc.	FLCN	0158Δ	0158†	CNS
Electronic Transaction Clearing, Inc.	ETCX	0873Δ			Falcon Research, Inc.	PIDG	0158Δ		
Electronic Transaction Clearing, Inc.	ETCY	0873Δ			Fallen Angels Family of Funds		6589		
Electronic Transaction Clearing, Inc.	ETCZ	0873Δ			Family Income Planning, Inc	FIPC	0750Δ		
Electronic Transaction Clearing, Inc.	ETNF	0873Δ			Family Investors Co.	FAMV		0226†	CNS
Electronic Transactions Clearing, Inc.	ETAK	0873Δ			Family Management Securities, LLC	FMGT		0443†	CNS
Elevation LLC	ELTD	0161Δ	0161†	CNS	Farina & Associates, Inc.	FARA	0158Δ		
Elevation, LLC	ELEV	0750Δ	0750†	CNS	Farina & Associates, Inc.	FARC	0158Δ		
Elish & Elish Brokerage and Research	ELSH	0052Δ	0052†	CNS	Farina & Associates, Inc.	FARJ	0158Δ		
Elliott-Ledgerwood & Co.	ETLD	0235Δ	0235†	CNS	Fator Securities	FATO	0049Δ		
Emergent Financial Group, Inc.	VTMW	0235Δ	0235†	CNS	FBR Investment Services, Inc.		5526		
Emerging Growth Equities, Ltd.	EGRO	0226Δ	0226†	CNS	FBT Investments, Inc.	FBTI	0443Δ	0443†	CNS
Emmet & Co., Inc.	EMET		5234	TFT	FCG Advisors LLC	FCGA	0226Δ	0226†	CNS
Empire Asset Management Company	EAMC	0226Δ	0226†	CNS	FCNB Investments	FCNB		0052†	CNS
Empire Financial Group, Inc.		4438			Federal Life Insurance Company(Mutual)		6333		
Empirical Research Partners LLC	EMRP	0161Δ			Federated Investors Corp.		5529		
Encompass Fund		5397			Federated Securities Corp./Federated International Management Limited		5759		
English Concepts, Inc.	PMAS		0443†	CNS	Federated Securities Inc.	FEDR	0235Δ		
Equibond Inc.	EQAL	0103Δ	0103†	CNS	Feil Daily Investment Company	LGLL		0141†	CNS
Equinox Securities, Inc.	EQNX	0052Δ	0052†	CNS	Feldman Securities Group, LLC	FELD	0727Δ		
Equitable Advisors, Inc.	STAD		0141†	CNS	Feldman, Ingardona & Co.	FMAC		0226†	CNS
Equitas America, LLC	EQUA		0443†	CNS	Felt and Company	FLTL	0226Δ	0226†	CNS
Equity Concepts	EQCP	0494Δ	0494†	CNS	Fenimore Asset Management Trust		6632		
Equity Services, Inc.	EQSV		0226†	CNS	Ferretti Group, Inc.	STEP	0158Δ		
Equity Services, Inc.		0560			FFP Securities	FFPS		0443†	CNS
Equity Station, Inc.	ESTA	0158Δ			Fidelity Brokerage Services LLC	FIBS		0226†	CNS
Equity Station, Inc.	ESTF	0226Δ	0226†	CNS	Fidelity Clearing Canada ULC	FIDT	5040•		
Eroom Securities LLC	EROM	0279Δ			Fidelity Clearing Canada ULC/CDS	FCCU	5059•		
Eroom Securities LLC	EROP	0158Δ			Fidelity Distributors Corporation/Fidelity International Limited		5785		
Eroom Securities LLC	EROS	0501Δ			Fidelity Investments Institutional Services Co., Inc.		5894		
Eroom Securities LLC	ESLL	0501Δ			Fidelity Investments Institutional Services Co., Inc./Fidelity Destiny Plans		5713		
ESN North America, Inc.	ESNA	0049Δ			Fidelity Investments Life Insurance Company		4730		
Esposito Securities, LLC	ESPO	0501Δ			Fidelity Investments Life Insurance Company/Empire Fidelity Investments Life		4748		
Esposito Securities, LLC	ESPP	0443Δ	0443†	CNS	Fidelity Investments Life Insurance Company/Fidelity Insurance Agency, Inc.		7130		
Essex National Securities, Inc.		0254			Fidelity Security Life Insurance Company		6468		
Essex Radez LLC	GLPS	0613Δ			Fiduciary - SSB - DTC 0987		0987		
Essex-Radez LLC	ERCO	0613			Fiduciary Management Inc.		6664		
Estrada Hinojosa & Co.	ESTR	0309Δ			Fiduciary Trust Company International		0937		
Estrada-Hinojosa & Company, Inc.	ESTR		0309†	CNS	Fieldpoint Private Services, LLC	NTMG	0443Δ	0443†	CNS
EULAV Securities LLC		5827			Fieldstone Services Corp.	FSTN	0158Δ		
Euro Pacific Capital, Inc.	EURP	0226Δ	0226†	CNS	Fifth Street Capital, LLC	GRCP	0750Δ		
Europa Securities, LLC	ERPO	0750Δ			Fifth Third Bank (The)		2116		
Evercore Group LLC	EVRC	0443Δ			Fifth Third Securities, Inc.	OHIO	0226Δ	0226†	CNS
Evertrade Direct Brokerage, Inc.	EVER	0158Δ	0158†	CNS					
Evolution Securities US Inc,	ESUS		0443†	CNS					
Evolve Securities, Inc.	EVOL		0226†	CNS					
E-W Investments, Inc.	EWIN		0226†	CNS					
EWT, LLC	EWTV	0749Δ							
Exane, Inc.	EXAN	0443Δ							
Excel Securities and Associates, Inc.	EXCS		0443†	CNS					
Execution Noble LLC	EXEC	0443Δ							
Factfet Systems, Inc.	FAFT		0161†	CNS					

Alphabetical Reference

April 2012

Fifth Third Securities, Inc.		0322			First Financial Equity Corp.	FFEC	0279Δ		
FIG Partners, LLC	BNKS	0141Δ	0141†	CNS	First Georgetown Securities, Inc.	FGOE		0226†	CNS
Finance 500, Inc.	FANC	0158Δ	0158†	CNS	First Great-West Life & Annuity Insurance Company		4736		
Financial Advisers of America, LLC	BOYS		0226†	CNS	First Heartland Capital Inc./Centerre Capital, LLC		5376		
Financial Advisers of America, LLC		6012			First Heartland Capital, Inc	FHCI		0443†	CNS
Financial Assets Corporation	FACA		0443†	CNS	First Heartland Capital, Inc.		0336		
Financial Counseling Corporation	FINC		0443†	CNS	First Honolulu Securities Inc.	FHON	0235Δ	0235†	CNS
Financial Designs Corporation	RONB	0750Δ			First Independent Financial	FIFS	0309Δ	0309†	CNS
Financial Institution Marketing Company, Inc.		6498			First Integrity Capital Partners Corp	KACI	0279Δ	0279†	CNS
Financial Network Investment Corporation	FNIC	0443Δ	0443†	CNS	First Investors Corporation		5545		
Financial Network Investment Corporation		0343			First Investor's Corporation		5146		
Financial Northeastern Securities Inc.	FNSJ	0352Δ	0352†	CNS	First Kentucky Securities Corporation	FKSC	0235Δ	0235†	CNS
Financial Planning Consultants Inc.	FPCI	0235Δ	0235†	CNS	First London Securities Corporation	FLSC	0309Δ	0309†	CNS
Financial Research Company	FINR		0352†	CNS	First London Securities Corporation	FLSD	0052Δ	0052†	CNS
Financial Sciences, Inc.	FISI	0158Δ	0158†	CNS	First Manhattan Co.	FMCO	0443Δ	0443†	CNS
Financial Telesis Inc.	JWFS		0443†	CNS	First Merger Capital Inc	FSMG	0052Δ	0052†	CNS
Financial West Group	FINW	0226Δ	0226†	CNS	First MetLife Investors Insurance Company		4512		
Financial West Group, Inc		4713			First Midstate Inc.	FMID		6792	TFT
Financorp Group International Corp.	FGIC	0226Δ	0226†	CNS	First Midwest Securities Inc.		6459		
Fintech Securities	FINX	0727Δ	0727†	CNS	First Midwest Securities, Inc.	FMSI	0052Δ	0052†	CNS
Fintegra, LLC	FINT	0443Δ	0443†	CNS	First Midwest Securities, Inc.	FSTM	0158Δ		
Fintegra, LLC		0281			First National Bank of Omaha		2254		
1st Discount Brokerage, Inc.	FDSC	0158Δ	0158†	CNS	First National Banker's Bank	FNBB		6753	TFT
1st Global Capital Corp.	FGCC	0226Δ	0226†	CNS	First National Capital Markets, Inc.	FNCM		6708	TFT
1st Global Capital Corp.		0296			First National Capital Markets, Inc.		5371		
1st Munich Capital, LLC	MNCH	0352Δ	0352†	CNS	First New York Securities L.L.C.	MPFG	0501Δ	0501†	CNS
First Allied Securities		0146			First New York Securities LLC	FNYG	0501Δ		
First Allied Securities Inc.	FAST	0352Δ	0352†	CNS	First New York Securities LLC	FNYS	0352Δ	0352†	CNS
First American Capital and Trading Corporation	STCS	0158Δ	0158†	CNS	First New York Securities LLC	MPFI	0161Δ	0161†	CNS
First American Municipals, Inc.	FAMI	0235Δ	0235†	CNS	First Pacific Mutual Fund, Inc.		3745		
First American Securities	FAMS	0279Δ	0279†	CNS	First Republic Group, LLC	REPG		0443†	CNS
First Analysis Securities Corporation	FANA	0161Δ			First Republic Securities Co.	FSRP	0443Δ		
First Ballantyne, LLC	FBLT	0750Δ	0750†	CNS	First Research Finance Inc.	FIRF	0279Δ	0279†	CNS
First Bank Puerto Rico Securities, Corp.	FBPR		0750†	CNS	First Securities Northwest Inc.	FSNW	0279Δ		
First Bermuda Securities (BVI), Ltd.	BRMF	0158Δ	0158†	CNS	First Security Financial Advisors, Inc.	FSFA		0443†	CNS
First Brokerage America, LLC	FBAL		0226†	CNS	First South Carolina Securities, Inc.	FSCC		6731	TFT
First Brokers Securities, Inc.	FATS	0763	0763	TFT	First Southern Securities LLC	FRST	0309Δ	0309†	CNS
First Citizens Financial Plus, Inc.	FCFP		0141†	CNS	First Southwest Company	FSWC	0309	0309	CNS
First Citizens Investor Services, Inc.	FCIT	6347	0443†	CNS	First St. Louis Securities, Inc.	FLOU		0443†	CNS
First Clearing LLC	FCCP	0141	0141	CNS	First State Securities, Inc.	FSSO	0279Δ		
First Clearing, LLC/Wachovia Securities		0030			First Symetra National Life Insurance Company of New York		4621		
First Clearing, LLC/WFA LLC	RAGN	0141Δ	0141†	CNS	First Tennessee Brokerage, Inc.	FTEN	0226Δ	0226†	CNS
First Clearing, LLC/WFA LLC		0733			First Tennessee Brokerage, Inc.		0192		
First Commercial Bank of Birmingham, Alabama	FCBI		6755	TFT	First Tennessee Capital Markets	FTCM		2445	TFT
First Dallas Securities, Inc.	FDSI	0141Δ	0141†	CNS	First Trust Portfolios L.P./First Trust Series Funds		5374		
First Dominion Capital Corporation		5823			First Trust Portfolios, L.P.		6575		
First Empire Securities, Inc.	FESI	0443Δ	0443†	CNS	First Trust Portfolios, L.P.	FTLP	8244	8244	CNS
					First Trust Portfolios, L.P./First Defined Portfolios Fund LLC		6603		

Alphabetical Reference

April 2012

First Tryon Securities, LLC	TRYN	0443†	CNS	Foreside Distribution Services, L.P./Old Mutual Funds	5750
First Washington Corp.	FWCO	0443Δ	0443†	CNS	
First Western Advisors	FWAI		0226†	CNS	
First Western Securities	FWSI		0141†	CNS	Foreside Distribution Services, L.P./Old Mutual Global Funds PLC
First Wilshire Securities Management, Inc.	FWIL	0103Δ			5940
First Winston Securities	FWSS		6715	TFT	Foreside Distribution Services, L.P./Permal Offshore Funds
FirstMerit Insurance Agency, Inc.		7246			4888
Firstrade Securities Inc.	FFSI	0158Δ			Foreside Distribution Services, L.P./Ridgeworth Funds
Fisher (L.B.) & Company	FISH	0235Δ	0235†	CNS	4920
First Merit Financial Services, Inc	FMFS		0226†	CNS	Foreside Distribution Services, L.P./Signature Liquidity Fund, Ltd.
Fixed Income Capital Partners, LLC	FICP		0443†	CNS	6673
Fleet Enterprise, Inc.	NUSA		0543†	CNS	Foreside Distribution Services, L.P./Skandia Global Funds PLC
Flexible Plan Investments, Ltd		6819			5826
Floor Broker Network Inc.	FBNW	0443Δ	0418†	CNS	Foreside Distribution Services, L.P./SunTrust Bank Collective Trust Funds
Florida Atlantic Securities Corp.	FLAT	0226Δ	0226†	CNS	5562
Florida Investment Advisers	FIAF	0443Δ	0443†	CNS	Foreside Distribution Services, L.P./The Boston Trust & Walden Funds
FMSBonds, Inc.	FMUS	0158Δ	0158†	CNS	6622
FMSBonds, Inc.	MIAM	0158Δ			Foreside Distribution Services, L.P./Union Bank of California N.A. Stable Val. Fund
FMSBonds, Inc.	MIAM		6440	TFT	4695
FMSBonds, Inc.		0061			Foreside Distribution Services, L.P./USAllianz Mutual Funds
FNBB Capital Markets, LLC	FCML	0279Δ	0279†	CNS	6628
Folger Nolan Fleming Douglas Incorporated	FNFD		0141†	CNS	Foreside Distribution Services, L.P./Victory Funds
FOLIOfn Investments, Inc	FMES	0727Δ	0727†	CNS	5686
FOLIOfn Investments, Inc	FTBR	0728			Foreside Distribution Services, L.P./Victory Institutional Funds
Foothill Securities, Inc.		0548			5723
Fordham Financial Management, Inc.	FORD	0052Δ	0052†	CNS	Foreside Fund Services, LLC
Forefront Capital Markets LLC	FFCM	0017Δ			5659
Foreside Distribution Services, L.P.		4967			Foreside Fund Services, LLC/Wright Investor
Foreside Distribution Services, L.P./AmSouth Funds		5816			5872
Foreside Distribution Services, L.P./Asset Management Fund		6641			Foreside Fund Services, LLC/Aberdeen Funds
Foreside Distribution Services, L.P./Cavanal Hill Funds		5807			4899
Foreside Distribution Services, L.P./First State Trust Company		4928			Foreside Fund Services, LLC/American Beacon Funds
Foreside Distribution Services, L.P./Horizon Global Advisors Umbrella Fund LLC		5633			5742
Foreside Distribution Services, L.P./HSBC Funds		5814			Foreside Fund Services, LLC/Bennett Group of Funds
Foreside Distribution Services, L.P./IMS Funds		4995			5544
Foreside Distribution Services, L.P./IRT Mutual Funds		6614			Foreside Fund Services, LLC/Bridgeway Funds
Foreside Distribution Services, L.P./IVA Fiduciary Trust		4724			5485
Foreside Distribution Services, L.P./IVA Global SICAV Fund		5410			Foreside Fund Services, LLC/Century Funds
Foreside Distribution Services, L.P./Leader Short Ten Bond Fund		5804			5597
Foreside Distribution Services, L.P./Northern Trust Funds		6633			Foreside Fund Services, LLC/Del Rey Global Investors Fund
					5134
					Foreside Fund Services, LLC/Dundee Wealth Funds
					6549
					Foreside Fund Services, LLC/Henderson Global Funds
					5528
					Foreside Fund Services, LLC/Liberty Street Funds
					6767
					Foreside Fund Services, LLC/Nomura Partners Funds, Inc.
					5426
					Foreside Fund Services, LLC/Performance Trust
					5324
					Foreside Fund Services, LLC/PMC Funds
					5747
					Foreside Fund Services, LLC/Sound Shore Funds
					5649
					Foreside Fund Services, LLC/Turner Funds
					5592

Alphabetical Reference

April 2012

Foreside Fund Services, LLC/Wintergreen Fund		5721			Funds Distributor, LLC		5497		
Foresight Investments, LLC	FITE		0443†	CNS	Funds Distributor, LLC/Ashmore Funds		5195		
Forest Securities, Inc.	FORE	0235Δ	0235†	CNS	Funds Distributor, LLC/GMO Series Trust		3601		
Forester Funds, Inc.		4949			Funds Distributor, LLC/GMO Trust		6680		
Foresters Equity Services, Inc.		0149			Funds Distributor, LLC/MIRAE Asset Discovery Funds		5322		
Forethought Life Insurance Company		5339			Funds Distributor, LLC/Munder Funds		5617		
Forge Financial Group Inc.	FRGP	0750Δ	0750†	CNS	Further Lane Securities L.P.	FARS	0443Δ		
Forsyth Securities	FSII	0235Δ	0235†	CNS	Fusion Analytics Securities LLC	INDX	0103Δ		
Fortrend Securities, Inc.	FORI	0052Δ	0052†	CNS	G&L Partners, Inc.	GNLP	0103Δ		
Forward Securities, LLC		5889			G. F. Investment Services, LLC	GFBD		0226†	CNS
401K Investment Services, Inc./TPA		7119			G.A. Repple & Company		4076		
401Kstore.com (The)		7129			Gabelli & Company, Inc.	GABE	0141Δ	0141†	CNS
Four Points Capital Partners LLC	AFSS	0750Δ			Gabelli Funds - (NFDS)		5574		
Fox River Execution Technology, LLC	FOX B	0442Δ			Gage-Wiley & Co., Inc.	GGWI		0141†	CNS
Fox River Execution Technology, LLC	FREE	0627Δ			Gagnon Securities LLC	GAGN	0352Δ		
Fox River Execution Technology, LLC	FRET	0501Δ			GAM Fund Management LTD		3605		
Fox River Execution Technology, LLC	FREX	0442Δ			Gar Wood Securities, LLC	GARW	0352Δ	0352†	CNS
Fox Run Alpha Fund, L.P.	FOXN	0352Δ	0352†	CNS	Gar Wood Securities, LLC	GWDS	0158Δ		
Fox, Reusch & Co., Inc.	FOX R		6851	TFT	Garbacz Group Inc. (The)	JGII		0443†	CNS
FPA Fund Distributors, Inc.		5851			Garden State Securities Inc.	GRST	0235Δ	0235†	CNS
Frank Funds		6671			Gardner Financial Services Inc.	GAFI	0235Δ	0235†	CNS
Franklin Securities, LLC	FRSE		0443†	CNS	Gardner Rich, LLC	GDNR	0100Δ	0100†	CNS
Franklin Street Securities, Inc.	FSST	0443Δ	0443†	CNS	Gardnyr Michael Capital, Inc.	GMCI	0750Δ	0750†	CNS
Franklin/Templeton Distributors, Inc.		5534			Garrett (Andrew) Inc.	ANDG	0235Δ	0235†	CNS
Frazer Lanier Company (The)	FLCO		6909	TFT	Garrett Nagle & Company, Inc.	GARR	0226Δ	0226†	CNS
Fred Alger & Co., Inc./Alger Sicav		4950			Gates Capital Corporation	GATS	0443Δ		
Fred Alger & Company, Incorporated	ALGR	0158Δ			Gates Capital Corporation, Inc.	GATS		0443†	CNS
Fred Alger & Company, Incorporated		5594			Gatten Sadowski Inc	GSAD		0235†	CNS
Freedom Investments, Inc.	FDMI	0571Δ	0571†	CNS	Gaye (C.E.) & Sons Securities, Ltd.	PUMP		0141†	CNS
Freedom Investors Corp.	FRIC	0279Δ	0279†	CNS	GBM International, Inc.	GBMS	0158Δ		
Freimark Blair & Co., Inc.	FBLC	0161Δ	0161†	CNS	GBM International, Inc.	GBMT	0443Δ	0443†	CNS
Fried (Albert) & Company, LLC	AFCO	0284	0284	CNS	GBS Financial Corporation	GBSL	0103Δ		
Friedman Luzzatto & Co	FRLZ		0103†	CNS	GE Financial Trust Company		5970		
Friedman, Billings, Ramsey & Co., Inc.	FBRC	0352Δ	0352†	CNS	GE Investment Distributors, Inc.		5679		
Frontegra Funds, Inc.		5507			Gelber Securities, LLC	GELB	0695Δ		
Frontier Financial Consultants, Inc.	FFCI		0443†	CNS	Gelber Securities, LLC	GLBY	0695Δ		
Frontier Trust Company		2563			Gemini Fund Services, LLC		3845		
Frontier Trust Company/P.J. Robb Variable Corp.		6531			Gemini Fund Services, LLC/Central Park Group Carlyle Equity Opportunity Fund, LLC		3585		
Frost Brokerage Services, Inc.	CUFT	0226Δ	0226†	CNS	Gemini Fund Services, LLC/Central Park Group Cobalt Fund, LLC		3586		
Frost National Bank-Capital Markets	FROS		6751	TFT	Gemini Fund Services, LLC/Central Park Group Global Distressed Fund		3854		
FRS Securities, LLC	FSEC	0161Δ	0161†	CNS	Gemini Fund Services, LLC/Central Park Group JPM Alternative Strategies Fund, LLC		3589		
FSC Securities Corp.		0169			Gemini Fund Services, LLC/Central Park Group Lighthouse Fund		3858		
FSC Securities Corporation	FSCN		0226†	CNS	Gemini Fund Services, LLC/Central Park Group Manager Alliance Fund II		3859		
FSC Securities Corporation/Advantage Capital		0191							
FSC Securities Inc.	FSCS	0443Δ	0443†	CNS					
FTN Financial Services Corp.	FTSC	0202	0202	CNS					
Fulcrum Securities, Inc.	OFKS	0443Δ							
FundQuest Incorporated		3910							

Alphabetical Reference

April 2012

Gemini Fund Services, LLC/Central Park Group Multi Event Fund		3587			Global Strategic Investments, LLC	GSRI		0443†	CNS
Gemini Fund Services, LLC/Central Park Group Real Estate Special Situations Fund		3855			Global Trust Company		5915		
Geneos Wealth Management, Inc		0244			Global Trust Company/NRS		5311		
General Securities Corp.	GENS	0279Δ			Global Trust Company/NTRS		5357		
Genesis Securities, LLC	GNDS	0158Δ	0158†	CNS	Global-American Investments, Inc.	GAME	0158Δ	0158†	CNS
Genuity Capital Markets USA, Corp	GCMU	0158Δ			Globalink Securities, Inc.	PSRI	0158Δ	0158†	CNS
Genworth Financial Securities Corporation		0471			Glynn (J.A.) & Co.	GLYN	0443Δ	0443†	CNS
Genworth Life and Annuity Insurance Company		4525			GMP Securities L.P./CDS	GMPS	5016•		
Genworth Life and Annuity Insurance Company		5752			GMP Securities, LLC	MITR	0352Δ	0352†	CNS
Genworth Life Insurance Company		4586			GMS Group (The), LLC	GMSG	0443Δ	0443†	CNS
Genworth Life Insurance Company of New York		4553			Gold Coast Securities, Inc.		4083		
Geoffrey Richards Securities Corp.	TAIG	0235Δ	0235†	CNS	Goldberg (Gary) & Co., Inc.	GRYG		0226†	CNS
Georgeson Shareholder Securities Corp.	GSSC	0161Δ	0161†	CNS	Golden Beneficial Securities	GOBE	0158Δ	0158†	CNS
GETCO Execution Services, LLC	GESX	0530Δ			Goldman Sachs & Co.		5572		
GETCO Execution Services, LLC	GFLO	0530			Goldman Sachs & Co./Commerce Funds		5799		
GETCO Securities, LLC	GETS	0103Δ			Goldman Sachs & Co./Goldman Sachs International Funds		6570		
GFI Securities LLC	GFIG		0443†	CNS	Goldman Sachs Execution & Clearing	BZZH	0501Δ		
GFI Securities, LLC	GFIS	0501Δ			Goldman Sachs Execution & Clearing	GSFF	0501Δ		
Gilbert, Doniger Co., Inc.	GDCO		0443†	CNS	Goldman Sachs Execution & Clearing	GSGG	0501Δ		
Gilboy (P.R.) & Associates, Inc.	PRGA	0279Δ	0279†	CNS	Goldman Sachs Execution & Clearing	GSHH	0501Δ		
Gilder, Gagnon, Howe & Co., LLC	GILG	0352Δ	0352†	CNS	Goldman Sachs Execution & Clearing	GSII	0501Δ		
Gilford Securities Incorporated - Retail	RGIL	0141Δ	0141†	CNS	Goldman Sachs Execution & Clearing	GSJJ	0501Δ		
Gill Capital Partners	GLLL	0309Δ	0309†	CNS	Goldman Sachs Execution & Clearing	GSKK	0501Δ		
Girard Securities, Inc.	GIRL	0226Δ	0226†	CNS	Goldman Sachs Execution & Clearing	GSLI	0501Δ		
Girard Securities, Inc.		0415			Goldman Sachs Execution & Clearing	GSMM	0501Δ		
GIT Investment Services, Inc.	GIMM		0226†	CNS	Goldman Sachs Execution & Clearing	GSNN	0501Δ		
Gladowsky Capital Management Corp.	GCMC	0443Δ	0443†	CNS	Goldman Sachs Execution & Clearing	GSOO	0501Δ		
Glazer (C.L.) & Co.	CLGL	0443Δ			Goldman Sachs Execution & Clearing	GSPP	0501Δ		
Gleacher & Company Securities, Inc.	BPSG	0443Δ	0443†	CNS	Goldman Sachs Execution & Clearing	GSQQ	0501Δ		
Gleacher & Company Securities, Inc.	GLCH	0443Δ			Goldman Sachs Execution & Clearing	GSRR	0501Δ		
Glendale Securities, Inc.	GLEN	0158Δ	0158†	CNS	Goldman Sachs Execution & Clearing	GSSS	0501Δ		
Glenmede Trust Company, N.A. (The)		2139			Goldman Sachs Execution & Clearing	GSTT	0501Δ		
Glickenhau & Co.	GLIC	0352Δ	0352†	CNS	Goldman Sachs Execution & Clearing	GSUU	0501Δ		
Glickenhau & Co.		5514			Goldman Sachs Execution & Clearing	GSVV	0501Δ		
Global Brokerage Services, Inc.	GSBI	0279Δ	0279†	CNS	Goldman Sachs Execution & Clearing	GSWW	0501Δ		
Global Credit Partners, LLC	GCPL	0158Δ	0443†	CNS	Goldman Sachs Execution & Clearing	GSXX	0501Δ		
Global Financial & Remarketing Services, LLC		3503			Goldman Sachs Execution & Clearing	GSSY	0501Δ		
Global Financial Services, Inc.	GFSI	0352Δ	0352†	CNS	Goldman Sachs Execution & Clearing	GSZZ	0501Δ		
Global Hunter Securities LLC	GLBL	0161Δ	0161†	CNS	Goldman Sachs Execution & Clearing L.P.	BZYF	0501Δ		
Global Investor Services, L.C.	GISJ	0352Δ	0352†	CNS	Goldman Sachs Execution & Clearing L.P.	BZYG	0501Δ		
Global Investor Services, LLC	HBCO	0443Δ	0443†	CNS					
Global Maxfin Capital Inc./CDS	GMAX	5026•							
Global Resource Investments, Ltd.	GRIL	0235Δ							
Global Securities Corporation/CDS	GSCF	5069•							
Global Strategic Investments, LLC	GSIL	0158Δ	0158†	CNS					

Alphabetical Reference

April 2012

Goldman Sachs Execution & Clearing L.P.	BZYH	0501Δ				Granite Financial Group, Inc.	GFNC	0158Δ			
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Grant Williams, L.P.	GWLP	0309Δ	0309†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				GRB Financial LLC	GRBF	0750Δ	0750†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Great American Advisors, Inc.	AGSS		0443†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Great American Life Insurance Company		5949			
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Great Nation Investment Group	GNTS	0309Δ	0309†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Great Pacific Securities	GPSS	0161Δ	0161†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Great Point Capital LLC	MAVB	0442Δ			
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Greater Community Financial LLC	GRCF		0443†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Great-West Life & Annuity Insurance Company		4735			
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Green Street Advisors, Inc.	GNAV	0443Δ			
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Greenberg Financial Group	NEHL	0235Δ	0235†	CNS	
Goldman Sachs Execution & Clearing L.P.	BZYL	0501Δ				Greencoast Capital Partners, LLC	GCPM		0103†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ	0501†	CNS		Greenman, Parker, Connally, Greenman, Inc.	GPCG		0443†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ	0501†	CNS		Greentree Brokerage Services, Inc.	GBSI	0443Δ	0443†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ	0501†	CNS		Greenwich Capital Markets, Inc.	CAPM		6777	TFT	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Greenwich Financial Services LLC	GFSL	0161Δ	0161†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Greenwich Prime Trading Group, LLC	GPTG	0501Δ			
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Grenel & Company	GRNL	0501Δ			
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Grey Wolf Execution Partners, Inc.	GWEP	0103Δ			
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				GRF Capital Investors Inc.	GRFC	0235Δ	0235†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Griffin Financial Group, LLC	GRFN	0158Δ			
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Griffith (M.) Locke Investment Services, Inc.	GRIF		0141†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Griffon May, Inc.	MACP		0443†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Grigsby & Associates, Inc.	GRIG		0279†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Griswold Company, Inc.	GRIS	0352Δ	0352†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Grodsky Associates, Inc.	GROD		0226†	CNS	
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Grubb & Ellis Equity Advisors, Transfer Agent, LLC		5415			
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ				Grubb & Ellis Equity Advisors, Transfer Agent, LLC/Grubb & Ellis Apartment Reit, Inc.		3464			
Goldman Sachs Execution & Clearing, L.P.	BZYL	0501	0501	CNS		Grubb & Ellis Equity Advisors, Transfer Agent, LLC/Grubb & Ellis Healthcare Reit II, Inc.		3465			
Goldman Sachs Execution & Clearing, LP	BZYL	0501Δ				GRW Capital Corp.	GRWC		0443†	CNS	
Goldman Sachs International Ltd.	BZYL	5208				GSECLP/Equities Execution		0048			
Goldman, Sachs & Co.	BZYL	0005	0005	CNS		GSECLP/Kellogg Capital		0399			
Gordon Hasket & Co.	BZYL	0226Δ	0226†	CNS		GSECLP/Princeton Securities Group		0151			
Gordon, Haskett Capital Corporation	BZYL	0226Δ	0226†	CNS		G-Trade Service, LLC	GTRD	0443Δ			
Gorian Investment Group	BZYL		0141†	CNS		G-Trade Services LLC	ADRD	0161Δ			
Gotham Lawrence Corporation	BZYL	0750Δ				Guardian Insurance & Annuity Company, Inc. (The)		4533			
GP Nurmenkari, Inc.	BZYL	0284Δ				Guardian Insurance & Annuity Company, Inc./Fund Trading		4637			
Grace Financial Group LLC	BZYL	0501Δ				Guardian Investor Services LLC		5573			
Grace Financial Group, LLC	BZYL	0501Δ	0501†	CNS		Guggenheim Funds Distributors, Inc.	CLYM	0526	0526	CNS	
Grace Financial Group, LLC	BZYL	0158Δ	0158†	CNS		Guggenheim Securities LLC		0181			
Grace Financial Group, LLC	BZYL	0158Δ	0158†	CNS		Guggenheim Securities, LLC	GUGG	0352Δ	0352†	CNS	
Grace Financial Group, LLC	BZYL	0501Δ				Guggenheim Securities, LLC	GUGS	0443Δ			
Graham (B.B.) & Company	BZYL	0235Δ	0235†	CNS		Guggenheim Securities, LLC	LNKS		0443†	CNS	
Gramercy Securities, Inc.	BZYL	0750Δ									
Granite Financial Group, Inc.	BZYL	0158Δ									

Alphabetical Reference

April 2012

GunnAllen Financial, Inc.	GNLR	0543Δ	0543†	CNS	Hartford Life Insurance Company/HLS Fund of Funds		4681		
Gunnar (Joseph) & Co., LLC	JGUN	0226Δ	0226†	CNS	Hartford Life Insurance Company/Life Business		4658		
Gurun Inc.	GURN		0279†	CNS	Hartford Life Insurance Company/Mutual Fund		4599		
Guzman & Company	GUZM	0501Δ	0501†	CNS	Hartford Securities Distribution Company, Inc.		0765		
Guzman & Company	GZML	0161Δ	0161†	CNS	Hartford Securities Distribution Company, Inc./PRG		5920		
GVC Capital LLC	BCPI	0309Δ	0309†	CNS	Harvard Property Trust, LLC/Behringer Harvard Multifamily REIT I, Inc.		1628		
GWFS Equities, Inc.		0257			Harvard Property Trust, LLC/Behringer Harvard Opportunity REIT I, Inc.		1634		
GWFS Equities, Inc.		5330			Harvard Property Trust, LLC/Behringer Harvard Opportunity REIT II, Inc.		1636		
GWFS Equities, Inc./Orchard Trust Company LLC		3702			Harvard Property Trust, LLC/Behringer Harvard REIT I, Inc.		1622		
GWM Group, Inc.	RLCC		0226†	CNS	Harvest Capital LLC	HACA	0701Δ	0701†	CNS
GWM Group, Inc.	RLCC	0226Δ			Harvest Financial Corporation	HVST	0235Δ	0235†	CNS
H. Beck, Inc.	HBACK		0443†	CNS	Harvestons Securities, Inc.	HARS	0226Δ		
H. G. Wellington & Co., Inc.	WELC	0702Δ	0702†	CNS	Harvestons Securities, Inc.	HARS		0226†	CNS
H.C. Denison Co.	DENI	0279Δ	0279†	CNS	Havenwood Capital Markets, LLC	HAVN	0279Δ	0279†	CNS
H.C. Wainwright & Co., Inc.	WAIN	0158Δ	0158†	CNS	Havkit Corporation	HAVK	0052Δ		
Hahn Securities, Inc.	WMPB	0750Δ	0750†	CNS	Hayden Stone & Co., LLC	HAST	0052Δ		
Halcyon Cabot Partners, Ltd.	BBHP	0158Δ	0158†	CNS	Haywood Securities (USA) Inc.	HAYV	0279Δ	0279†	CNS
Halen Capital, Inc.	HCPL	0052Δ	0052†	CNS	Haywood Securities Inc.	HASF	5058•		
Hallmark Investments, Inc.	HMRK	0235Δ	0235†	CNS	Hazlett, Burt & Watson, Inc.	HAZL	0226Δ	0226†	CNS
Hamilton Johnston & Co., Inc.	HAJO	0161Δ			Hazlett, Burt & Watson, Inc.		0252		
Hampton Securities (USA), Inc.	HMPT		0226†	CNS	HBK Finance, LP	HBKI		0352†	CNS
Hancock Investment Services, Inc.	HANK		0226†	CNS	HCFP/Brenner Securities, LLC	HCBR	0158Δ	0158†	CNS
Hancock Securities Group, LLC	DHAN		0443†	CNS	Heartland Investment Associates	HIAI		0226†	CNS
Hand Benefits & Trust Company		4866			HedgeCount, LLC		3487		
Hand Benefits & Trust Company		5950			HedgeCount, LLC/Hutchinson Capital Partners, LLC		3489		
Hand Securities, Inc.	AIRS	0309Δ	0309†	CNS	Heflin & Co. LLC	HEFL	0443Δ		
Hanson McClain	HMRN		0226†	CNS	Hefren-Tillotson, Inc.	HEFR	0443Δ	0443†	CNS
Hantz Financial Services, Inc.	HAFS	0279Δ			Hefren-Tillotson/Shelby, Kern, Frederick and Shelby Div.	SKFS		0443†	CNS
Hantz Financial Services, Inc.		0614			Heidtke & Company, Inc.	BUZZ		0141†	CNS
Hapoalim Securities USA, Inc.	ITEC	0443Δ	0443†	CNS	Height Securities, LLC	HITS	0443Δ		
Hapoalim Securities USA, Inc.	POLI	0443Δ	0443†	CNS	Henley & Company LLC	HENY	0443Δ	0443†	CNS
Harbor Funds Distributors, Inc.		5471			Hennig (Carl M.) Inc.	HENN	0235Δ	0235†	CNS
Harbour Investments Inc.	HARB		0443†	CNS	Hennion & Walsh, Inc.	NHWI		0141†	CNS
Hardcastle Trading USA, LLC	HCTA	0501Δ	0501†	CNS	Heritage Financial Systems, Inc.	HFSB	0235Δ	0235†	CNS
Harger and Company, Inc.	HRGR	0235Δ	0235†	CNS	Herndon Plant Oakley	HPOL		0141†	CNS
Harris (Chester) & Co., Inc.	CHHS		0141†	CNS	Herold (Bernard) & Co.	HERO	0443Δ	0443†	CNS
Harris Investor Services, Inc.		5152			Herzfeld (Thomas J.) & Co., Inc.	HERF		0141†	CNS
Harris Investors Services, Inc.	HRRS		0443†	CNS	Hewitt Associates LLC		7107		
Harris N.A.	HRST		6713	TFT	Hexagon Securities, LLC	HXGN		0443†	CNS
Harris, N.A.		2697			HFI Securities, Inc.	HFIS		0141†	CNS
Hart (LJ) & Company	LJHT		0443†	CNS	HFP Capital Markets LLC	HFPC	0158Δ	0158†	CNS
Hartfield, Titus & Donnelly, LLC	HFLD	0451	0451	CNS	Higgins Capital Management, Inc.	HIGG	0235Δ	0235†	CNS
Hartford Investment Financial Services Co.		4856			High Point Capital Group, Inc.	COHI		0226†	CNS
Hartford Investment Financial Services Co./Upromise		5892			Highlander Capital Group, Inc.	HIGH	0443Δ	0443†	CNS
Hartford Investment Financial Services/Hartford Advantage Investments Ltd.		4829							
Hartford Life and Annuity Insurance Company		4669							
Hartford Life Insurance Company (The)		4501							
Hartford Life Insurance Company/Corporate Business		4662							
Hartford Life Insurance Company/Government Business		4663							

Alphabetical Reference

April 2012

Hightower Securities, LLC	HTJP	0352Δ	0352†	CNS	Icon Distributors, Inc.		5549		
Hightower Securities, LLC	HTWR		0226†	CNS	ICP Securities LLC	ICPX		0443†	CNS
HighTower Securities, LLC		6017			ICP Securities, LLC	ICPS	0161Δ	0161†	CNS
Hill Thompson Magid & Co Inc.	HILF		0443†	CNS	IFC Holding, Inc./Invest Financial Corporation		0566		
Hilliard Farber & Co., Inc.	JJKE	0161Δ	0161†	CNS	IFC Holdings, Inc.	ISFA		0226†	CNS
Hilliard Farber & Co., Inc.	RCML	0161Δ	0161†	CNS	IFMG Securities, Inc.	LBSC		0226†	CNS
Hines Securities, Inc.		3584			IIG Horizons Securities LLC	IIGH		0226†	CNS
HKC Securities	HKCS	0352Δ	0352†	CNS	IJL Financial Advisors, LLC	TRUM	0158Δ	0158†	CNS
HLM Securities, Inc.	HLMS	0727Δ	0727†	CNS	Illustro Trading LLC	ILUS	0541Δ		
HM Capital Management LLC		3431			IMC-Chicago, LLC	IMCF	0396Δ		
Hold Brothers Capital LLC		0430			Imperial Capital, LLC	IMPC	0443Δ	0443†	CNS
Hold Brothers Execution Services LLC		0528			IMS Securities Inc.	IMSS	0279Δ		
Hold Brothers On-Line Investments, LLC	HOLD	0784			Incapital, LLC	INCP	0235Δ	0235†	CNS
Hollencrest Securities, LLC	HLLC	0352Δ	0352†	CNS	Independent Bankers' Bank of Florida	IBBF		6778	TFT
Home Financial Services, Inc.	VOLS		2447	TFT	Independent Brokers LLC	INDE		0226†	CNS
Homestead Funds, Inc.		6553			Indiana Merchant Banking & Brokerage Co., Inc.	IMBB	0279Δ	0279†	CNS
Honor, Townsend & Kent, Inc.	HOTO		0443†	CNS	Indiana Securities, LLC	INDI	0235Δ	0235†	CNS
Honor, Townsend & Kent, Inc.		0326			Industrial and Commerical Bank of China Financial Services LLC	ICBK	0388	0388	CNS
Horwitz & Associates, Inc.	HORW	0352Δ			Industrial Income Trust Inc.		3495		
Howard Weil, Incorporated	HWIL	0226Δ	0226†	CNS	Infinex Investments Inc.		0113		
Howells (M.S.) & Co.	HWLS	0443Δ	0443†	CNS	Infinity Financial Services	NFTY	0235Δ	0235†	CNS
HRC Investment Services, Inc.	HRCS		0443†	CNS	Infinium Securities, Inc.	INFC	0158Δ		
HSBC Bank USA, N.A./IPB		2122			ING Financial Advisers, LLC		0172		
HSBC Bank USA, National Association		2165			ING Financial Markets LLC	INGG	0270Δ		
HSBC Bank,USA, N.A./Buffalo IPS		2049			ING Financial Markets, LLC	INGF	0270		
HSBC Securities (USA) Inc.	HSBK	0816	0816	CNS	ING Financial Partners, Inc.		0492		
HSBC Securities (USA), Inc./Fixed Income Securities	HSBM	0486	0486	CNS	ING Financial Partners, Inc./LSSI		0465		
HSBC Securities (USA), Inc./Stock Loan	HSBC	0816Δ			ING Institutional Plan Services, LLC		7108		
Hudson Securities, Inc.	HDSI	0501Δ			ING Investment Advisors, LLC		0291		
Hudson Valley Capital Management	SECT	0158Δ	0158†	CNS	ING Investment Advisors, LLC/TPA Accounts		0591		
Hugo Marx & Co., Inc.	MARX		6741	TFT	ING Investment Management Services LLC	FSFS	0352Δ	0352†	CNS
Humbard, James W.	JWHJ	0052Δ			ING Investments Distributor, LLC		5734		
Hunter Associates Inc.	HNTR	0443Δ	0443†	CNS	ING Investments Distributor, LLC/ING IODC		5859		
Hunter Scott Financial, LLC	PLCP	0750Δ			ING Investments Distributor, LLC/ING Offshore		5473		
Hunter World Markets, Inc.	WRLD		0235†	CNS	ING Life Insurance and Annuity Company		4508		
Huntingon National Bank		2305			ING Life Insurance and Annuity Company/Fund Serv/Trading		4575		
Huntington Investment Company	HUCO	0226Δ	0226†	CNS	ING Life Insurance and Annuity Company/ING Financial Solutions		4740		
Huntington National Bank/Traditional Insurance		5383			ING Life Insurance and Annuity Company/INVGVA		4635		
Hutchinson, Shockey, Erley & Co.	HUTC		6963	TFT	ING National Trust Company		2360		
HWJ Capital Partners II, LLC	HWJC	0052Δ			ING National Trust Company/IFS		5377		
HybridTrading, LLC	HYBD	0049Δ	0049†	CNS	ING Private Wealth Management LLC	INGW		0443†	CNS
I-Bankers Securities, Inc.	MILE	0158Δ			ING USA Annuity and Life Insurance Company		4506		
IBERIA Capital Partners L.L.C.	IBER	0226Δ	0226†	CNS	ING USA Annuity and Life Insurance Company/Mutual Funds Trading		4510		
ICAP Corporates LLC	GARB	0148	0148	CNS					
ICAP Corporates LLC	GARC	0501Δ							
ICAP Corporates, LLC	GARQ	0501Δ	0161†	CNS					
ICAP Corporates, LLC	GARZ	0501Δ							
ICD Securities	ICDS	0750Δ							
ICE Execution Services LLC	ICEX	0443Δ							
ICM Securities, LLC	ICMN	0501Δ							
ICMA-RC Services, LLC		0282							
ICMA-RC Services, LLC		4942							
ICON Capital Corp.		3592							

Alphabetical Reference

April 2012

Ingalls & Snyder, LLC	INGS	0124	0124	CNS	Investacorp, Inc.		0138		
Inland Real Estate Investment Corporation		3835			Investec Securities (U.S.) LLC Investment Center (The)	INVC	0443Δ	0443†	CNS
Inland Real Estate Investment Corporation/Inland American Real Estate Trust, Inc.		1640			Investment Center, Inc. (The) Investment Centers of America, Inc.	ICEN	0443Δ	0443†	CNS
Inland Real Estate Investment Corporation/Inland Diversified Real Estate Trust, Inc.		1643			Investment Management Corporation	KCIM	0235Δ	0235†	CNS
Inlet Securities, LLC	LLSI	0750Δ	0750†	CNS	Investment Management Services, Inc.	IMSI	0727Δ		
Instinet, LLC	INAR	0436Δ			Investment Network, Inc.	IVNT	0235Δ	0235†	CNS
Instinet, LLC	INAT	0067Δ			Investment Partners Asset Management		3424		
Instinet, LLC	INJX	0536Δ			Investment Placement Group	IPGR	0352Δ		
Instinet, LLC	INML	0067Δ			Investment Planners Inc.	INPI	0235Δ	0235†	CNS
Instinet, LLC	INMP	0067Δ			Investment Professionals, Inc.	INPR		0443†	CNS
Instinet, LLC	INTW	0067Δ			Investment Professionals, Inc.		6052		
Instinet, LLC	INCA	0067	0067	CNS	Investors Capital Corporation	ICCP	0443Δ	0443†	CNS
Institutional Capital Management, Inc.	ICMH	0235Δ	0235†	CNS	Investors Capital Corporation		6016		
Institutional Investor Trust		3709			Investors Securities Services, LLC	ISSC		0443†	CNS
Institutional Securities Corporation	ISCN	0279Δ	0279†	CNS	Invex, Inc.	IVEX	0352Δ		
Insurance Technologies, LLC		6407			IPO Capital	IPOC	5039Δ		
Integral Financial, LLC	INFI	0279Δ			Ironstone Securities Inc.	ISSB		0443†	CNS
Integrity Brokerage Services	IBSJ	0158Δ	0158†	CNS	Isaak Bond Investment, Inc.	IAAK	0279Δ	0279†	CNS
Integrity Funds Distributor, Inc.		5657			ISERoute, LLC	SPDR	0100Δ		
Integrity Life Insurance Company		4549			Island Traders Securities	ITSI	0158Δ		
Interactive Brokers Corp.	IBCO		0534†	CNS	Israel A. Englander & Co., Inc.	IAEA	0352Δ	0352†	CNS
Interactive Brokers LLC	IBKR	0017			Israel A. Englander & Co., Inc.	IAEX	0161Δ	0161†	CNS
Interactive Brokers, LLC/Retail Clearance	IBKR	0534	0534	CNS	Israel A. Englander & Co., LLC	DASH	0158Δ		
Interbolsa Securities, LLC	IBSA	0443Δ	0443†	CNS	Israel A. Englander & Co., LLC	IAEC	0551Δ		
Intercarolina Financial Services, Inc.	ICFS		0226†	CNS	Itau Europa Securities Inc.	IESI	0443Δ		
Intercontinental Asset Management Group, Ltd.	ICON		0443†	CNS	Itau Securities, Inc.	ITAU	0443Δ		
Intermerchant Securities LLC	IMSL	0052Δ	0052†	CNS	ITB Securities, LLC	ITBS	0750Δ	0750†	CNS
International Assets Advisory, LLC	INTA	0443Δ	0443†	CNS	ITG Canada	ITGC	5059Δ		
International Correspondent Trading, Inc.	ICTI	0226Δ	0226†	CNS	ITG Derivatives, LLC	REDK	0551Δ		
International Strategy & Investment Group, Inc.	ISIG	0352Δ	0352†	CNS	ITG, Inc.	ITGI	0099		
International Strategy & Investment Group, Inc.		5591			ITradedirect.com Corp.	ITDC	0750Δ	0750†	CNS
Internet Capital Markets Corporation	ICMC	0158Δ			IVY Securities, Inc.	IVYS	0235Δ	0235†	CNS
Interpacific Investors Services, Inc.	IPAC	0226Δ	0226†	CNS	J&C Global Securities, LLC	MEAT	0052Δ		
Intervest International Equities Corporation	IVST		0443†	CNS	J. Scott Securities Corp.	JSSC		0352†	CNS
INTL Trading, Inc.	INTL	0161Δ	0161†	CNS	J. W. Cole Financial, Inc.	JWCF		0226†	CNS
InTrade, LLC	ITLC	0238Δ			J.D. Nicholas & Associates, Inc.	FRIS	0052Δ	0052†	CNS
InVemed Associates, LLC	INVM	0352Δ	0352†	CNS	J.J.B Hilliard, W.L.Lyons, LLC	HLHC		0768†	CNS
Invesco Distributors, Inc.		5540			J.J.B. Hilliard, W.L. Lyons, LLC	HDLY	0768	0768	CNS
Invesco Distributors, Inc./AIM Global Advisors Limited		4882			J.K. Chilton & Associates, Inc.	JKCA		0103†	CNS
Invesco Distributors, Inc./Fund Management Co.		5450			J.K. Financial Services, Inc.	JKFS	0279Δ	0279†	CNS
Invesco Distributors, Inc./Offshore		6592			J.K.R. & Co., Inc.	JKRC		0443†	CNS
Investacorp, Inc.	ARCH	0226Δ	0226†	CNS	J.M. Lummis Securities, Inc.	JMLS	0388Δ		
Investacorp, Inc.	INVE	0352Δ	0352†	CNS	J.P. Morgan Clearing Corp.	BSSC	0352	0352	CNS
					J.P. Morgan Clearing Corp./ Burke Trading, LP		3827		
					J.P. Morgan Clearing Corp./ Showel Capital, LP		3887		
					J.P. Morgan Clearing Corp./Jane Street Capital, LLC		3837		
					J.P. Morgan Clearing Corp./Option Opportunities		3809		
					J.P. Morgan Institutional Investments, Inc.		4871		

Alphabetical Reference

April 2012

J.P. Morgan Securities LLC	CHSI	0187	0187	CNS	John Hancock Life & Health Insurance Company/ LTC				5910
J.P. Morgan Securities LLC	JPMT	0352Δ	0352†	CNS	John Hancock Life Insurance Company				4594
J.P. Morgan Securities LLC		5865			John Hancock Life Insurance Company (U.S.A)				4513
J.P. Morgan Securities LLC/NYSE		0060			John Hancock Life Insurance Company (U.S.A) /LTC				5994
J.P. Morgan Securities LLC/Private Client Services Div		0406			John Hancock Life Insurance Company (USA) / Global Diversification				4716
J.P. Morgan Securities, Inc.	BEAR	0352Δ	0352†	CNS	John Hancock Life Insurance Company (USA) /Diversified Equity				4714
J.P. Morgan Securities, Inc.	BEST	0352Δ	0352†	CNS	John Hancock Life Insurance Company (USA) /Fundamental Holdings				4715
J.P. Morgan Securities, Inc.	JPME	0352Δ			John Hancock Life Insurance Company (USA)/Group Pension				4661
J.P. Morgan Securities, Inc.	JPMG	0352Δ			John Hancock Life Insurance Company (USA)/Insurance				4660
J.P. Morgan Securities, Inc.	JPMP	0352Δ			John Hancock Life Insurance Company (USA)/RPS Seg Funds & Accounting ET7				4704
J.P. Morgan Securities, Inc.	JPMS	0352Δ			John Hancock Life Insurance Company of New York				4607
J.P. Morgan Securities, Inc.	PCSD	0226Δ	0226†	CNS	John Hancock Life Insurance Company of New York/RPS SEG Funds & Accounting ET7				4705
Jack V. Butterfield Investments Company	JVBF	0235Δ	0235†	CNS	John Hancock Variable Life Insurance Company				4595
Jackson National Life Insurance Company		4552			Johnson Investment Counsel, Inc.				3779
Jackson National Life Insurance Company of New York		4584			Johnson, Rice & Company LLC	JRCO			0352Δ
Jackson National Life Insurance Company/Brooke Life		4581			Johnston, Lemon & Co. Incorporated	JOLE	0443Δ	0443†	CNS
Jackson Partners & Associates Inc.	JPTR	0100Δ	0100†	CNS	Jones (Edward D.) & Co.	EDJO	0057	0057	CNS
Jackson Securities LLC	JACK	0443Δ	0443†	CNS	Jones Gable & Company LTD./CDS	JNGF	5070•		
James Baker & Associates, L.P.	BAKR		6069	TFT	JonesTrading	JONE	0161Δ	0161†	CNS
Janco Partners Inc.	JANC		0443†	CNS	Joseph Grace	ETSB	0235Δ	0235†	CNS
Jane Street Markets, LLC	JANE	0352Δ	0352†	CNS	JP Morgan Chase Bank/ADP Express Account				0409
Jane Street Markets, LLC	JANS	0352Δ			JP Morgan Chase Bank/IA				2357
Jane Street Markets, LLC	JSOP	0551Δ			JP Morgan Chase Bank/J.P. Morgan Institutional Investments Inc.				5978
Jane Street Markets, LLC	JSPT	0352Δ			JP Morgan Retirement Plan Services LLC				7147
Jane Street Markets, LLC	NASJ	0352Δ			JPMCC / Bear Specialist, Inc.				0351
Janney Montgomery Scott LLC	JANY	0374	0374	CNS	JPMCC / J.P. Morgan Securities Inc./Specialist				0363
Janney Montgomery Scott LLC	JMSI	0374Δ			JPMorgan Chase Bank N.A./JPMorgan Chase Health Savings				0915
Janus Distributors LLC		5781			JPMorgan Chase Bank N.A./Worldwide Securities Services Hewitt Accounts				0204
Janus Distributors LLC/Janus Capital International Limited		5467			JPMorgan Chase Bank, N.A. / Custodial Trust Company	CUST			2424
Jaypee International, Inc.	JPII	0049Δ			JPMorgan Chase Bank, National Association				0902
JB Drax Honroe, Inc.	JBDH	0158Δ							
Jefferies & Co., Inc.	BDIR	0352Δ	0352†	CNS					
Jefferies & Co., Inc.	JEFF	0019	0019	CNS					
Jefferies & Company, Inc.	PJEF	0443Δ							
Jefferies & Company, Inc.	PJEF		0443†	CNS					
Jefferies Bache Securities, LLC	PGSL	0226Δ	0226†	CNS					
Jefferies Execution Services, Inc.	JEFX	0536Δ							
Jefferies Execution Services, Inc./Service Bureau	WDSB	0536							
Jefferson National Life Insurance Company		4573							
Jeffrey Matthews Financial Group, LLC	JEFM	0235Δ	0235†	CNS					
Jeffries Partner Opportunity Fund II, LLC	JHYT	0019Δ	0019†	CNS					
Jettrade, Inc.	JETT		0226†	CNS					
JFD Securities, Inc.	JFDS	0161Δ							
JH Darbie & Co. Inc.	JHDR	0052Δ	0052†	CNS					
JK Securities, Inc.	JKSI		0750†	CNS					
JMP Securities, LLC	JSSF	0352Δ	0352†	CNS					
JNK Securities Corp.	JNKK	0501Δ							
John Hancock Funds, LLC		5582							

Alphabetical Reference

April 2012

JPMorgan Chase Bank/PB-PCS Shared Services		6652			Kensington Capital Corp.	KENS	0309Δ		
JPMorgan Chase Bank/PCS Shared Services		2255			Kercheville & Company	KERC	0443Δ		
JPMorgan Chase Bank/TIAA-CREF		2006			Kern, Suslow Securities, Inc.	SLOW	0158Δ	0158†	CNS
JPMorgan Distribution Services, Inc.		5599			Kershner Securities, LLC	KRSH	0501Δ		
JPMorgan Distribution Services, Inc./JPM Off-Shore Funds		5798			Kevin Dann & Partners, LLC	DANN	0158Δ		
JPMorgan Distribution Services, Inc./NY Advisor 529 Plan		3789			Kevin Hart Kornfield & Co., Inc.	KHKC		0226†	CNS
JRL Capital Corporation	JRLC	0279Δ	0279†	CNS	Key Bank N.A.		5608		
Jump Trading	DYSO	0695Δ			Key Investment Services LLC	KISL		0443†	CNS
Jump Trading	EGOT	0695Δ			Key Investment Services LLC		0809		
Jump Trading	KACS	0695Δ			KeyBanc Capital Markets Inc.	KEYB	0799	0799	CNS
Jump Trading	MKME	0695Δ			Keybank National Association		2205		
Jump Trading	PXGG	0695Δ			Keystone Securities, LLC	KEYS	0750Δ		
Jump Trading	TIRE	0695Δ			KGS Alpha Capital Markets LLC	KGSA		0443†	CNS
Jump Trading	WINF	0695Δ			Kildare Capital, Inc.	KCAP	0103Δ	0103†	CNS
Jump Trading	WINR	0695Δ			Kildare Capital, Inc.	KILD		0103†	CNS
JVB Financial Group	JVBG	0443Δ	0443†	CNS	Kiley Partners, Inc.	KCIX	0309Δ	0309†	CNS
K.A. Associates Inc.	KALA	0352Δ	0352†	CNS	Kimelman & Baird, LLC	KIML	0352Δ	0352†	CNS
K.R. Securities LLC	KRCO	0352Δ	0352†	CNS	King (C.L.) & Associates, Inc.	KING	0743	0743	CNS
Kabrik Trading	KBKF	0695Δ			Kinsell, Newcomb & De Dios, Inc.	KOND	0309Δ	0309†	CNS
Kahn Brothers & Co., Inc.	KBCO	0443Δ			Kipling Jones & Co., Ltd.	KJCO	0309Δ	0309†	CNS
Kaiser and Company	WYOM	0443Δ	0443†	CNS	KJM Securities, Inc.	KJMS		0226†	CNS
Kalos Capital Incorporated	KALO		0226†	CNS	KMS Financial Services	KMSF		0443†	CNS
Kashner Davidson Securities Corporation	KASH	0750Δ	0750†	CNS	KMS Financial Services, Inc.		4835		
KBC Financial Products	KBFP	0352Δ	0352†	CNS	Knight Capital Americas, L.P.	KELG	0295Δ		
KBS Capital Markets Group, LLC		3872			Knight Capital Americas, L.P.	KELL	0295Δ		
KBS Capital Markets Group, LLC/KBS Legacy Partners Apartment REIT		1621			Knight Capital Markets, LLC	KCMP	0295Δ		
KBS Capital Markets Group, LLC/KBS Real Estate Investment Trust II, Inc.		1612			Knight Capital Markets, LLC	TRIM	0295Δ	0161†	CNS
KBS Capital Markets Group, LLC/KBS Real Estate Investment Trust III, Inc.		1613			Knight Equity Markets, L.P.	NITE	0295Δ	0161†	CNS
KBS Capital Markets Group, LLC/KBS Real Estate Investment Trust, Inc.		1611			Knight Equity Markets, L.P.	NITP	0295Δ		
KBS Capital Markets Group, LLC/KBS Strategic Opportunity REIT		1617			Knight Execution & Clearing Services LLC	DTTX	0295Δ		
KCCI, Ltd.	KCCI	0158Δ			Knight Execution & Clearing Services LLC	NITC	0295		
KCCI, Ltd.	KCCP	0158Δ			Knight Execution & Clearing Services LLC	NITD	0295Δ		
Keane Securities Co. Inc.	KEAN	0161Δ			Knight Execution & Clearing Services LLC	VABD		0141†	CNS
Kedem Capital Corp.	KEDM	0352Δ	0352†	CNS	Knight Libertas, LLC	LIBE	0443Δ	0443†	CNS
Keefe, Bruyette & Woods, Inc.	KBWI	0443Δ	0443†	CNS	Kohn (L.M.) & Company	LMKO	0235Δ	0235†	CNS
Keeley Investment Corp.	KEEL	0226Δ	0226†	CNS	Kohn (L.M.) & Company		0194		
Keeley Investment Corp.		5661			Koonce Securities Inc.	KOSE	0712	0712	CNS
Kelley (D.M.) & Co.	DMKC	0141Δ	0141†	CNS	Korth (J.W.) & Company, Inc.	KRTH	0235Δ	0235†	CNS
Kellogg Capital Group LLC	PERF	0501Δ			Kota Global Securities Inc.	KOTA	0158Δ	0158†	CNS
Kellogg Capital Markets, LLC	KEGG	0501Δ	0501†	CNS	Kovack Securities Inc.	KOVP	0443Δ		
Kelt (The) Group, LLC	TKGA		0226†	CNS	Kovack Securities Inc.	KOVP		0443†	CNS
Kenneth, Jerome & Co., Inc.	KJER	0052Δ	0052†	CNS	Kovack Securities, Inc.	KOVS	0226Δ	0226†	CNS
Kenny Securities Corp.	KENY		0443†	CNS	Kovitz Securities, LLC	KVTZ		0443†	CNS
					Kramer Securities Corp.	KRAM		0141†	CNS
					Krueger Brokerage, Inc.	KRUG	0235Δ	0235†	CNS
					Kun-Lun Development Corporation	KLDC	0279Δ		
					Kuykendall & Schneider, Inc.	KUYK	0309Δ	0309†	CNS
					KW Securities Corp.	LAKA		0352†	CNS
					KW Securities Corporation	KWSC	0235Δ	0235†	CNS
					Kyson & Company	KYSN		0226†	CNS
					Kyte Securities LLC	KYTS	0501Δ		
					L.S.Y., Inc.	AMIC		0226†	CNS
					LaBrunerie Financial Services	LABR		0188†	CNS
					Ladenburg, Thalmann & Co. Inc.	LTCO	0226Δ	0226†	CNS

Alphabetical Reference

April 2012

Lafayette Investments Incorporated	LSPI		0141†	CNS	Leigh Baldwin & Co., LLC		6013		
Lafferty (R.F.) & Co., Inc.	LAFB	0235Δ	0235†	CNS	LEK Securities Corporation	LSCI	0512	0512	CNS
Laidlaw & Company (UK) LTD.	SBIL	0750Δ	0750†	CNS	Lemley, Yarling & Co.	LEYA	0235Δ	0235†	CNS
Lake Forest Securities, LLC	LAKE	0235Δ	0235†	CNS	Lenox Financial Services Inc.	LENX		0279†	CNS
LAM Securities	LMSE	0750Δ	0750†	CNS	Leonard & Company	LEOC	0235Δ	0235†	CNS
Lamon & Stern Inc.	LAMS		0443†	CNS	Leonard Securities, Inc.	LEON	0235Δ	0235†	CNS
Lampost Capital, L.C.	LAMP	0158Δ			Lerner (David) Associates, Inc.	DLAE	5144	5144	CNS
Lancaster Pollard & Co.	LANP	0309Δ	0309†	CNS	Lesko Securities Inc.	LSKO		0226†	CNS
Landmark Investment Group, Inc	SUMC	0158Δ	0158†	CNS	Leumi Investment Services, Inc.	LISI		0443†	CNS
Landolt Securities, Inc.	LDOT		0226†	CNS	Levco Securities, Inc.	LEVN		0418†	CNS
Lantern Investments, Inc.	LATN		0443†	CNS	Levinson (S.J.) & Sons LLC	SJLS	0501Δ		
Lara, Shull & May, Ltd.	LAMA	0235Δ	0235†	CNS	Levy, Harkins & Co., Inc.	LEVY	0352Δ	0352†	CNS
LaraDorbecker Securities Corporation	LDSC		0226†	CNS	Lexington Investment Co. Inc.	LEXI	0352Δ	0352†	CNS
Larimer Capital Corporation	LARC	0235Δ	0235†	CNS	LF Rothschild, LLC	LFRO	0235Δ	0235†	CNS
Larkin (Emmett A.) Co., Inc.	LARK	0750Δ	0750†	CNS	LFC Securities, LLC	LFCF		0279†	CNS
LaSalle St. Securities, LLC		0232			Liberty Capital Investment Corp.	PURP	0309Δ	0309†	CNS
LaSalle Street Securities, Inc.	LASS	0226Δ	0226†	CNS	Liberty Group, LLC	JACQ		0226†	CNS
Latour Trading, LLC	BZYS	0103Δ			Liberty Life Assurance Company of Boston		4641		
Lauren & Merlin Inc.	LMFI	0235Δ	0235†	CNS	Liberty Life Insurance Company		4562		
Laurential Bank of Canada/CDS		5001			Liberty Partners Financial Services, Inc.	LPFS	0235Δ	0235†	CNS
LavaFlow, Inc.	FLOW	0641			Liberum Capital Inc.	LINC	0352Δ	0352†	CNS
LavaFlow, Inc.	GOTO	0641Δ			Libucki & Co., LLC	LBKI	0100Δ		
LavaFlow, Inc.	LAVA	0501Δ			Lieblong & Associates, Inc.	LASI		0141†	CNS
Lawson Financial Corporation	LWFL	0443Δ	0443†	CNS	Lifemark Securities Corp.	LMAR		0226†	CNS
Lazard Capital Markets LLC	LAZA	0308	0308	CNS	Lifetime Achievement Fund, Inc.		6514		
Lazard Capital Markets, LLC.	LZCM	0352Δ	0352†	CNS	Lightspeed Trading, LLC	GMOR	0551Δ		
Lazard Freres & Co., LLC		4850			Lightspeed Trading, LLC	GMOR	0551Δ		
Lazard Freres & Co., LLC/Lazard Global Active Funds (Offshore)		5417			Lightspeed Trading, LLC	INTG	0158Δ	0158†	CNS
LCS Securities, LLC	LCSS	0352Δ	0352†	CNS	Lightspeed Trading, LLC	LSPG	0501Δ		
Leader Investments, Inc.	LIIC	0727Δ	0727†	CNS	Lightspeed Trading, LLC	LSPS	0158Δ	0158†	CNS
Leaders Group, Inc. (The)	LEAD		0226†	CNS	Lightspeed Trading, LLC	LSSU	0442Δ		
Lebanthal & Co., LLC	LBCO	0443Δ	0443†	CNS	Lightspeed Trading, LLC	LSXF	0158Δ	0158†	CNS
Ledgemont Capital Markets, LLC	NARI	0049Δ			Lightspeed Trading, LLC	PFDK	0695Δ		
Ledgewood Capital Management, LLC	LEDG		0443†	CNS	Lime Brokerage LLC	LIWE	0103Δ		
Leede Financial Markets Inc./CDS	LEDE	5071•			Lime Brokerage, LLC	JXLI	0536Δ		
Leerink Swann & Company	LEER	0443Δ	0443†	CNS	Lime Brokerage, LLC	LBNE	0608Δ		
Leerink Swann & Company	LESW	0443Δ	0443†	CNS	Lime Brokerage, LLC	LBNN	0161Δ		
Legacy Asset Securities Inc.	LASE	0235Δ	0235†	CNS	Lime Brokerage, LLC	LIFC	0695Δ		
Legacy Financial Services, Inc.		4138			Lime Brokerage, LLC	LIFO	0330Δ		
Legend Merchant Group, Inc.	LGND	0235Δ	0235†	CNS	Lime Brokerage, LLC	LIMA	0436Δ		
Legend Securities	SPCS	0158Δ			Lime Brokerage, LLC	LING	0442Δ		
Legend Securities, Inc.	LDSI	0294Δ			Lime Brokerage, LLC	LINH	0442Δ		
Legend Securities, Inc.	LEGD	0052Δ	0052†	CNS	Lime Brokerage, LLC	LINI	0442Δ		
Legent Clearing LLC	LGNT	0052	0052	CNS	Lime Brokerage, LLC	LINJ	0442Δ		
Legg Mason Investor Services, LLC		5749			Lime Brokerage, LLC	LINL	0442Δ		
Legg Mason Investor Services, LLC/529 Plans		5570			Lime Brokerage, LLC	LINN	0442Δ		
Legg Mason Investor Services, LLC/Citifunds		5834			Lime Brokerage, LLC	LINO	0442Δ		
Legg Mason Investor Services, LLC/Legg Mason Collective Trust		5630			Lime Brokerage, LLC	LINR	0442Δ		
Legg Mason Investor Services, LLC/Legg Mason Global Funds PLC		5833			Lime Brokerage, LLC	LIPR	0161Δ		
Leigh Baldwin & Co., LLC	HUSS	0158Δ	0158†	CNS	Lime Brokerage, LLC	LITB	0100Δ		
					Lincoln Benefit Life Company		4559		
					Lincoln Benefit Life Company/Administered by SE2 Technology Solutions		4689		
					Lincoln Douglas Investments, LLC	LDIL		0226†	CNS
					Lincoln Financial Advisors	LFAC		0226†	CNS

Alphabetical Reference

April 2012

Lincoln Financial Securities Corporation		0211			M & T Securities, Inc.		0040		
Lincoln Investment	LNCL	0443Δ			M Fund Inc.		5425		
Lincoln Investment Planning Inc.		0145			M Holdings Securities, Inc.		0757		
Lincoln Life & Annuity Company of New York		4686			M&I Distributors LLC/Marshall Funds		6561		
Lincoln National Life Insurance Co./Connecticut		4615			M&I Distributors, LLC		5352		
Lincoln National Life Insurance Company		4500			M&T Securities, Inc.	BALE	0443Δ		
Lincoln National Life Insurance Company/For Annuities (The)		4633			M&T Securities, Inc.	MTDB	0443Δ	0443†	CNS
Lincoln National Life Insurance Company/For Life		4634			M. Amarico, Inc.	AMCO	0158Δ	0158†	CNS
Lincoln National Life Insurance Company/II		4685			M.J. Whitman, LLC / Third Avenue Capital PLC		5916		
Lincoln Trust Company		0579			M.M. Dillon & Co. LLC	PFFR	0750Δ		
Lincoln Variable Insurance Products Trust		7111			MacAllaster Pitfield Mackay Inc.	PMCI	0664		
Linkbrokers Derivatives Corporation	LINK	0501Δ			MacDougall, MacDougall & MacTier Ltd./CDS		5022		
Linkbrokers Derivatives Corporation	LINQ	0651Δ	0443†	CNS	Mack Investments Securities, Inc.	MINV	0235Δ	0235†	CNS
Linkbrokers Derivatives Corporation	LINX	0501Δ			Mackie Research Capital Corporation/CDS	MREC	5029Δ		
Lipper Convertibles, L.P.	LPCO		0551†	CNS	Mackie Research Capital Corporation/CDS	RECA	5029•		
Liquid Capital Securities, LLC	LIQD	0695Δ			Macquarie Asset Management Inc.		3849		
Liquid Prime Services, Inc.	LIQP	0103Δ	0103†	CNS	Macquarie Capital (USA) Inc.	MACQ	0114Δ		
Liquidnet, Inc.	LQNT	0352Δ	0352†	CNS	Macquarie Capital (USA) Inc.	MSUS	0114		
Littlewood (L.P.) and Associates, Inc.	LTLI		0141†	CNS	Macquarie Private Wealth Inc./CDS	YKTN	5010•		
LiveVol Securities, Inc.	LIVE	0551Δ			Macquarie Private Wealth Inc./CDS		5025		
Livevol Securities, Inc.	LVOL	0158Δ			Macro Risk Advisors, LLC	MRAD	0501Δ		
LLK Insurance Brokerage Services, LLC		6009			Madden Securities Corp.	MADN		0279†	CNS
Lloyd, Scott & Valenti, Ltd.	LSVL	0352Δ	0352†	CNS	Madison Avenue Securities	MAVS	0443Δ	0443†	CNS
Locust Street Securities, Inc.	LSSM		0443†	CNS	Madison Avenue Securities, Inc.		6428		
Loeb Arbitrage Fund	LOEB	0352Δ			Madison Capital Markets, Inc.	EQUI	0049Δ		
Loeb Partners Corporation/Retail	LOBR	0352Δ	0352†	CNS	Madison Investment Advisors, LLC		6577		
Lombard Odier Transatlantic, Limited Partnership	TRNS	0408			Madison Investment Advisors, LLC/Members Mutual Fund		4987		
Lombard Securities Incorporated	LOMB	0279Δ	0279†	CNS	Madison Investment Advisors, LLC/Ultra Series Fund		3765		
Long (S.G.) & Company	SGLC	0235Δ	0235†	CNS	Madison Williams and Company Magnus (E.) Oppenheim & Co., Inc.	MWCO		0443†	CNS
Long Island Financial Group, Inc	LIFG	0309Δ	0309†	CNS	Maguire Investments, Inc.	EMOC	0750Δ	0750†	CNS
Longbow Securities, LLC	LBOW	0443Δ			Maia Securities, Inc.	MAIA	0235Δ	0235†	CNS
Longleaf Partners Funds		4863			Main Street Management Company	MSMC		0188†	CNS
Loomis Sayles Trust Company, LLC		3755			Maine Securities Corporation	MSCB	0279Δ		
Loop Capital Markets, LLC	LOOP	0443Δ	0443†	CNS	Mainsail Group, LLC		5411		
Lord Abbett Distributors		5500			Managed Account Services, LLC	MASE		0141†	CNS
Loring Ward Securities, Inc.		5672			Managers Investment Group, LLC		5736		
Louis Capital Markets, L.P.	LOUI	0501Δ			Manhattan Beach Trading Financial Services, Inc.	MBTS	0158Δ	0158†	CNS
Lovell Incorporated	LEVL		0279†	CNS	Manning & Napier Investor Services, Inc.		5753		
Lowell & Company	LOWL	0309Δ	0309†	CNS	Manning (V.M.) & Co., Inc.	MANI	0750Δ	0750†	CNS
LPL Financial Corporation	YLPL	0075	0075	CNS	Manor Investment Funds, Inc.		5709		
LPL Financial Corporation/LPL Insurance		4747			Manufacturers & Traders Trust Company	MTSD		0922	TFT
LTC Investment Services, Inc.	AIAI		0226†	CNS	Manufacturers & Traders Trust Company/TPA		2128		
Lucia Securities, LLC	HLIX	0235Δ	0235†	CNS	Manufacturers and Traders Trust Company		0990		
Lucia Securities, LLC		6900							

Alphabetical Reference

April 2012

Manulife Securities Inc./CDS		5047			McAdams Wright Ragen, Inc.	MWRI	0226Δ	0226†	CNS
Maple Securities USA, Inc.	MAPL	0269			McCamish Systems, LLC		6403		
Maplewood Investment Advisors, Inc.	MPLW	0226Δ	0226†	CNS	McClurg Capital Corporation	MCCL	0443Δ	0443†	CNS
Marco Polo Securities Inc.	DVNE	0049Δ	0443†	CNS	McCourtney-Breckenridge & Company	MCTY	0235Δ	0235†	CNS
Marcus Schloss & Co., Inc.	MSCA	0418Δ	0418†	CNS	McDonnell, Inc.	MDON	0727Δ		
Mark Boyar & Co., Inc.	BOYR		0443†	CNS	McGowan (J.P.) & Company, Inc.	JPMC		0443†	CNS
Marquis Financial Services, Inc.	MAFS	0052Δ	0052†	CNS	McKelvey (George) Co., Inc.	GMCK	0226Δ	0226†	CNS
Marsco Investment Corporation	MRSC	0287	0287	CNS	McKenna (D.B.) & Co., Inc.	DBMC		0725†	CNS
Martinez-Ayme Securities	AYME	0052Δ	0052†	CNS	McKim Capital, Inc.	ROND	0750Δ	0750†	CNS
Marv Capital Inc.	NTCP	0279Δ			McKinnon & Company Inc.	MCKN	0158Δ	0158†	CNS
Mason Securities, Inc.	MSIE		0443†	CNS	McLiney & Company	MCLI		8039	TFT
Massachusetts Mutual Life Insurance Co./Fund Operations		4534			McMahan Securities Co. L.P.	MMAN		0443†	CNS
Massachusetts Mutual Life Insurance Company		4545			McMillion Securities, Inc.	MCME	0702Δ	0702†	CNS
Matrix Capital Group, Inc.	MATX	0158Δ	0158†	CNS	McNicol, Lewis & Vlak LLC	MLVM	0161Δ	0161†	CNS
Matrix Capital Group, Inc.		5681			McNicol, Lewis & Vlak LLC	MLVT	0049Δ		
Matrix Capital Group, Inc. / The Monteaagle Funds		6697			MDB Capital Group, LLC	MDBC	0226Δ	0226†	CNS
Matrix Capital Group, Inc./360 Funds		5695			Means Investment Company, Inc.	MEAN		0226†	CNS
Matrix Capital Group, Inc./Amidex		6606			MEB Options, LLC	MEBO	0695Δ		
Matrix Capital Group, Inc./Catalyst Funds		5527			Mediterranean Securities Group, LLC	MSGP	0052Δ		
Matrix Capital Group, Inc./Compass EMP Funds		6607			Meeschaert Capital Markets, Inc.	WMEI	0279Δ	0279†	CNS
Matrix Capital Group, Inc./Congressional Effect Fund		5637			Mell (W.H.) Associates, Inc.	MELL		0443†	CNS
Matrix Capital Group, Inc./Delux Funds		3748			Mellin Securities, Inc.	MELN	0235Δ	0235†	CNS
Matrix Capital Group, Inc./Frank Funds		5372			Melvin Securities, L.L.C.	MLVN	0443Δ	0443†	CNS
Matrix Capital Group, Inc./JAG Funds		3603			Melvin Securities, LLC	MSMM	0100Δ		
Matrix Capital Group, Inc./Nest Egg Funds		5694			Mercadien Securities	MERC	0235Δ	0235†	CNS
Matrix Capital Group, Inc./Shields & Company		5843			Mercator Associates, LLC	MERQ	0158Δ	0161†	CNS
Matthew 25 Fund, Inc.		6637			Mercator Associates, LLC	MTOR	0158Δ		
Matthews (Joseph) & Co.	JMAT	0750Δ			Mercer Trust Company		0347		
Max International Broker/ Dealer Corp	MAXI	0309Δ			Mercer Trust Company		7103		
Maxim Group LLC	MXMS	0050Δ			Merchant Capital, LLC	MCLL		6733	TFT
Maxim Group, LLC	MAXM	0443Δ	0443†	CNS	Mercor Securiteis LLC	MSLC	0017Δ		
Maxwell Simon Inc.	MXSI	0309Δ	0309†	CNS	Meridian Equity Partners Inc.	MEPT	0158Δ		
MBS Capital Markets, LLC	MBSL		0443†	CNS	Meridian Equity Partners Inc.	MERP	0443Δ		
MBSC Securities Corporation	MBSC	0161Δ	0161†	CNS	Meritus Financial Group, Inc.	MEFG	0727Δ	0727†	CNS
MBSC Securities Corporation		5523			Merlin Securities, LLC	MERL	0352Δ	0352†	CNS
MBSC Securities Corporation/Mellon Bank N.A. (MCM)		6657			Merlin Securities, LLC	RLIN	0501Δ		
MBSC Securities Corporation/Mellon Bank N.A. (SMAM)		6538			Merrill Lynch Pierce Fenner & Smith Incorporated	WVBD	0161Δ	0161†	CNS
MBSC Securities Corporation/Mellon Bank, NA (TBC)		6598			Merrill Lynch Professional Clearing Corp.	PRST	0551	0551	CNS
MBSC Securities Corporation/Mellon Global Funds		6615			Merrill Lynch Professional Clearing Corp./Order Desk	PROR	0551Δ		
MBSC Securities Corporation/The Bank of New York Mellon		5913			Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	0161	CNS
					Merrill Lynch, Pierce, Fenner & Smith Inc.	MLTX	0161Δ		
					Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLBB	0651Δ		
					Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLBC	0651Δ		
					Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLMA	0161Δ	0161†	CNS
					Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLPK	0161Δ		
					Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLRM	0161Δ		

Alphabetical Reference

April 2012

Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLSE	0161Δ			Merrion Securities, LLC	MERG	0501Δ		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLSK	0161Δ			Merrion Securities, LLC	MERS	0352Δ	0352†	CNS
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLSL	0161Δ			Mesirow Financial, Inc.	MSRO	0727	0727	CNS
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTA	0161Δ			MetLife Insurance Company of Connecticut		4583		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTC	0161Δ			MetLife Investors Insurance Company		4505		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTE	0161Δ			MetLife Investors USA Insurance Company		4602		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTI	0161Δ			Metlife Securities, Inc.	MSII	0443Δ	0443†	CNS
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTJ	0161Δ			MetLife Securities, Inc.		0484		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTK	0161Δ			Metlife Securities, Inc./Metlife Defined Contribution Group		0597		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTL	0161Δ			Metlife Securities, Inc./TPA		7131		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLUA	0161Δ			Metropolitan Life Insurance Company		5777		
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLUB	0161Δ			Meyers Associates, L.P.	MYLG	0052Δ	0052†	CNS
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLUC	0161Δ			Meyers Associates, L.P.	MYRS	0750Δ	0750†	CNS
Merrill Lynch, Pierce, Fenner & Smith Incorporated	PXCJ	0161Δ			MFR Securities, Inc.	MFRS		0443†	CNS
Merrill Lynch, Pierce, Fenner & Smith Incorporated/Fixed Income	BOFA	0773	0773	CNS	MFS Distributors Inc.		5516		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	BCEP	0551Δ			MFS Heritage Trust Company		6605		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	BCEX	0161Δ			MFS International Funds		5840		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCA	0161Δ			MG Trust Company, LLC		5954		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCB	0161Δ			MGI Securities Inc./CDS	MGIS	5008Δ		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCC	0161Δ			MHA Financial Corp.	MHAF		0352†	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCD	0161Δ			MICG Investment Management	MICG		0141†	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCG	0161Δ			Michigan Securities, Inc.	MSIM		0226†	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLEL	0161Δ			Mid Atlantic Capital Corp.	MACC	0226Δ	0226†	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLEX	0161Δ			Mid Atlantic Capital Corp.		0101		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLTQ	0161Δ			Mid Atlantic Capital Corp./Sungard-Hinsdale		0102		
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLTV	0161Δ			Mid Florida Equities, Inc.	MOFO	0750Δ		
Merrill Lynch, Pierce, Fenner & Smith, Inc./BAI		0424			Midamerica Financial Services, Inc.	MFSI	0052Δ		
Merrimac Corporate Securities, Inc.	MERR	0158Δ	0158†	CNS	Midas Securities Group, Inc.		5890		
Merrimack Valley Investment Inc.	MKVA	0472			Middlegate Securities Ltd.	MDGS	0226Δ	0226†	CNS
Merriman Curhan Ford & Company	MERI	0443Δ	0443†	CNS	Midland National Life Insurance Company		4709		
					Midland National Life Insurance Company		7248		
					Midland National Life Insurance Company/Sammons Retirement Solutions		4758		
					Mid-Ohio Securities Corp.	MIOH		0226†	CNS
					Midsouth Capital, Inc.	MIDS	0235Δ	0235†	CNS
					Midwestern Securities Trading Company, LLC	MSTC		0226†	CNS
					Midwood Securities Inc.	MDWD	0743Δ	0141†	CNS
					Milkie Ferguson Investments, Inc.	MIFI		0226†	CNS
					Millegan (J.W.), Inc.	JWML	0235Δ	0235†	CNS
					Millennium Advisors, LLC	MADV		0226†	CNS
					Miller Tabak & Co., LLC	MTCN	0443Δ	0443†	CNS
					Miller, Tabak & Co.	MTCO	0352Δ	0352†	CNS
					Millington Securities, Inc.	MTON	0279Δ		
					Minnesota Life Insurance Company		4560		
					Minnesota Life Insurance Company/Securian Life Insurance Company		4745		

Alphabetical Reference

April 2012

Minnesota Valley Investments	MVII	0235Δ	0235†	CNS	Morgan Stanley & Co. LLC	MSMP	0050Δ		
Mirae Asset Securities(USA) Inc.	MASU	0158Δ			Morgan Stanley & Co. LLC		5857		
Mischler Financial Group, Inc.	MISL	0161Δ	0161†	CNS	Morgan Stanley & Co. LLC/Advisor Funds		4970		
Mismi, Inc.	MISM	0442Δ	0161†	CNS	Morgan Stanley & Co. LLC/Dublin Liquidity		6646		
Mission Securities Corporation	MSEC	0750Δ	0750†	CNS	Morgan Stanley & Co. LLC/Liquidity Funds		5767		
Mitaa Global Securities	CHKG	0158Δ	0158†	CNS	Morgan Stanley & Co. LLC/Morgan Stanley Investment Funds		4944		
Mitchell Securities Corporation of Oregon	MORE	0361Δ			Morgan Stanley & Co. LLC/Universal Institutional Inc		5512		
Mitsubishi UFJ Securities (USA), Inc.	MUFG	0076	0076	CNS	Morgan Stanley & Co., Inc.	MSNY	0015Δ	0015†	CNS
Mizuho Securities (USA) Inc./Fixed Income		2396			Morgan Stanley & Co., Inc.	MSOT	0050Δ		
Mizuho Securities USA Inc.	FUJI		0443†	CNS	Morgan Stanley & Co., Inc.	MSTW	0050Δ		
Mizuho Securities USA Inc.	MZHO	0892			Morgan Stanley Broker Dealer Services		5232		
MKM Partners LLC	MKMP	0161Δ			Morgan Stanley Smith Barney LLC	DEAN	0015	0015	CNS
MML Bay State Life Insurance Company		4546			Morgan Stanley Smith Barney LLC	MSPW	0050Δ	0050†	CNS
MML Investors Services, Inc.		0255			Morgan Stanley Smith Barney LLC	MSSB	0418Δ	0418†	CNS
MML Investors Services, LLC	GRPS		0226†	CNS	Morgan Wilshire Securities, Inc.	MWSI	0226Δ	0226†	CNS
MND Partners, Inc.	MNDX	0161Δ			Morgan, Keegan & Company, Inc.	MOKE	0780	0780	CNS
MND Partners, Inc.	MNDY	0161Δ	0161†	CNS	Morgenthau & Associates, Inc.	MORG	0750Δ	0750†	CNS
Mogavero, Lee & Co., Inc.	MOGA	0501Δ			Morton Clarke, Inc.	MCFM		0226†	CNS
Moloney Securities	MOLO	0235Δ	0235†	CNS	Motif Investing, Inc.	MOTF	0158Δ		
Momentum Trading Partners, LLC	MPLM	0651Δ	0651†	CNS	Mountainview Securities, LLC	MVSC	0443Δ		
Monarch Bay Associates, LLC	MBAY	0052Δ			MPS Global Securities, LLC	MPSG	0161Δ	0161†	CNS
Monarch Capital Group LLC	MNRC	0443Δ	0443†	CNS	MS Securities Services, Inc.	MSSS		0050†	CNS
Monarch Financial Corporation of America	MFCA		0141†	CNS	MTG, LLC	MTGO	0158Δ		
Money Market One Institutional Investment Dealer	MYMK		0443†	CNS	MTL Equity Products, Inc.	MTLE	0235Δ	0235†	CNS
Monness, Crespi, Hardt & Co., Inc.	MWCC	0501Δ			Multi Financial Securities Corporation		0466		
Monroe Securities Inc.	MONR	0158Δ	0050†	CNS	Multi-Bank Securities, Inc.	MTBK		0443†	CNS
Montag & Joselson	MOJO		0103†	CNS	Multi-Financial Securities Corporation/Vestax Securities Corporation		0444		
Montage Securities, LLC	MTSL		0226†	CNS	Multi-Financial Securities Group	MULT		0443†	CNS
Montecito Advisors, Inc.	MAWI	0103Δ	0103†	CNS	Multinvestments, Inc.	MTVN	0352Δ	0352†	CNS
Montecito Advisors, Inc.	MORF	0158Δ			Mundoval Funds		4902		
Montrose Securities International	MSIT	0161Δ			Municenter, LLC (The)	MCTR	0161Δ	0161†	CNS
Monumental Life Insurance Company/Peoples		4565			Municipal Capital Market Group	MCMG	0309Δ		
Moors & Cabot, Inc.	MCBT	0141Δ	0141†	CNS	Municipal Capital Markets Group, Inc.	MCMG		0309†	CNS
Moors & Cabot, Inc.	MCIN	0161Δ	0161†	CNS	Municipal Partners	MUNP		0443†	CNS
Morgan Creek Capital Management, LLC		3681			Murphy & Durieu	MURF	0158Δ	0158†	CNS
Morgan Joseph Triartisan LLC	MJCO	0279Δ			Murphy & Durieu	MURG	0103Δ		
Morgan Stanley & Co. Inc.	MSED	0050Δ			Murphy & Durieu	MURP	0041	0041	CNS
Morgan Stanley & Co. Inc.	MSEE	0050Δ			Mutual Money Investments, Inc.	TRSR		0279†	CNS
Morgan Stanley & Co. Inc.	MSEF	0050Δ			Mutual of Omaha Investor Services, Inc.	MOIS	0235Δ	0235†	CNS
Morgan Stanley & Co. Inc.	MSEG	0050Δ			Mutual of Omaha Investor Services, Inc.		0398		
Morgan Stanley & Co. Inc.	MSEH	0050Δ			Mutual Securities, Inc.	CBOL	0226Δ	0226†	CNS
Morgan Stanley & Co. Inc.	MSEI	0050Δ			Mutual Service Corporation	MLPL	0075Δ		
Morgan Stanley & Co. Inc.	MSEJ	0050Δ			Mutual Trust Co. of America Securities	MTCA	0279Δ		
Morgan Stanley & Co. Inc.	MSEK	0050Δ			MV Securities Group, Inc.	MVSG	0226Δ	0226†	CNS
Morgan Stanley & Co. Incorporated	MSEA	0050Δ			MVP Financial, LLC	FMVP	0595Δ		
Morgan Stanley & Co. Incorporated	MSEB	0050Δ			MVP Financial, LLC	MVFN	0158Δ		
Morgan Stanley & Co. LLC	MSCO	0050	0050	CNS	MYD Market, Inc	MYDM	0226Δ	0226†	CNS
Morgan Stanley & Co. LLC	MSEL	0050Δ							
Morgan Stanley & Co. LLC	MSET	0050Δ							
Morgan Stanley & Co. LLC	MSML	0050Δ							

Alphabetical Reference

April 2012

Mystockfund Securities, Inc.	MSFS	0052Δ	0052†	CNS	NBCN, Inc./CDS	FMAF	5008•		
N.A. Investments Services, Inc.	NAIS		0443†	CNS	NBF Securities (USA) Corp.	NBFI	5008Δ		
Nab Securities, LLC	NACM	0443Δ			NCP Northland Capital Partners (USA) Inc.	NCPU	0158Δ		
NAFA Capital Markets, LLC	NAFA	0158Δ	0158†	CNS	NDX Trading, Inc.	NDXT	0279Δ	0279†	CNS
Nanes Delorme Capital Management, LLC	NDCM	0352Δ	0352†	CNS	Needham & Company, LLC	NEED	0352Δ	0352†	CNS
NASDAQ Execution Services, LLC	BRUT	0568			Needham & Company, LLC		5587		
NASDAQ Execution Services, LLC	DARQ	0568Δ			Neidiger, Tucker, Bruner, Inc.	NTBC	0279Δ	0279†	CNS
NASDAQ Execution Services, LLC	INET	0568Δ			Neiman Funds		5738		
NASDAQ Execution Services, LLC	NQRB	0568Δ			Nelnet Capital LLC	UFSM	0750Δ	0750†	CNS
NASDAQ Execution Services, LLC	NSDQ	0759			Nelnet Capital LLC/College Savings Group		6583		
NASDAQ OMX BX, INC	NQBX	0163	0163	CNS	Nelnet Capital, LLC		5880		
NASDAQ OMX PHLX LLC	NQPX	0237			Nelson (Martin) & Co., Inc.	MNCO	0279Δ	0279†	CNS
NASDAQ Options Services, LLC	ILND	0520Δ			Nelson Securities, Inc.	NELS	0235Δ	0235†	CNS
NASDAQ Options Services, LLC	NQOP	0520			Nelsonreid, Inc.	TIGC	0235Δ	0235†	CNS
NASDAQ Options Services, LLC	PHLY	0520Δ			Neonet Securities, Inc.	NEON	0158Δ	0158†	CNS
NASDAQ Stock Market, LLC. (The)	CAES	0734			Nesbitt Thomson Securities, Inc.	NTSI		0443†	CNS
National Alliance Securities Corporation	NACL	0309Δ	0309†	CNS	Nestlerode & Co., Inc.	NSRD	0235Δ	0235†	CNS
National Banc Financial Inc.	NBKT	5008Δ			Network 1 Financial Securities Inc.	NTFN	0052Δ	0052†	CNS
National Bank Financial Inc./CDS	NBFC	5008Δ			Neuberger & Berman Management, Inc.		5810		
National Bank Financial of Canada Inc.	PTLV	0443Δ			Neuberger & Berman Management, Inc./AMT Funds		5665		
National Financial Services Corporation	NFSC	0226	0226	CNS	Neuberger Berman Management Inc./Lehman Brothers Alpha Funds		6681		
National Integrity Life Insurance Company		4550			Neuberger Berman Management Inc./Lehman Brothers Collective Trust		6591		
National Life Insurance Company of Vermont		4555			Neuberger Berman, LLC	NBLB	0352Δ	0352†	CNS
National Planning Corp.		0668			New Castle Financial Group, Inc	NCFS	0052Δ	0052†	CNS
National Securities Corporation	NAPK	0052Δ	0052†	CNS	New England Securities Corp.		0707		
National Securities Corporation	NATL	0226Δ	0226†	CNS	New England Securities Corporation	NESS	0443Δ	0443†	CNS
National Securities Corporation		6472			New Horizons Asset Management Group, LLC	NHMG		0226†	CNS
National Security Life and Annuity Co.		4656			New Windsor Associates, L.P.	WINS	0352Δ	0352†	CNS
National Stock Exchange	CINN	0738			New York Life Insurance and Annuity Corp.		4548		
Nations Financial Group, Inc.	NFGR		0141†	CNS	New York Life Insurance and Annuity Corporation/Fixed Income		4571		
Nationwide Fund Distributors, LLC		6559			Newbridge Securities Corporation	BRGE	0052Δ	0052†	CNS
Nationwide Investment Services Corp.		0263			Newbury Street Capital Limited Partnership	NSCB	0443Δ	0443†	CNS
Nationwide Life & Annuity Insurance Company		4577			Newcourt Securities, Ltd.	NWCT	0309Δ		
Nationwide Life Insurance Co./Income Products		4530			Newedge Canada/CDS		5003		
Nationwide Life Insurance Co./Variable Life		4650			Newedge USA LLC/Equity Clearing Division	PCAP	0608	0608	CNS
Nationwide Life Insurance Company		4514			Newedge USA, LLC	FIMU	0608Δ		
Nationwide Life Insurance Company/Group Annuity		4515			Newedge USA, LLC	FMAT	0718	0718	CNS
Nationwide Life Insurance Company/NLICA		4576			Newedge USA, LLC	NEAT	0608Δ		
Nationwide Securities, LLC		0605			Newedge USA, LLC	NEBH	0608Δ		
NativeOne Institutional Trading, LLC	NOIT	0161Δ	0161†	CNS	Newedge USA, LLC	NEBW	0608Δ		
Natixis Securities Americas LLC	ABLE	0031	0031	CNS	Newedge USA, LLC	NEGB	0608Δ		
Navaid Financial Services	PHRS	0309Δ			Newedge USA, LLC	NELD	0608Δ		
Navaid Financial Services, Inc.	PHRS		0309†	CNS	Newedge USA, LLC	NENB	0608Δ		
Navigate Advisors LLC	NVGT	0158Δ			Newedge USA, LLC	NEPB	0608Δ		
NavPoint, LLC	NAVP	0443Δ			Newedge USA, LLC	NESP	0608Δ		
					Newedge USA, LLC	NETT	0608Δ		

Alphabetical Reference

April 2012

NewOak Capital Markets LLC	NEWO	0443Δ	0443†	CNS	Northern Lights Distributors, LLC/Altrius Small Cap Value Fund	3742
Newport Coast Securities, Inc.	NCSI	0158Δ	0158†	CNS	Northern Lights Distributors, LLC/Arrow Funds	4824
Newport Group Securities, Inc.		7218			Northern Lights Distributors, LLC/Ascendant Funds	3743
Newtek Securities, LLC	REVA	0052Δ	0052†	CNS	Northern Lights Distributors, LLC/Astor Long/Short ETF Fund	5400
Nexcore Capital, Inc.	NEXC	0750Δ			Northern Lights Distributors, LLC/Autopilot Managed Growth Fund	6506
Next Financial Group, Inc.	NEXT		0443†	CNS	Northern Lights Distributors, LLC/Avant Funds	3713
Nextrend Securities, Inc.	NTNT	0158Δ	0158†	CNS	Northern Lights Distributors, LLC/Bandon Isolated Alpha Fixed Income Fund	5393
NFP Securities, Inc.	PSII		0226†	CNS	Northern Lights Distributors, LLC/Beech Hill Total Return Fund	5129
NFP Securities, Inc.		0481			Northern Lights Distributors, LLC/Biondo Fund	5477
NFSCO - Stock Loan		5157			Northern Lights Distributors, LLC/Bishop Volatility Flex Fund	5364
NGAM Distribution, L.P.		5542			Northern Lights Distributors, LLC/Black Knight Funds	6540
NGAM Distribution, L.P./Hansberger Funds		5525			Northern Lights Distributors, LLC/Boyar Value Fund	5796
NGAM Distribution, L.P./Loomis Sayles Funds		5714			Northern Lights Distributors, LLC/BTS Bond Asset Allocation Fund	5401
NGAM Distribution, L.P./Natixis International funds (Dublin) I		6678			Northern Lights Distributors, LLC/Chadwick & D'Amato Fund	5382
NGAM Distribution, L.P./Natixis International funds (LUX) I		6677			Northern Lights Distributors, LLC/CIFG Funds	5378
NI Advisors	NIAD	0158Δ	0158†	CNS	Northern Lights Distributors, LLC/CMG Absolute Return Strategies Fund	6541
Nicholas Company, Inc.		5590			Northern Lights Distributors, LLC/Copeland Risk Managed Dividend Growth Fund	5395
Nikoh Securities Corporation	NIKH	0750Δ	0750†	CNS	Northern Lights Distributors, LLC/CWC Aggressive Value Small Cap Fund	5379
Niphix Investments, Inc.	NIPH	0052Δ	0052†	CNS	Northern Lights Distributors, LLC/Diversified Risk Parity Fund	5304
Noble International Investments	NOBL	0443Δ	0443†	CNS	Northern Lights Distributors, LLC/EAS Funds	5701
Noesis Capital Corp.	NOES	0352Δ	0352†	CNS	Northern Lights Distributors, LLC/Foxhall Global Trends Fund	5319
Nollenberger Capital Partners Inc.	NCPI		0141†	CNS	Northern Lights Distributors, LLC/Generations	5941
Nomura Securities International, Inc.	NMRA	0180			Northern Lights Distributors, LLC/Ginkgo Multi-Strategy Fund	3744
Nomura Securities International, Inc.	NMRB	0180Δ			Northern Lights Distributors, LLC/GL Beyond Income Fund	3301
Nomura Securities International, Inc./Fixed Income		5222			Northern Lights Distributors, LLC/GMG Defensive Beta Fund	5934
Nordberg Capital Inc.	NORD	0352Δ			Northern Lights Distributors, LLC/GPS Multiple Strategy Fund	3707
North Atlantic Securities, L.L.C.	NOAS	0309Δ	0309†	CNS	Northern Lights Distributors, LLC/Grant Park Managed Futures Strategy Fund	5615
North Ridge Securities Corp.	NRSC		0443†	CNS		
North Sea Securities, L.P.	OAKF	0052Δ	0052†	CNS		
North South Capital LLC	NOSO	0443Δ				
North Star Investment Services, Inc.	ABYL		0226†	CNS		
North Woodward Financial Corp.	NWFC	0309Δ	0309†	CNS		
Northeast Investors Growth Fund		5821				
Northeast Investors Trust		5778				
Northeast Retirement Services, Inc		7104				
Northeast Securities Inc.	NESC	0352Δ	0352†	CNS		
Northern Capital Sec. Corp.	NORC	0235Δ	0235†	CNS		
Northern Lights Distributors, LLC		4915				
Northern Lights Distributors, LLC/13D Activist Fund		3796				
Northern Lights Distributors, LLC/7Twelve Balanced Fund		5604				
Northern Lights Distributors, LLC/Adaptive Allocation Fund		6694				
Northern Lights Distributors, LLC/AdvisorOne Funds		4904				
Northern Lights Distributors, LLC/Altegris Mutual Funds		5333				
Northern Lights Distributors, LLC/Alternative Strategies Mutual Fund		5946				

Alphabetical Reference

April 2012

Northern Lights Distributors, LLC/Gratio Value/S Fund	5758	Northern Lights Distributors, LLC/Princeton Futures Strategy Fund	5381
Northern Lights Distributors, LLC/Horizon Active Asset Allocation Fund	3614	Northern Lights Distributors, LLC/PSI Funds	5335
Northern Lights Distributors, LLC/Hundredfold Funds	3767	Northern Lights Distributors, LLC/PTA Funds	5924
Northern Lights Distributors, LLC/IASG Managed Futures Strategy Fund	3617	Northern Lights Distributors, LLC/Puerto Rico Growth Fund	6624
Northern Lights Distributors, LLC/Innealta Funds	3795	Northern Lights Distributors, LLC/Quantitative Managed Futures Strategy Fund	3756
Northern Lights Distributors, LLC/Investment Partners Opportunities Fund	5414	Northern Lights Distributors, LLC/Roge Partners Funds	4933
Northern Lights Distributors, LLC/Iron Horse Fund	3724	Northern Lights Distributors, LLC/SCA Funds	5396
Northern Lights Distributors, LLC/JNF Portfolios	3701	Northern Lights Distributors, LLC/SFG Futures Strategy Fund	3610
Northern Lights Distributors, LLC/KCM Macro Trends Fund	5041	Northern Lights Distributors, LLC/Sierra Core Retirement Fund	5628
Northern Lights Distributors, LLC/Kottke Commodity Strategies Fund	3615	Northern Lights Distributors, LLC/SouthernSun Funds	6604
Northern Lights Distributors, LLC/Ladenburg Thalmann Alternative Strategies Fund	5344	Northern Lights Distributors, LLC/Tatro Capital Tactical Appreciation Fund	3708
Northern Lights Distributors, LLC/Linde Hansen Contrarian Value Fund	3616	Northern Lights Distributors, LLC/The Collar Fund	5927
Northern Lights Distributors, LLC/Makefield Managed Futures Strategy Fund	3714	Northern Lights Distributors, LLC/The Currency Strategies Fund	6696
Northern Lights Distributors, LLC/Mariner Hyman Beck Fund	3794	Northern Lights Distributors, LLC/The FX Strategy Fund	3722
Northern Lights Distributors, LLC/Miller Convertible Funds	5622	Northern Lights Distributors, LLC/The Giralda Fund	3716
Northern Lights Distributors, LLC/MutualHedge Funds	5130	Northern Lights Distributors, LLC/The Lacerte Guardian Fund	5403
Northern Lights Distributors, LLC/Navigator Equity Hedged Fund	5394	Northern Lights Distributors, LLC/The Multi-Strategy Growth & Income Fund	3784
Northern Lights Distributors, LLC/Nile Funds	5359	Northern Lights Distributors, LLC/The Saratoga Advantage Trust	4959
Northern Lights Distributors, LLC/North Country Funds	5433	Northern Lights Distributors, LLC/Timothy Plan	6518
Northern Lights Distributors, LLC/North Star Opportunity Fund	3783	Northern Lights Distributors, LLC/Toews Funds	5906
Northern Lights Distributors, LLC/OCM Gold Fund	6663	Northern Lights Distributors, LLC/TOPS Portfolios	3711
Northern Lights Distributors, LLC/Pacific Financial Funds	5644	Northern Lights Distributors, LLC/Tributary Funds	5853
Northern Lights Distributors, LLC/Peregrine Gold Silver Alpha Strategy Fund	3758	Northern Lights Distributors, LLC/Triex Fund	3757
Northern Lights Distributors, LLC/Power Income Fund	5332	Northern Lights Distributors, LLC/Two Oaks Fund	3751
Northern Lights Distributors, LLC/Princeton Credit Income Fund	3304	Northern Lights Distributors, LLC/Vertical Capital Income Fund	3769
		Northern Lights Distributors, LLC/Wade Core Destination Fund	5939
		Northern Lights Distributors, LLC/Wintrust Capital Funds	5740

Alphabetical Reference

April 2012

Northern Lights Distributors, LLC/WOA All Asset I		3632			Oakmark Funds (The)		4851		
Northern Lights Distributors, LLC/Zeo Strategic Income Fund		3715			OBDS Securities LLC	OBDS	0695Δ		
Northern Securities Inc./CDS	NTHN	5080•			Oberweis Securites, Inc.	OBWS	0226Δ	0226†	CNS
Northern Trust Company (The)		2669			Oberweis Securities, Inc.		5697		
Northern Trust Company (The)		6625			Obex Securities LLC	OBEX	0158Δ	0158†	CNS
Northern Trust Company (The) - Trust Income Collections		0993			O'Brien & Shepard, Inc.	OBSH	0279Δ	0279†	CNS
Northern Trust Company (The)/Sub-Advised Collective Funds Trust-LSV		3698			Obsidian Financial Group LLC	GSCL	0750Δ	0750†	CNS
Northern Trust Company/Fixed Income Investment Fund, a Fund of the Chicago Equity Partners Group Trust		3772			Obsidian Financial Group LLC	OFGL	0158Δ		
Northern Trust Company/Great Banc Collective Investment Trust I		6689			OC Securities, Inc.	OCSI	0158Δ		
Northern Trust Company/Mondrian Wal-Mart Focused International Equity Fund		4900			Ocean Cross Capital Markets LLC	TBMB	0309Δ	0309†	CNS
Northern Trust Securities, Inc.	NTRC	0226Δ	0226†	CNS	O'Connor & Company Securities Inc.	OCON		0103†	CNS
Northland Securities, Inc.	NORT	0443Δ	0443†	CNS	Octagon Capital Corp./CDS	OTGN	5042•		
Northpoint Trading Partners, LLC	NPNT	0501Δ			Octavus, LLC	STRT		0352†	CNS
Northpoint Trading Partners, LLC	NPTP	0443Δ			OCTEG LLC	OCTG	0341		
Northstar Financial Partners	NSFP	0235Δ	0235†	CNS	Odeon Capital Group	ODNC	0161Δ	0161†	CNS
Northwestern Mutual Investment Services, LLC		0171			OES Brokerage Services, LLC	ARCB	0161Δ		
Northwestern Mutual Life Insurance Company		4590			OFG Financial Services Inc.	OFGF	0235Δ	0235†	CNS
Noyes (David A.) & Co.	NOYS		0141†	CNS	Ogilvie Security Advisors Corporation	OTSC		0443†	CNS
NRP Financial, Inc.	OFCC		0352†	CNS	Ohio National Life Insurance Company		4526		
NSM Securities, Inc.	NSMS	0750Δ	0750†	CNS	Olivetree USA, LLC	OTUS	0443Δ		
NSX Securities LLC	NSXS	0442Δ			Olmsted & Mulhall, Inc.	OLMM	0158Δ	0158†	CNS
Nunami Services, LLC	NAMA	0501Δ			Olson, Cross & Alamo LLC	OCAC	0235Δ	0235†	CNS
Nunami Services, LLC	NAMB	0330Δ			Olstein Associates, Inc.		5775		
Nunami Services, LLC	NAMD	0501Δ			Olympia Asset Management, Ltd.	OMPA	0158Δ	0158†	CNS
Nunami Services, LLC	NAMI	0695Δ			Olympus Securities, LLC	OLMP	0052Δ	0052†	CNS
Nuveen Securities, LLC	NVEN	0448	0448	CNS	OM Financial Life Insurance Company		7231		
Nuveen Securities, LLC		5520			OM Financial Life Insurance Company/Old Mutual (Bermuda) Ltd.		7242		
Nuveen Securities, LLC/Dublin Funds		4828			OM Securities, LLC	OMSL	0158Δ		
Nuveen Securities, LLC/Nuveen Funds		5869			Omega Research Corporation	DXSI	0279Δ		
NW Capital Markets Inc.	NWCM	0279Δ	0279†	CNS	One America Securities, Inc		5315		
NY Life Securities, Inc.	NYLS		0226†	CNS	OneAmerica Funds, Inc.		5689		
NYFIX Transaction Services, Inc.	NYTS	0501Δ			O'Neil (William) & Co. Inc.	ONEL	0161Δ	0161†	CNS
NYLIFE Securities, LLC		5539			Online Brokerage Services, Inc.	GLBZ	0158Δ	0443†	CNS
NYLIFE Securities, LLC/Collective Trust		5787			Oppenheimer & Close Inc.	POPP	0443Δ	0443†	CNS
NYLife Securities, LLC/New York Life Insurance Company Group Annuity Contracts		5363			Oppenheimer & Co., Inc.	OPCO	0571	0571	CNS
NYPPEX, LLC	NYPP	0235Δ	0235†	CNS	Oppenheimer & Co., Inc.	WMAG	0571Δ		
O N Equity Sales Co.	ONES		0443†	CNS	Oppenheimer Trust Company		0303		
O.N. Equity Sales Company (The)		0092			OppenheimerFunds Distributor, Inc.		5511		
O.N. Equity Sales Company (The)/Ohio National		4753			OppenheimerFunds Distributor, Inc./Mass Mutual Institutional Funds		5844		
Oak Ridge Financial Services Group, Inc. (The)	EQTS	0279Δ	0279†	CNS	OppenheimerFunds Distributor, Inc./MM Separate Investment Accounts		3697		
Oakbrook Investment Brokers, Inc.	OBTG	0235Δ	0235†	CNS	OppenheimerFunds Distributor, Inc./New Mexico 529 Plan		4941		
					OppenheimerFunds Distributor, Inc./Oregon 529 Product		5470		
					Optionshouse Corporation	EZOP	0158Δ		
					Optionshouse, Inc.	OPHS	0501Δ		
					OptionsXpress, Inc.	OXPS	0338	0338	CNS
					Optiver US, LLC	OPTU	0695Δ		
					Oriental Financial Services	ORTL		0443†	CNS
					Orion Trading, LLC	OREO	0158Δ		

Alphabetical Reference

April 2012

Orion Trading, LLC	OREO	0158†	CNS	Penson Financial Services				
Oscar Gruss & Son, Incorporated	OGRU	0161Δ	0161†	CNS	Canada #4/CDS	FICA	5082•	
Oscar Gruss & Son, Incorporated		0420			Penson Financial Services, Inc.	PBBS	0158Δ	
OTA Limited Partnership	OTAA	0551Δ			Penson Financial Services, Inc.	PEAR	0436Δ	
OTA, LLC	OTAM	0050Δ			Penson Financial Services, Inc.	PEEL	0158Δ	0158† CNS
OTA, LLC	OTAS	0551Δ			Penson Financial Services, Inc.	PFAA	0158Δ	
Otkritie Inc.	OTKR	0352Δ	0352†	CNS	Penson Financial Services, Inc.	PFAB	0442Δ	
OTR Global Trading LLC	OTRT	0551Δ			Penson Financial Services, Inc.	PFAC	0158Δ	
Pace (A.J.) & Co., Inc.	AJAY	0352Δ			Penson Financial Services, Inc.	PFAE	0158Δ	
Pacific American Securities, LLC	PAMS		0443†	CNS	Penson Financial Services, Inc.	PFAJ	0158Δ	
Pacific Commonwealth Corporation	PCMC	0750Δ			Penson Financial Services, Inc.	PFAR	0099Δ	
Pacific Crest Securities	PACS	0226Δ			Penson Financial Services, Inc.	PFAS	0695Δ	
Pacific Financial Associates, Inc.	PFAI	0750Δ			Penson Financial Services, Inc.	PFBC	0158Δ	
Pacific Global Fund, Inc.		4860			Penson Financial Services, Inc.	PFBI	0158Δ	
Pacific Growth Equities, LLC	GROW	0161Δ	0161†	CNS	Penson Financial Services, Inc.	PFCL	0158	0158 CNS
Pacific Investment Securities Corp.	PISC	0750Δ			Penson Financial Services, Inc.	PFDM	0158Δ	
Pacific Life & Annuity Company		4589			Penson Financial Services, Inc.	PFCT	0158Δ	
Pacific Life Insurance Company		4532			Penson Financial Services, Inc.	PFCY	0158Δ	
Pacific Life Insurance Company/ Life Division		6545			Penson Financial Services, Inc.	PFDL	0158Δ	
Pacific Life Insurance Company/ Life Division		4616			Penson Financial Services, Inc.	PFDT	0158Δ	
Pacific Select Distributors, Inc.		5478			Penson Financial Services, Inc.	PFDU	0158Δ	
Pactical Capital Corp.	PCCN		0443†	CNS	Penson Financial Services, Inc.	PFZ	0158Δ	
Palmieri (Angnardo) & Co., Inc.	DPAA	0235Δ	0235†	CNS	Penson Financial Services, Inc.	PFEC	0158Δ	
Paloma Securities	PLMA	0352Δ	0352†	CNS	Penson Financial Services, Inc.	PFED	0158Δ	
Panamerica Securities	PANA		0443†	CNS	Penson Financial Services, Inc.	PFEN	0158Δ	
Pangburn Company, The		7145			Penson Financial Services, Inc.	PFJD	0158Δ	
Papamarkou Wellner & Co.	PAPA	0352Δ			Penson Financial Services, Inc.	PFJL	0158Δ	0158† CNS
Paradigm Funds		5476			Penson Financial Services, Inc.	PFNY	0158Δ	
Pareto Securities USA	NORP	0443Δ	0443†	CNS	Penson Financial Services, Inc.	PFNZ	0294Δ	
Pariter Securities, LLC	FJRF		0226†	CNS	Penson Financial Services, Inc.	PFOB	0158Δ	
Park Avenue Securities LLC	PASC		0226†	CNS	Penson Financial Services, Inc.	PFQU	0158Δ	
Park Avenue Securities, LLC		0496			Penson Financial Services, Inc.	PFRC	0158Δ	
Parker (S.C.) & Co., Inc.	PARK	0443Δ	0443†	CNS	Penson Financial Services, Inc.	PFRD	0695Δ	
Parnassus Investments		5783			Penson Financial Services, Inc.	PFRG	0158Δ	
Partners Investment Network, Inc.	DJRC	0235Δ	0235†	CNS	Penson Financial Services, Inc.	PFRJ	0158Δ	
Paulsen Securities Inc.	PAUS	0352Δ	0352†	CNS	Penson Financial Services, Inc.	PFRK	0158Δ	
Paulson Investment Company, Inc.	PAUL	0235Δ	0235†	CNS	Penson Financial Services, Inc.	PFRO	0158Δ	
Payden & Rygel Distributors		5535			Penson Financial Services, Inc.	PFSB	0158Δ	
PCBB Capital Markets, LLC	BIGS	0352Δ	0352†	CNS	Penson Financial Services, Inc.	PFSG	0158Δ	
PDQ ATS	PDQM	0161Δ			Penson Financial Services, Inc.	PFSN	0158Δ	
Peachtree Capital Corporation	PCCA		0226†	CNS	Penson Financial Services, Inc.	PFSY	0352Δ	
Penates Group Inc.	BOBO	0235Δ	0235†	CNS	Penson Financial Services, Inc.	PFTK	0158Δ	
Pencal Administrators, Inc.		6150			Penson Financial Services, Inc./CDS	PFTM	0330Δ	
Penn Investment Group, Inc. (The)	PIGS		0443†	CNS	Penson Financial Services, Inc.	PFTW	0161Δ	
Penn Mutual Life Insurance Company		4572			Penson Financial Services, Inc./CDS	PITG	0099Δ	
Pennaluna & Company Inc.	PENA	0226Δ	0226†	CNS	Pentegra Distributors, Inc.	ECEE	5063•	
Pennsylvania Group Incorporated (The)	PENG		0443†	CNS	Pentest Securities Inc.	RSDI	0052Δ	0052† CNS
Penrod Financial Group	PENC	0052Δ	0052†	CNS	People's Securities, Inc.	PVST	0052Δ	
Penserra Securities, LLC	PNSA	0161Δ	0161†	CNS	Peraza Capital and Investment, LLC	PEOP	0220	
Penserra Securities, LLC	PNSR	0161Δ	0161†	CNS	Peraza Capital and Investment, LLC	PECA	0279Δ	0279† CNS
Pension Planners Securities, Inc.	PPSI	0235Δ	0235†	CNS	Percival Financial Partners, Ltd.	PERZ	0158Δ	0158† CNS
Penson Financial Services Canada #2/CDS	PFSC	5091•			Perdue Securities, LLC	PERC	0158Δ	0158† CNS
					Performance Trust Capital Partners, Inc.	PERD	0100Δ	
					Perkins, Smart & Boyd, Inc.	BBNI		0443† CNS
						PERK	0309Δ	

Alphabetical Reference

April 2012

Permac Securities	PMAC	0158Δ			Polar Investment Counsel, Inc.	PICI	0279Δ	0279†	CNS
Pershing Advisor Solutions, LLC	PASL	0443Δ	0443†	CNS	Pond Equities	POND		0141†	CNS
Pershing LLC	PERB	0443Δ			Popular Securities, Inc.	POPI		6779	TFT
Pershing LLC	PERS	0443	0443	CNS	Popular Securities, Inc.	POPS		0226†	CNS
Pershing LLC	PERX	0443Δ			Popular Securities, Inc.		5687		
Pershing LLC, Principal Trading	PERT	0443Δ			Portales Partners, LLC	TANA	0443Δ		
Peters & Co. Limited/CDS		5014			Porter Christie Partners, L.P.	PCCM	0352Δ		
Petrie Parkman & Company, Inc.	PTRI		0443†	CNS	Portfolio Advisors A	PAAI	0235Δ	0235†	CNS
PFS Funds		6683			Portfolio Brokerage Services Inc.	PBSI	8052	8052	CNS
PFS Investment Inc.		0468			Portsmouth Financial Services	PMFS	0443Δ	0443†	CNS
PGR Securities, LLC	PGRS		0443†	CNS	Powell (Elmer E.) Company	POWL	0443Δ	0443†	CNS
PHD Capital	PHDC	0052Δ	0052†	CNS	Powell Capital Markets, Inc.	POCM		0443†	CNS
Philadelphia Brokerage Corporation	FRTH	0226Δ			Prager, Sealy & Co., LLC	PMLC	0443Δ	0443†	CNS
Philadelphia Investors, Ltd.	PHIN		0443†	CNS	Pragma Securities LLC	PRAG	0161Δ		
Phillips & Company Securities, Inc.	PHCO	0443Δ	0443†	CNS	Prebon Financial Products Inc.	PBON	0501Δ	0501†	CNS
PHL Variable Life Insurance Company		4582			Prebon Financial Products Inc.	PFPI	0651Δ	0443†	CNS
PHL Variable Life Insurance Company/Part Advisor		4711			Prebon Financial Products Inc.	PREB	0501Δ		
Phoenix Life Insurance Company		4579			Precision Securities LLC	PREC	0100Δ		
Phoenix Life Insurance Company/Single Premium Deferred Annuities		4538			Preferred Client Group, Inc.	PFCG	0279Δ	0279†	CNS
PI Financial Corp./CDS	PCFF	5075•			Preferred Product Network, Inc.		4744		
Pickering Energy Partners, Inc.	PICK	0161Δ	0161†	CNS	Residential Bank, FSB		5987		
Pictet Canada L.P./CDS	PICF	5027•			Residential Brokerage, Inc.	PRSB		0141†	CNS
Pictet Overseas, Inc.	PICT	5027Δ			Residential Brokerage, Inc.		6904		
PIMCO Investments LLC		4991			Presidio Capital Advisors, LLC	PRES	0352Δ	0352†	CNS
PIMCO Investments LLC/Global Investor Series		4836			Presidio Financial Services, Inc.	DSSI	0226Δ	0226†	CNS
Pinnacle Capital Markets, LLC	FRWY	0158Δ	0158†	CNS	Pressprich (R.W.) & Company Inc.	RWPS	0352Δ	0352†	CNS
Pinnacle Investments, LLC	PINA		0226†	CNS	Prestige Financial Center, Inc.	PSTG	0543Δ		
Pinnacle Investments, LLC		4925			Primary Capital , LLC	JLEO	0052Δ		
Pinnacle Investments, LLC/Tarkio Fund		3609			Primary Capital, LLC	PMRY	8072Δ		
Pinney Insurance Center, Inc.		6028			Prime Capital Services, Inc.	PMCS	0226Δ	0226†	CNS
Pioneer Investment Management USA Inc.		5502			Prime Capital Services, Inc.		0665		
Pioneer Investment Management USA Inc./Pioneer Funds International		5743			Prime Executions, Inc.	SIBO	0284Δ		
Piper Jaffray & Co.	PIPR	0311	0311	CNS	Prime Global Securities, Inc.	PGSI		0443†	CNS
Piper Jaffray & Co.	PIPS	0311Δ			Prime Solutions Securities, Inc.	STLR	0235Δ	0235†	CNS
Piper Jaffray & Co.	PIPX	0311Δ			PrimeVest Financial Services, Inc.	BANK	0701	0701	CNS
Pirrone & Co., Inc.	PIRR		0443†	CNS	Princeton Securities, Group, Inc.	PRSG	0501Δ		
Planmember Securities Corporation		0489			Principal Life Insurance Company		4592		
Planned Investment Co., Inc.	PICC	0235Δ	0235†	CNS	Principal Life Insurance Company/Pension Division		4665		
Planner Securities, LLC	CASH	0158Δ	0158†	CNS	Principal Life Insurance Company/Principal National Life Insurance Company		4752		
PMK Securities & Research, Inc.	PMKS		0141†	CNS	Princor Financial Securities, Inc.	PFSM	0188Δ		
PNC Bank N.A.	PNCM		2835	TFT	Princor Financial Services		0375		
PNC Bank, N.A.		2616			Princor Financial Services Corporation		5546		
PNC Bank, N.A./IPS		2317			Princor Financial Services Corporation /Principal Life Insurance Company		5607		
PNC Investments	PNCC	0226Δ	0226†	CNS	Princor Financial Services Corporation/PGI		5212		
PNC Investments	PNCI	0768Δ	0768†	CNS	Princor Financial Services Corporation/Principal Funds		5836		
Podesta & Co.	PODE	0235Δ	0235†	CNS	Princor Financial Services Corporation/Union Bond & Trust		4811		
Point Capital Markets, Inc.	PTCM	0443Δ			Princor Financial Services, Inc./M		0175		
Pointe Capital, LLC	PONT	0052Δ	0052†	CNS	Pritchard Capital Partners, LLC	TPCP	0442Δ		
Pointe Capital, LLC	PRBC	0235Δ	0235†	CNS	Private Client Services, LLC		6011		
					Private Portfolio, Inc.	PRPO		0443†	CNS

Alphabetical Reference

April 2012

ProEquities	PROE	0443Δ	0443†	CNS	PSG Executions, Inc.	PSGX	0501Δ		
Professional Asset Management, Inc.	PAMI		0141†	CNS	PTI Securities & Futures L.P.	PTIS	0235Δ	0235†	CNS
Professional Asset Management, Inc.	PRAS	0727Δ	0727†	CNS	PTI Securities & Futures L.P.	PTIX	0017Δ		
Professional Funds Distributor, LLC		5151			Pulaski Bank	PULB		0052†	CNS
Professional Funds Distributor, LLC/PNC Funds		5879			Pulse Trading, Inc.	PULT	0443Δ		
Professional Funds Distributor, LLC/Roxbury Funds		6620			Pulse Trading, Inc.	PULX	0443Δ		
Professional Funds Distributor, LLC/Wilmington Funds		5550			Puma Capital, LLC	PUMA	0158Δ		
Professional Investments Services, Inc.	PFIS	0279Δ	0279†	CNS	Puplava Securities, Inc.	PUPL	0226Δ	0226†	CNS
Profinancial Inc.	PFFI		0279†	CNS	Purshe Kaplan Sterling Investments	SARG		0226†	CNS
ProFunds Distributors, Inc.		4969			Pursuit Partners, LLC	PURS	0161Δ	0161†	CNS
Progressive Asset Management	PAMC		0226†	CNS	Putnam Retail Management	PROG		0226†	CNS
Promark Securities, Inc.	ACCI		0279†	CNS	Putnam Retail Management Limited Partnership		5505		
Prospera Financial Services	ADSO		0141†	CNS	Putnam Retail Management Limited Partnership/Embassy Funds		5893		
Protected Investors of America	PIAC	0226Δ			PWMCO, LLC	MPWA	0467	0467	CNS
Protected Investors of America, Inc.	PROT		0141†	CNS	QA3 Financial Corp.	QAFQ	0052Δ	0052†	CNS
Protective Life and Annuity Insurance Company		4540			QS Investors, LLC		3766		
Protective Life Insurance Company		4503			QTrade Securities Inc./CDS		5009		
Protective Life Insurance Company of New York		4629			Quantex Clearing, LLC	QNTX	0294		
PRUCO Life Insurance Company		4597			Quantitative Analysis Services, Inc.	QANL	0443Δ		
PRUCO Life Insurance Company of NJ		4598			Quantlab Securities LP	ETAI	0873Δ		
Pruco Securities, LLC	PRUC		0141†	CNS	Quantlab Securities LP	FQLB	0396Δ		
Prudential Annuities Life Assurance Corporation		4504			Quantlab Securities LP	FQLS	0396Δ		
Prudential Equity Group, LLC	PRGL		0141†	CNS	Quantlab Securities LP	QETC	0873Δ		
Prudential Insurance Co. (The)		4596			Quantlab Securities, LP	LABQ	0158Δ		
Prudential Insurance Company of America		4968			QuantRiver Financial, LLC	QRQR	0158Δ		
Prudential Insurance Company of America/Prudential Insurance Co. of America		4733			Quantum Edge Derivatives Trading LLC	QEDA	0695Δ		
Prudential Insurance Company of America/Prudential Ret. Insurance & Annuity Corp.		6525			Quasar Distributors, LLC		5368		
Prudential Insurance Company of America/Prudential Trust Company, Inc.		6526			Quasar Distributors, LLC/Aberdeen Offshore Funds		4957		
Prudential Investment Management Services, LLC	PIMS		0226†	CNS	Quasar Distributors, LLC/Aberdeen SHY Funds		6521		
Prudential Investment Management Services, LLC		0498			Quasar Distributors, LLC/Academy Fund Trust		5612		
Prudential Investment Management Services, LLC		5805			Quasar Distributors, LLC/ActivePassive Funds		5614		
Prudential Investment Management Services, LLC/Retirement		0450			Quasar Distributors, LLC/Aegis Funds		6612		
Prudential Investment Management Services, LLC/Worldwide Inv. Portfolio Funds		5746			Quasar Distributors, LLC/Akre Funds		5937		
PSA Equities, Inc.	PSAE		0141†	CNS	Quasar Distributors, LLC/AL Frank Fund		4993		
					Quasar Distributors, LLC/Alpha Capital Funds		5365		
					Quasar Distributors, LLC/Alpine Funds		5896		
					Quasar Distributors, LLC/America Trust Allegiance Fund		6638		
					Quasar Distributors, LLC/Appleton Group Funds		4935		
					Quasar Distributors, LLC/Artio Global Fund		6675		
					Quasar Distributors, LLC/Barrett Growth Fund		5480		
					Quasar Distributors, LLC/Boston Common Funds		5350		

Alphabetical Reference

April 2012

Quasar Distributors, LLC/Brandes Dublin Offshore	5911	Quasar Distributors, LLC/Glenmede Fund, Inc.	4955
Quasar Distributors, LLC/Brandes Investment Trust	5693	Quasar Distributors, LLC/Goodhaven Fund	3700
Quasar Distributors, LLC/Brandywine Funds	4978	Quasar Distributors, LLC/GPS Funds I	5495
Quasar Distributors, LLC/Bridges Investment Fund	5531	Quasar Distributors, LLC/GPS Funds II	5977
Quasar Distributors, LLC/Brookfield Investment Funds	3734	Quasar Distributors, LLC/Greenspring Fund	6513
Quasar Distributors, LLC/Brown Advisory Funds	5437	Quasar Distributors, LLC/Guinness Atkinson Funds	5754
Quasar Distributors, LLC/Buffalo Funds	4931	Quasar Distributors, LLC/Harding Loevner Funds, Inc.	4981
Quasar Distributors, LLC/Capital Advisor Growth Fund	5691	Quasar Distributors, LLC/Hatteras Funds	5449
Quasar Distributors, LLC/Chase Growth Funds	5626	Quasar Distributors, LLC/Hennessy Mutual Funds, Inc.	4869
Quasar Distributors, LLC/Coldstream Dividend Growth Fund	5327	Quasar Distributors, LLC/Hodges Fund	5792
Quasar Distributors, LLC/Congress Asset Management	5741	Quasar Distributors, LLC/Hotchkis & Wiley Funds	4984
Quasar Distributors, LLC/Contravisory Funds	5797	Quasar Distributors, LLC/Huber Capital Funds	6530
Quasar Distributors, LLC/Country Funds	4922	Quasar Distributors, LLC/Intrepid Capital Funds	4815
Quasar Distributors, LLC/Cove Street Funds	3749	Quasar Distributors, LLC/Investec Global Strategy Funds	5057
Quasar Distributors, LLC/Cushing Funds	5328	Quasar Distributors, LLC/Investec Offshore Funds	5755
Quasar Distributors, LLC/Davidson Funds	5945	Quasar Distributors, LLC/IronBridge Funds	5321
Quasar Distributors, LLC/Doubleline Funds	5353	Quasar Distributors, LLC/Jacob Internet Fund	4960
Quasar Distributors, LLC/Dow Jones Islamic Index Fund	5566	Quasar Distributors, LLC/Jensen Portfolio, Inc.	5491
Quasar Distributors, LLC/DSM Funds	5952	Quasar Distributors, LLC/Jordan Opportunity Fund	5917
Quasar Distributors, LLC/Duncan Hurst Aggressive Growth	6567	Quasar Distributors, LLC/Julius Baer Offshore Funds	5698
Quasar Distributors, LLC/Edgar Lomas Fund	5727	Quasar Distributors, LLC/Keystone Funds	5848
Quasar Distributors, LLC/Empiric Funds	5561	Quasar Distributors, LLC/Kinetics Mutual funds	6608
Quasar Distributors, LLC/Evermore Value Trust	5407	Quasar Distributors, LLC/Kirr Marbach Partners Fund, Inc.	6685
Quasar Distributors, LLC/Fort Pitt Capital Funds	5887	Quasar Distributors, LLC/Litman Gregory Funds	4892
Quasar Distributors, LLC/Frontegra Small Cap Core Fund	3736	Quasar Distributors, LLC/LKCM Funds	4883
Quasar Distributors, LLC/Fund * X Upgrader Fund	5666	Quasar Distributors, LLC/LoCorr Investment Trust	5569
Quasar Distributors, LLC/Geneva Advisors All Cap Growth Fund	6527	Quasar Distributors, LLC/MainGate MLP Funds	5366
Quasar Distributors, LLC/Genworth Funds	5864	Quasar Distributors, LLC/Mairs and Power Growth Fund	6546
Quasar Distributors, LLC/Gerstein Fisher Funds	5938	Quasar Distributors, LLC/Mariner Funds	5406
		Quasar Distributors, LLC/Marketfield Funds	6529

Alphabetical Reference

April 2012

Quasar Distributors, LLC/Matrix Advisors Value Fund, Inc.	4908	Quasar Distributors, LLC/Rockland Trust		5355	
Quasar Distributors, LLC/MD Sass Funds	5918	Quasar Distributors, LLC/Roosevelt Funds		5636	
Quasar Distributors, LLC/Monetta Funds	5766	Quasar Distributors, LLC/Scharf Funds		3771	
Quasar Distributors, LLC/Morgan Dempsey Funds	5354	Quasar Distributors, LLC/Schooner Growth & Income Fund		4723	
Quasar Distributors, LLC/Muhlenkamp Fund	4986	Quasar Distributors, LLC/Selector Management Fund		5729	
Quasar Distributors, LLC/Mutual.com	5847	Quasar Distributors, LLC/Selkirk Funds		3738	
Quasar Distributors, LLC/Muzinich Funds	3646	Quasar Distributors, LLC/Smead Value Fund		6686	
Quasar Distributors, LLC/New Covenant Funds	6536	Quasar Distributors, LLC/Standard Insurance		3719	
Quasar Distributors, LLC/New Path Funds	3770	Quasar Distributors, LLC/Strategic Income Management Funds		5905	
Quasar Distributors, LLC/Newgate Capital Funds	4727	Quasar Distributors, LLC/TCM Small Cap Growth Fund		4898	
Quasar Distributors, LLC/Niemann Fund	5317	Quasar Distributors, LLC/Teberg Fund		4916	
Quasar Distributors, LLC/Nuance Funds	5369	Quasar Distributors, LLC/The Snow Capital Family of Funds		4976	
Quasar Distributors, LLC/Osinda Long Short Equity Fund	5931	Quasar Distributors, LLC/Thomas White Funds		6636	
Quasar Distributors, LLC/O'Shaughnessy Funds	5318	Quasar Distributors, LLC/Thompson Plumb Funds		5557	
Quasar Distributors, LLC/Osterweis Fund	4840	Quasar Distributors, LLC/Tiedemann Funds		5731	
Quasar Distributors, LLC/Perkins Funds	5440	Quasar Distributors, LLC/Tortoise Core Infrastructure Fund		5168	
Quasar Distributors, LLC/Permanent Portfolio	6627	Quasar Distributors, LLC/Villere Balanced Fund		4886	
Quasar Distributors, LLC/Perritt Funds	5602	Quasar Distributors, LLC/Wall Street Fund		6626	
Quasar Distributors, LLC/Phocus Funds	6547	Quasar Distributors, LLC/WBI Funds		5326	
Quasar Distributors, LLC/Pictet Funds	5793	Quasar Distributors, LLC/Winslow Green Funds		6687	
Quasar Distributors, LLC/PineBridge Funds	5616	Quasar Distributors, LLC/WisCap Funds		6674	
Quasar Distributors, LLC/Poplar Forest Partners Fund	5404	Quasar Distributors, LLC/WY Funds		4874	
Quasar Distributors, LLC/Portfolio 21	4929	Quasar Distributors, LLC/Yackman Fund		5774	
Quasar Distributors, LLC/Primary Trend Fund	5858	Quattro M Securities Inc.	QMSR	0100Δ	
Quasar Distributors, LLC/PRIMECAP Odyssey Funds	4895	Queens Road Securities, LLC		4884	
Quasar Distributors, LLC/Prospector Funds	5901	Quest Capital Strategies, Inc.	QUEC	0158Δ	0158† CNS
Quasar Distributors, LLC/Purisma Funds	6643	Questar Capital Corp./Secondary		0527	
Quasar Distributors, LLC/Quaker Investment Trust	4885	Questar Capital Corporation	POOH		0443† CNS
Quasar Distributors, LLC/Rainier Funds	4876	Quoin Capital LLC	QUOI	0309Δ	0309† CNS
Quasar Distributors, LLC/RBC Funds Trust	5413	R H Investment Corporation	RHIC	0279Δ	0279† CNS
Quasar Distributors, LLC/Rochdale Funds	4990	R.F. Lafferty & Co., Inc.	LAFC	0158Δ	0158† CNS
		R.F. Lafferty & Co., Inc.	LAFF	0158Δ	0158† CNS
		R.W. Pressprich & Co, Inc	RWPC	0443Δ	
		R.W. Towt & Associates	TOWT	0750Δ	0750† CNS
		Rabo Securities USA, Inc.	RABO	0443Δ	
		Radnor Research & Trading Company, LLC	RRTC	0158Δ	

Alphabetical Reference

April 2012

Rafferty Capital Markets, LLC	JJKS	0161Δ	0161†	CNS	RBC Centura Securities, Inc.	CSIB		0443†	CNS
Rafferty Capital Markets, LLC	RAFF	0161Δ			RBC Dominion Securities Corporation	RYDS	0235Δ		
Rafferty Capital Markets, LLC	RCME	0161Δ	0161†	CNS	RBC Dominion Securities Inc./CDS	RBCF	5002•		
Rafferty Capital Markets, LLC	RCMI	0718Δ			RBS Securities Inc./Equities	RBSG	0425	0425	CNS
Rafferty Capital Markets, LLC		5726			RBS Securities, Inc.		0248		
Rafferty Capital Markets, LLC / Satuit Funds		5867			RD Capital Group, Inc.	RDCG	0443Δ		
Rafferty Capital Markets, LLC / Sparrow Funds		5908			RDM Investment Services, Inc.	RDMI		0226†	CNS
Rafferty Capital Markets, LLC/Acadia Mutual Funds		5387			RDSC, LLC	RDSS		0141†	CNS
Rafferty Capital Markets, LLC/Archer Funds		5124			Reassure Life Insurance Company		4608		
Rafferty Capital Markets, LLC/Berkshire Funds		5899			Red Capital Markets, Inc.	PSIN		0443†	CNS
Rafferty Capital Markets, LLC/Chou America Mutual Fund		5323			Redburn Partners (USA) LP	RDBN	0049Δ		
Rafferty Capital Markets, LLC/Entrepreneur Shares		5367			Redi Markets LLC	REDI	0158Δ	0158†	CNS
Rafferty Capital Markets, LLC/Epiphany Funds		6634			Redsky Financial, LLC	REDG	0099Δ		
Rafferty Capital Markets, LLC/Leuthold Funds		5656			RedSky Financial, LLC	RSFI	0608Δ		
Rafferty Capital Markets, LLC/Marketocracy Funds		6682			RedSky Financial, LLC	RSFO	0695Δ		
Rafferty Capital Markets, LLC/New Frontiers KC India Fund		3704			RedSky Financial, LLC	RSKY	0279Δ		
Rafferty Capital Markets, LLC/Oracle Funds		5131			Redwine & Company, Inc.	REWI		0443†	CNS
Rafferty Capital Markets, LLC/PIP New Generation Fund		3723			Reed (S.L.) & Company	SLRD	0352Δ	0352†	CNS
Rafferty Capital Markets, LLC/Ranger Funds Investment Trust		3775			Regal Securities, Inc.	RGLD	0158Δ	0158†	CNS
Rafferty Capital Markets, LLC/Tanaka Funds		5771			Regal Securities, Inc.	RGLS	0235Δ	0235†	CNS
Rainier Securities, LLC	RAIN		0226†	CNS	Regional Brokers, Inc.	RBII		0141†	CNS
RAIT Securities	RAIT		0161†	CNS	Regions Bank	FATN		6760	TFT
Ramat Securities Ltd.	RMAT	0352Δ	0352†	CNS	Regions Investment Services, Inc.		6359		
Ramirez Tradetrek Securities, LLC	TREK		0226†	CNS	Regis Securities Corporation	QSEC	0235Δ	0235†	CNS
Ramsey (M.) King Securities, Inc.	MRKS	0443Δ			Reich & Tang Distributors, Inc.		5811		
Raven Securities Corp.	RAMG	0050Δ			Reid & Rudiger, LLC	RRUD	0235Δ	0235†	CNS
Raven Securities Corp.	RAMG	0050Δ			Reid and Associates	REID		0141†	CNS
Raven Securities Corp.	RASG	0442Δ			Reinoso & Company, Incorporated	ROPK		0443†	CNS
Raven Securities Corp.	RASG	0442Δ			Reliance Trust Company		4896		
Raymond C. Forbes & Co., Inc.	RAYF	0161Δ	0161†	CNS	Reliance Trust Company		5962		
Raymond James & Associates, Inc.	RAJA	0725	0725	CNS	Reliance Trust Company/MetLife Stable Value Fund		5312		
Raymond James & Associates, Inc./FI	RJFI	0390	0390	CNS	Reliance Trust Company/SSB&T		3636		
Raymond James (USA) LTD.	RAJC	0158Δ			Reliance Trust Company/SWMS1		2042		
Raymond James Ltd./CDS	MCMF	5076•			Reliance Trust Company/SWMS2		2085		
RBC Capital Markets Corporation	DAIN	0235	0235	CNS	Reliance Worldwide Investments, LLC	RWWI	0279Δ	0279†	CNS
RBC Capital Markets Corporation	RBCD	0235Δ	0235†	CNS	Reliant Trading	RTRS	0352Δ	0352†	CNS
RBC Capital Markets Corporation	RBCM	0235Δ			Reliastar Life Insurance Company		4568		
RBC Capital Markets Corporation	RBCX	0235Δ	0235†	CNS	Reliastar Life Insurance Company of New York		4653		
RBC Capital Markets Corporation	RBDA	0501Δ			Reliastar Life Insurance Company/Life & Annuity Product Investment Trading		4652		
RBC Capital Markets Corporation/Retail		0071			Reliastar Life Insurance Company/Reliastar New York		4606		
RBC Capital Markets, LLC	GELP	0235Δ			Reliastar Life Insurance Company/Reliastar Retirement Plans		4603		
					Religare Capital Markets Inc.	RCUS	0049Δ		
					Renaissance Capital Greenwich Funds		5454		
					Rencap Securities, Inc.	RENC	0352Δ	0352†	CNS
					Rensselaer Securities Corporation	RENS	0158Δ	0158†	CNS
					Repex & Co., Inc.	RPEX	0352Δ	0352†	CNS
					Resource Horizons Group, LLC		0676		
					Retail Division of Wachovia Securities, Inc.	WRET	0141Δ	0141†	CNS

Alphabetical Reference

April 2012

Retirement Resources Investment Corp.	RRIC	0235Δ			Rosenblatt Securities Inc.	RBLT	0501Δ		
Reuven Enterprises Securities Division, Inc.	REUV	0158Δ	0158†	CNS	Rosenblatt Securities Inc.	ROSB	0161Δ	0161†	CNS
Revere Securities Corp.	KART	0158Δ	0158†	CNS	Rosenblatt Securities Inc.	ROSN	0501Δ		
Reynolds (Thomas P.) Securities Ltd.	REYN	0161Δ			Rosenblatt Securities Inc.		0233		
Reynolds Funds, Inc.		6573			Ross Sinclair & Associates, LLC	RSAI	0443Δ	0443†	CNS
RFS Partners		4989			Roth Capital Partners, LLC	ROTH	0158Δ	0158†	CNS
R-G Investment Corporation	RGIC		0443†	CNS	Rothschild Investment Corporation	RTHS	0443Δ		
RGM Securities, LLC	HBIW	0103Δ			Rowe (T.) Price Investment Services, Inc.		5586		
Rhino Trading Partners, LLC	RINO	0443Δ	0443†	CNS	Royal Alliance Associates, Inc.	RAAI		0226†	CNS
Rhodes Securities, Inc.	RHDS		0141†	CNS	Royal Alliance Associates, Inc.	ROYL	0443Δ	0443†	CNS
Rice Financial Products Company	APEX		0443†	CNS	Royal Alliance Associates, Inc.		0089		
Rice, Voelker LLC	CEON	0512Δ	0352†	CNS	Royal American Investment Services, Inc.	RAIS		0443†	CNS
Richards, Merrill & Peterson, Inc.	RMPI	8192	8192	CNS	Royal Securities Company	RYAL	0235Δ	0235†	CNS
Richfield Orion International, Inc	ROII	0279Δ			Royce Fund Services Inc.		5663		
Rideau (I.C.) Lyons and Co.	ICRL		0443†	CNS	RP Capital LLC	RPCP		0052†	CNS
Ridge Clearing & Outsourcing Solutions, Inc.	ADPC		0543†	CNS	RS Platou Markets, Inc.	PLAT	0443Δ		
Ridge Clearing & Outsourcing Solutions, Inc.	QRCC	0543	0543	CNS	RSG Capital Corp.	RAFI	0750Δ		
Ridgeway & Conger, Inc.	RWCI	0052Δ	0052†	CNS	Ruan Securities Corporation	RANS	0727Δ	0727†	CNS
Ridgewood Associates Inc. NJ	RGWD		0141†	CNS	Ruane, Cunniff & Goldbarb LLC	RCSK	0443Δ	0642†	CNS
Riedl, First Securities Company of Kansas	RIED	0235Δ	0235†	CNS	Ruane, Cunniff & Goldbarb LLC		3726		
Riley (B.) & Co., Inc.	RILY	0226Δ			Rushmore Capital Inc.	RMCI	0158Δ	0158†	CNS
Riley (E.K.) Investments, LLC	EKRI		0141†	CNS	Russell Financial Services, Inc.		5762		
RIM Securities LLC	ROCM	0443Δ			Russell Implementation Svcs., Inc. Pt of Russell Inv.	RSSE	0443Δ	0443†	CNS
River Cross Securities, LLLP	PRRX	0551Δ			Russell Trust Company		4832		
River Cross Securities, LLLP	RCSL	0551Δ			Russell Trust Company		5964		
Rivernorth Securities, LLC	RNSI	0017Δ			Ryan, Beck & Co.	RYAN		0443†	CNS
Riverstone Wealth Management, Inc.	RSWM		0141†	CNS	Rydex Distributors LLC		4912		
Riviere Securities Inc.	BCLT	0309Δ			S & P Investors Inc.	SPIV		0279†	CNS
Rivkin (H.) & Co., Inc.	HRIV	0158Δ			S. Goldman Capital LLC	SGCM	0161Δ	0161†	CNS
RJJ Pasadena Securities, Inc.	RJJZ	0443Δ			S.F. Investments, Inc.	SFPS	0443Δ	0443†	CNS
RNA Capital, Inc.	RNAC	0309Δ	0309†	CNS	Sabadell Securities USA, Inc.	SABS	0443Δ	0443†	CNS
Robeco Trust Company		5325			Safian Investment Research Inc.	SIRI		0352†	CNS
Robert B. Ausdal & Co., Inc.	RBAC	0235Δ	0235†	CNS	Safra Securities Corp.	SSCO	0443Δ		
Robert Van Securities, Inc.	RVSI		0103†	CNS	Sage, Ruty & Co., Inc.	SAGE		0141†	CNS
Robert W. Baird & Co.		4905			Sagepoint Financial, Inc		0144		
Roberts & Ryan Investments, Inc.	RRII		0443†	CNS	Sagepoint Financial, Inc.	AIGF		0443†	CNS
Robinson & Lukens, Inc.	RLUK	7607	7607	CNS	Sagepoint Financial, Inc.	AIGN		0226†	CNS
Robinson & Robinson, Inc.	ROBI	0235Δ	0235†	CNS	Sagepoint Financial, Inc./FAB		0522		
Robotti & Company, LLC	ROBT	0443Δ	0443†	CNS	Sagepoint Financial, Inc./FAI		0182		
Rochdale Securities, LLC	ROCH	0443Δ	0443†	CNS	Sagepoint Financial, Inc/ FA2		0556		
Rockfleet Financial Services	RCKF		0226†	CNS	Salman Partners Inc./CDS	SAPI	5049•		
Rockwell Global Capital, LLC	ROCK		0443†	CNS	Salt Creek Securities, LLC	SCRK	0103Δ		
Rockwell Securities LLC	RKWS	0158Δ	0158†	CNS	Samco Capital Markets, Inc.	SRAM	0158Δ	0158†	CNS
Rodecker & Co. Investment Brokers, Inc.	RODE		0443†	CNS	Sammons Securities Company, LLC	SMNS		0226†	CNS
Rodgers Brothers, Inc.	ROBO	0235Δ	0235†	CNS	Sammons Securities Company, LLC		5347		
Rodman & Renshaw LLC	HDSM	0161Δ	0161†	CNS	Sammons Securities Company, LLC/Sammons Financial Network LLC		3608		
Rodman & Renshaw LLC	HDSN	0161Δ	0161†	CNS	Samsung Securities Services, Inc.	SSNY	0651Δ		
Rodman & Renshaw, LLC	RODM	0443Δ	0443†	CNS	Samuel A. Ramirez & Company, Inc.	RREZ	0352Δ	0352†	CNS
Rogo Capital LLC	ROGO	0750Δ	0750†	CNS	Samuel A. Ramirez & Company, Inc.	RRPR		0443†	CNS
Romano Brothers and Company	ROMO	0141Δ	0141†	CNS	Samuels Chase & Co., Inc.	UMAS	0352Δ	0352†	CNS
Roosevelt & Cross, Incorporated	RCRS	6931	6931	CNS	Samurai Trading, LLC	SAMU	0103Δ		

Alphabetical Reference

April 2012

Sanderlin Securities, LLC	SSLC	0309Δ			Security Life of Denver/Mutual Funds			4668		
Sanderlin Securities, LLC	SSLC		0309†	CNS						
Sanders Morris Harris Inc.	SMHJ		0141†	CNS	Security Research Associates Inc.	SRES		0103Δ		
Sandgrain Securities, Inc.	GRIN	0443Δ	0443†	CNS	Security Research Associates, Inc.	SRFL		0443Δ		
Sandler, O'Neill & Partners, L.P.	SDLR	0352Δ	0352†	CNS	Security Research Associates, Inc.	SRFL			0443†	CNS
Sanford C. Bernstein & Co., LLC	BIRM	0013Δ			Seelaus (R.) & Co., Inc.	SEEL			0141†	CNS
Sanford C. Bernstein & Co., LLC	BLAV	0013Δ			Segerdahl and Company	SEGE			0443†	CNS
Santander Investment Securities Inc.	SANT	0158Δ			SEI Investments Distribution	SEIC	0352Δ		0352†	CNS
Santander Securities Corporation	SSPR		0443†	CNS	SEI Investments Distribution Co./Advisors Inner Circle Fund			5763		
Saperston Asset Management, Inc.	SAPA		0141†	CNS	SEI Investments Distribution Co./Causeway Capital Management Trust			4913		
Saratoga Capital Markets	SCAP	0595Δ			SEI Investments Distribution Co./CNI Charter Funds			6667		
Saratoga Capital Markets	SCSC	0161Δ	0161†	CNS	SEI Investments Distribution Co./CNI Charter Funds II			5559		
Saturna Brokerage Services, Inc.		4983			SEI Investments Distribution Co./CRA Funds			5748		
Saudi American Bank	SABF	0161Δ	0161†	CNS	SEI Investments Distribution Co./First Hawaiian Fund			5606		
Sauer Dazey Investments Co.	SDIC	0235Δ	0235†	CNS	SEI Investments Distribution Co./FMB Funds			5565		
Savings Bank Life Insurance Company of Massachusetts (SBLI)		6135			SEI Investments Distribution Co./Hancock Horizon Family of Funds			6691		
Savoy Capital Management, Inc.	SAVY	0235Δ	0235†	CNS	SEI Investments Distribution Co./RiverPark Funds Trust			5343		
Saxony Securities, Inc.	SAXO	0443Δ			SEI Investments Distribution Co./SEI Institutional Funds			5717		
Saybrook Capital Corporation	SAYB		0103†	CNS	SEI Investments Distribution Co./TD Asset Management USA Funds Inc.			6539		
Scarsdale Equities, LLC	SCAR	0443Δ			SEI Investments Distribution Co./UA S&P 500 Index Fund			4973		
SCF Securities, Inc.	SCFA		0226†	CNS	SEI Investments Distribution Co./Wilshire Funds			4875		
Schottenfeld Group LLC	SHOT	0501Δ			SEI Private Trust Company			2039		
Schroder Fund Advisors LLC		4956			SEI Private Trust Company			7110		
Schroder Fund Advisors LLC/Schroder Fund Advisors International Division		4853			SEI Private Trust Company/C/O/ GWP			2663		
Schwartz, Gregory J. & Co. Inc.	GJSS	0235Δ	0235†	CNS	SEI Trust Company			4952		
Scotia Capital (USA) Inc.	SCMC	0096			Seibert (J.D.) & Company, Inc.	SEIB	0158Δ		0158†	CNS
Scotia Capital Inc./CDS	SCMF	5011•			Seidel & Shaw, LLC	DAVW	0158Δ		0309†	CNS
Scottrade, Inc.	SCTO	0158Δ	0158†	CNS	Seidel & Shaw, LLC	SEID	0158Δ		0158†	CNS
Scottrade, Inc.	SSIC	0705			Selkirk Investments, Inc.	EMPR	0279Δ		0279†	CNS
Scottsdale Capital Advisors	JOHN	8072Δ			Seminole Financial	SEMT	0197Δ		0197†	CNS
Scottsdale Capital Advisors Corp.	SCAI	0158Δ			Sendero Securities, LLC	SEND	0352Δ			
Scottsdale Capital Advisors Corp.	SCAI		0158†	CNS	Sentinel Brokers Company	SEBR			0279†	CNS
Scout Trading LLC	SCTR	0103Δ			Sentinel Financial Services Company			5873		
SCS (USA) Inc.	SCSU	0158Δ			Sequoia Investments, Inc.	SEQU	0309Δ		0309†	CNS
Sea Port Group Securities, LLC	SPGS	0161Δ	0161†	CNS	Seslia Securities, Inc.	SESL	0443Δ		0158†	CNS
Seaboard Securities, Inc.	SEAB	0052Δ			Sethi Financial Investments	SSFG	0750Δ			
Seaboard Securities, Inc.	SEAI	0100Δ	0100†	CNS	Seton Securiteis Group, Inc.	SSGI	0442Δ		0443†	CNS
Seapine Securities, LLC	SEPN	0161Δ	0161†	CNS	Seven Points Capital, LLC	SEVP	0158Δ			
Seaport Securities Corp.	SEAP	0158Δ	0158†	CNS	Seven Points Capital, LLC	SPTS	0049Δ			
Searle & Co.	SERL	0443Δ	0443†	CNS	SF Sentry Securities, Inc.	SFSS	0352Δ		0352†	CNS
Second Market, Inc.	GRDK	0158Δ	0158†	CNS	SG Americas Securities, LLC	SGAS	0286		0286	CNS
Second Street Securities, Inc.	SECS	0161Δ	0161†	CNS	SG Americas Securities, LLC	SGOV	0286Δ		0286†	CNS
Secura Investment, Inc.	SECR	0727Δ								
Securevest Financial Group	MAMA	0352Δ	0352†	CNS						
SecureVest Financial Group	SVPB	0161Δ	0161†	CNS						
Securities America, Inc.	SAIN	0226Δ	0226†	CNS						
Securities America, Inc.		0590								
Securities Equity Group	DOVE		0226†	CNS						
Securities Industry Management Corp.	SIMC		0443†	CNS						
Securities Service Network, Inc		0247								
Securities Service Network, Inc.	SSNI	0226Δ	0226†	CNS						
Securitrade Corporation	BDAK	0727Δ	0727†	CNS						
Security Benefit Life Insurance Company		4527								

Alphabetical Reference

April 2012

Shareholders Service Group, Inc.	SSGR		0443†	CNS	Sorrento Pacific Financial, LLC		0346		
Shareholders Services Group Inc.	SSGR	0443Δ			Sorsby Financial Corp.	SORS	0235Δ	0235†	CNS
Shattuck Hammond Partners LLC	SHPL		6019	TFT	Soundview Technology Corporation	SNDV		0573†	CNS
Shaw (D.E.) Securities, LLC	SHAW	0352Δ			Source Capital Group, Inc.	SORE		0141†	CNS
Shay Financial Services, Inc.	SHAY	0443Δ	0443†	CNS	South Georgia Capital LLC		3414		
Shearman, Ralston, Inc.	RACO	0158Δ	0158†	CNS	Southwest Securities, Inc.	SEIN		0226†	CNS
Shelby Cullom Davis & Co., LP	DAVI		0226†	CNS	Southlake Capital LLC	SLAK	0279Δ	0279†	CNS
Shepard & Vrbanc Securities, Inc.	SPDV	0727Δ	0727†	CNS	Southside Securities, Inc.	SOUS	0309Δ	0309†	CNS
Sherman (David) & Co.	SHER	0727Δ			Southwest Securities, Inc.	SWST	0279	0279	CNS
Shoreline Trading Group LLC	SHTB	0352Δ	0352†	CNS	Southwestern Capital Market, Inc.	SCMT		0279†	CNS
Shoreline Trading Group LLC	SHTP	0158Δ			Souza Barros Securities, Inc.	SOUZ	0443Δ		
Shufro, Rose & Company, LLC	SHRE	0352Δ	0352†	CNS	Spartan Securities Group, Ltd.	MICA	0158Δ		
SIA Securities Corp.		5779			Specialist Clearance	SPCL	0352Δ		
Siberell (John A.) & Co.	SBRL	7014	7014	CNS	Spectrum Asset Management Inc.	SAMI	0352Δ	0352†	CNS
Sidoti & Company, LLC	SIDC	0158Δ			Spectrum Capital, Inc.	SPCA		0188†	CNS
Siebert (Muriel) & Co., Inc.	SBRT	0226Δ	0226†	CNS	Spencer Clarke LLC	SPEN		0443†	CNS
Siebert Brandford Shank & Co., LLC	SBSC		0226†	CNS	Spencer Edwards, Inc.	SEII	8072Δ		
Sierra Equity Group Ltd.	BBII	0235Δ	0235†	CNS	Spencer Edwards, Inc.	SPIN	0750Δ	0750†	CNS
Sierra Pacific Securities, LLC	SPAC	0309Δ	0309†	CNS	Spencer Trask Ventures, Inc.	STSI		0226†	CNS
Sigma Financial Corporation	SGFC		0226†	CNS	Spencer-Winston Securities Corporation	SPWI	0158Δ	0158†	CNS
Sigma Financial Corporation		5346			Spire Securities, LLC	SPLC		0226†	CNS
Signal Securities, Inc.	SGNL	0279Δ	0279†	CNS	Spreadzero, LLC	SZRO	0049Δ		
Signator Investors, Inc.	JHDI		0226†	CNS	Spring Street Partners, L.P.	SSPT	0352Δ	0352†	CNS
Signature Securities	SSGC	0226Δ	0226†	CNS	Spyglass Securities, LLC	SPYG	0052Δ	0052†	CNS
SignatureFD, LLC		3456			SRM Securities, Inc.	SRPR	0226Δ	0226†	CNS
SII Investments		0640			SSB - Bank Portfolio	STBK		2436	TFT
SII Investments, Inc.	SIIW		0443†	CNS	SSB-Trust Custody		2319		
Silver Leaf Partners, LLC	LEAF	0443Δ			St Bernard Financial Services, Inc	KEEN	0309Δ		
Simmons & Company International	SIMM	0443Δ	0443†	CNS	STAAR Investment Trust		6736		
Simmons First Investment Group, Inc.	SIGI	0309Δ	0309†	CNS	Stanchart Securities International, Inc.	SCFL		0443†	CNS
Sims (Herbert J.) & Co., Inc.	HJSC		0443†	CNS	Standard Chartered Securities (North America) Inc.	SCBS	0443Δ		
Sisung Securities Corp.	SSNG	0443Δ	0443†	CNS	Standard Credit Securities	SCSI	0443Δ	0443†	CNS
Sky Capital LLC	SKYC	0750Δ	0750†	CNS	Standard Insurance Company		4701		
Skyebanc Inc.	SKYE		0226†	CNS	Standard Investment Chartered, Inc.	STVT	0103Δ		
SL Hare Capital, Inc.	SLHC	0103Δ	0103†	CNS	Standard Securities Limited/CDS	STDS	5018•		
Sloan Securities Corp.	SLOA	0158Δ	0158†	CNS	Stark (R.M.) & Co., Inc.	RMST	0443Δ	0443†	CNS
Sloan Securities Corp.	SLON	0158Δ			Stark, Salter & Smith	SPSR		0279†	CNS
SMBC Nikko Securities America, Inc.	SUMI	0443Δ	6700	TFT	State Discount Brokers Inc.	STDB	0158Δ	0158†	CNS
SMF Trading, Inc.	SMFT	0158Δ			State Farm VP Management Corp.		4971		
SMH Capital Inc.	SMHI	0443Δ	0443†	CNS	State Street /ACH HR Solutions LLC/Ford Motor Company		2524		
Smith (E.H.) Jacobs & Co., Inc.	EHSC	0161Δ	0161†	CNS	State Street Bank & Trust Co./FBO Qualified Plans		5165		
Smith (R.W.) & Associates, Inc.	RWSM	0279Δ	0279†	CNS	State Street Bank & Trust Co./ACS HR Solutions, LLC/DTCC		5966		
Smith Hayes Financial Services Corp./Colorado Bondshares		5708			State Street Bank & Trust Co./ACS HR Solutions/Rio Tinto		5329		
Smith Hayes Financial Services Corporation	SHFS	0226Δ	0226†	CNS	State Street Bank & Trust Co./ACS/Glaxosmithkline		5623		
Smith Hayes Financial Services Corporation		3705			State Street Bank & Trust Co./ADP-Morgan Stanley		5991		
Smith Hayes Financial Services Corporation		5575			State Street Bank & Trust Co./AXA Equitable Life Insurance Company		0228		
Smith, Brown & Groover, Inc.	SGBI		0226†	CNS	State Street Bank & Trust Co./IBT		4946		
Smith, Moore & Co.	SMMO	0494	0494	CNS					
SNC Capital Management Corp.	SNCC	0158Δ							
Soloway & Co.	SLWY	0226Δ	0226†	CNS					
Soloway & Co.	SOLO	8006							

Alphabetical Reference

April 2012

State Street Bank & Trust Co./IBT-Account # 2	2767				Sterling Investments	SLIN	0052†	CNS
State Street Bank & Trust Co./Inst'l Custody	2132				Stern Fisher Edwards, Inc.	SFEI	0226†	CNS
State Street Bank & Trust Co./JP Morgan Retirement Plan Services	0130				Sterne Agee & Leach, Inc	SALC	0443Δ	0443† CNS
State Street Bank & Trust Co./JP Morgan Retirement Plan Services/Deluxe Cp	5435				Sterne Agee Capital Markets, Inc.	FGIS	0750Δ	
State Street Bank & Trust Co./JP Morgan Retirement Plan Services/Hallmark Cards Inc.	2547				Sterne Agee Capital Markets, Inc.	SACM	0750Δ	
State Street Bank & Trust Co./Mainstay	0487				Sterne Agee Financial Services	SAFS	0750Δ	0750† CNS
State Street Bank & Trust Co./NYLIM/SIP	5953				Sterne Agee Financial Services, Inc.	ITCC	0750Δ	0750† CNS
State Street Bank & Trust Co./Sanford Bernstein Alliance Capital	6519				Sterne, Agee & Leach, Inc.	SALI	0750	0750 CNS
State Street Bank & Trust Co./T. Rowe Price Retirement Plan Services	5968				Steven L. Falk & Associates	FALK	0235Δ	0235† CNS
State Street Bank & Trust Co./Wealth Management Services 2	2955				Stewart (W.P.) Securities Limited	WPST		0443† CNS
State Street Bank & Trust Co./Wealth Manager Services	6503				Stifel Nicolaus Canada Inc.	SFCN	5008Δ	
State Street Bank & Trust Co./Lincoln Retirement Services	3752				Stifel, Nicolaus & Company Incorporated	STFL	0793	0793 CNS
State Street Bank & Trust Company	2950				Stifel, Nicolaus & Company Incorporated	TWPL	0793Δ	0793† CNS
State Street Bank & Trust Company/JPM Retirement Plan Services/Bechtel	3629				Stillpoint Wealth Management, LLC	SPWM		0443† CNS
State Street Bank & Trust Company/JPMorgan/Pacificorp Plus Employees Savings Plan	3686				Stinson Securities, LLC	STIN		0103† CNS
State Street Bank & Trust Company/NRS/Bechtel NR Program DC Master Trust	3647				Stock Depot, Inc.	SDPT	0750Δ	
State Street Bank & Trust Company/NRS/Delphi	3687				Stock Traders	SKTR	0279Δ	0279† CNS
State Street Bank & Trust Company/NRS/Intel	5197				Stock USA Execution Services, Inc.	ALGO	0158Δ	0158† CNS
State Street Global Markets, LLC	SSBS	0189	0189	CNS	Stock USA Execution Services, Inc.	MSTR	0158Δ	
State Street Global Markets, LLC	SSGM	0226Δ	0226†	CNS	Stock USA Investments	SPTD	0158Δ	0158† CNS
State Street Global Markets, LLC	SSLL	0189Δ	0189†	CNS	Stockcross Financial Services, Inc.	STOS	0226Δ	0226† CNS
State Street Global Markets, LLC	5641				Stockcross Financial Services, Inc.	STOX	0445	0445 CNS
State Street Global Markets, LLC/State Street Collective Fund	6511				Stockcross Financial Services, Inc.	STXG	0445Δ	
State Street/ACS/ConAgra Foods	5100				Stoeber, Glass & Co. Inc.	STOV		6759 TFT
State Trust Capital, LLC	6576				Stoeber, Glass & Co., Inc.		6759	
State Trust Investments, Inc.	STTR		0443†	CNS	Stofan, Agazzi & Company, Inc.	SZZI		0141† CNS
StateTrust Investments Inc.	STTT	0052Δ	0052†	CNS	Stone & Youngberg LLC	STYO		0443† CNS
Steben & Company, Inc.	3841				Stone Securities Corp.	STNE		0226† CNS
SteelPoint Securities, LLC	SHIV		0226†	CNS	Stonecastle Securities, LLC	SCSS	0161Δ	0161† CNS
Stephen A. Kohn & Associates, Ltd.	SAKL		0226†	CNS	Stormharbour Securities LP	STHA	0235Δ	0235† CNS
Stephens, Inc.	SPHN	0419	0419	CNS	StormHarbour Securities LP	STHR	0352Δ	0352† CNS
Sterling Enterprise Group, Inc.	SEGI	0750Δ	0750†	CNS	Strand Atkinson Williams & York, Inc.			ATKC 0141† CNS
Sterling Grace Municipal Securities Co.	STGC	0279Δ	0279†	CNS	Strategas Research Partners, LLC	STRS	0161Δ	0161† CNS
					Strategic Capital Investments, LLC	SCIL	0052Δ	0052† CNS
					Strategic Financial Alliance (The)	TSFA		0443† CNS
					Stuart Frankel & Co., Inc.	STFC	0443Δ	
					Studness Research	STUD	0352Δ	
					Sturdivant & Co	STUR	0100Δ	
					Sturges Company (The)	TSCD	0235Δ	0235† CNS
					Success Trade Securities, Inc	STJT	0052Δ	
					Success Trade Securities, Inc.	STSS	0052Δ	
					Success Trade Securities, Inc.	VERN	0052Δ	
					Summer Street Research Partners	SUMM	0443Δ	
					Summit Alliance Securities, L.L.C.	SIGS	0443Δ	
					Summit Brokerage Services, Inc.	SMPR		0443† CNS
					Summit Brokerage Services, Inc.	SUMT	0141Δ	0141† CNS
					Summit Equities, Inc.	SEMQ		0226† CNS
					Sumridge Partners, LLC	SMRD		0352† CNS
					Sun Life Assurance Co. of Canada (U.S.)/Columbia Funds Distribution		4644	
					Sun Life Assurance Co. of Canada (U.S.)/Sun Life Financial Investments (Bermuda) Ltd.		4647	

Alphabetical Reference

April 2012

Sun Life Assurance Company of Canada (US)		4518			Symetra Investment Services, Inc.	SFCO	0427	0443†	CNS
Sun Life Assurance Company of Canada (US)		6794			Symetra Life Insurance Company		4609		
Sun Life Assurance Company of Canada/Life Business		4649			Symetra Life Insurance Company		5161		
Sun Life Insurance & Annuity Co. of NY (U.S.)/Columbia Funds Distribution		4645			Symetra Life Insurance Company/Symetra Fee Based		3618		
Sun Life Insurance & Annuity Co. of NY (U.S.)/Insurance Products		4646			Symetra Life Insurance Company/Symetra Mutual Funds Trust		3692		
Sun Life Insurance and Annuity Company of New York		4519			Symphonic Securities LLC	SYMP	0443Δ	0443†	CNS
Sunamerica Annuity and Life Assurance Company		4516			Syndicated Capital, Inc.	SYCA	0443Δ	0443†	CNS
Sunamerica Annuity and Life Assurance Company/SE2		4648			Syndicated Capital, Inc.		4881		
SunAmerica Capital Services, Inc. SunAmerica Capital Services, Inc./Valic		5596			Synergy Investment Group, LLC	SYNG	0158Δ		
SunAmerica Life Insurance Company		4507			Synergy Investment Group, LLC		7224		
Sunbelt Securities, Inc.	SBLT	0226Δ	0226†	CNS	Synovus Securities Inc.	CBTD	0226Δ	0226†	CNS
SunGard Brokerage & Securities Services LLC	ANDZ	0442			T. R. Winston McKinney & Company, LLC	TRWN	0443Δ	0443†	CNS
Sungard Institutional Brokerage Inc.	SIBI	0443Δ	0573†	CNS	T. Rowe Price Investment Services, Inc./SICAV Funds SICAV		4911		
Sungard Institutional Brokerage Inc.		6485			T. Rowe Price Retirement Plan Services, Inc.		7117		
Sungard Institutional Brokerage Inc./Intermediary Responses		6495			T. Rowe Price Investment Services Inc./ T. Rowe Price Trust Company		5907		
Sungard Institutional Brokerage, Inc.	SUNB	0442Δ			T.S Phillips Investments	TSPI		0141†	CNS
Sunrise Securities Corp.	SUNR	0161Δ	0161†	CNS	Taglich Brothers, Inc.	TAGS	0443Δ	0443†	CNS
Sunset Financial Services, Inc.	SSET		0226†	CNS	Tahoe Fixed Income LLC	TAFI	0750Δ	0750†	CNS
Sunstreet Securities, LLC	SUST	0235Δ	0235†	CNS	Take Charge Financial	TCFF	0750Δ		
SunTrust Bank - DTC #2971		2971			TBC Securities, LLC	TBCS	0309Δ		
SunTrust Bank/401K Mutual Funds Settlement		2810			TCAdvisors Network, Inc.	TCAN	0443Δ	0443†	CNS
SunTrust Capital Markets, Inc.	RHCO	0226Δ	0418†	CNS	TCM Capital, Inc.	TCMU		0443†	CNS
SunTrust Investment Services, Inc.	SSIN	0226Δ	0226†	CNS	TCT Securities & Derivatives, LLC	TCTD	0750Δ		
SunTrust Robinson Humphrey Inc	STCM	2482	2482	TFT	TCW Investment Management Company		6563		
SunTrust Securities, Inc.		0153			TD Ameritrade Clearing, Inc.	FOMA	0188	0188	CNS
Superior Financial Services, Inc.	SFSI	0235Δ	0235†	CNS	TD Ameritrade Clearing, Inc.		3867		
Surety Financial Services	MESI		0226†	CNS	TD Ameritrade Trust Company		5982		
Surge Trading Inc.	SURG	0100Δ			TD Ameritrade Trust Company		6566		
Susquehanna Capital Group	SUSQ	0551Δ	0551†	CNS	TD Ameritrade, Inc.	SWIM	0158Δ		
Susquehanna Financial Group, LLC	SUFI	0551Δ	0551†	CNS	TD Ameritrade, Inc.	TDAR	0188Δ	0188†	CNS
Susquehanna Financial Group, LLP	SFGB	0161Δ	0161†	CNS	TD Securities (USA) LLC	TDED	0158Δ		
Susquehanna Fixed Income, L.P.	SUSF		0551†	CNS	TD Securities (USA) LLC	TDNY	0551Δ		
Sutter Securities Incorporated	SUTT		0443†	CNS	TD Securities (USA) LLC	TDPA		0226†	CNS
SVB Securities, Inc./A Non-Bank Affiliate of Silicon Valley Bank	SVBS	0158Δ	0158†	CNS	TD Securities (USA) LLC	TDSI	0158Δ		
SWBC Investment Services, LLC	SWBC		0226†	CNS	TD Waterhouse - Norstar Securities/CDS	NSIF	5061•		
SWBT Securities, Inc.	SWTX		0443†	CNS	TD Waterhouse Canada Inc. #2/CDS	GLII	5005•		
Swedbank First Securities, LLC	SWFS	0443Δ			TD Waterhouse Canada Inc. #3		5033		
Sweney, Cartwright & Company	SWEN	7027	7027	CNS	TD Waterhouse Canada Inc. #5/CDS	GLIR	5021•		
Sword Securities Corporation	SWRD	0161Δ	0161†	CNS	TD Waterhouse Canada Inc. #6/ATP	GLIP	5062•		
					TD Waterhouse Canada Inc./CDS	GLIS	5036•		
					TD Waterhouse-ITG Canada/CDS		5035		
					Teachers Advisors, Inc.		5668		
					Teachers Advisors, Inc./Life Funds		5392		
					Teachers Insurance and Annuity Association of America		4693		
					Teachers Insurance and Annuity Association of America/TIAA-CREF Life		5683		

Alphabetical Reference

April 2012

Teckmeyer Financial Services	TFSL	0235Δ	0235†	CNS	TIAA-CREF Individual and Institutional Services, LLC	CREF	0443†	CNS
Tejas Securities Group, Inc.	TEJS	0158Δ	0158†	CNS	TIB The Independent Bankers Bank	TIBD	6412	TFT
Tejas Securities Group, Inc.	TSGI	0158Δ	0158†	CNS	Tibra Trading America LLC	TTAL	0695Δ	
Telsey Advisory Group LLC	ALPA	0161Δ	0161†	CNS	Ticonderoga Securities LLC	FORT	0443†	CNS
Telsey Advisory Group LLC	TAGC	0161Δ	0161†	CNS	Ticonderoga Securities LLC	REND	0226†	CNS
Templeton Sicav Funds/Franklin/Templeton Distributors Inc.		5690			Timber Hill LLC	TMBR	0549	0549 CNS
Terminus Securities, Inc.	TRMS	0309Δ	0309†	CNS	Title Securities, Inc.	DIRA	7081	7081 CNS
Terra Nova Financial, LLC	TNIS	0161Δ	0161†	CNS	Title Securities, Inc.	DIRL	0103Δ	
Terra Nova Financial, LLC	TNIT	0161Δ	0161†	CNS	Title Securities, Inc.	DIRX	0158Δ	
TFS Derivatives Corporation	TFSV	0595Δ			TJM Investments, LLC	TJMI	0551Δ	
TGH Securities, Inc.	TGHS		0443†	CNS	Tobias Bros. Inc.	TOBI	0158Δ	0158† CNS
The Bank of New York Mellon		0901			Tocqueville Securities L.P.		5862	
The Bank of New York Mellon /MIDCAP SPDRS		2209			Tocqueville Securities, L.P.	TOCQ	0443Δ	0443† CNS
The Bank of New York Mellon/Mellon Trust of New England, National Association		0954			Todd & Company, Inc.	TODD	0158Δ	
The Bank of New York Mellon/First Trust Exchange Traded Funds		0963			Toll (William M.)	TOLL	0352Δ	
The Bank of New York Mellon/Mellon Securities Trust Co.		0904			Tonge (R.M.) Company	TONG		0443† CNS
The Bank of New York Mellon/RRZ Public Markets, Inc.	RRZP		6033	TFT	Topeka Capital Markets, Inc.	TOPK	0501Δ	
The Bank of New York Mellon/Southtrust Bank of Alabama	SALA		6523	TFT	Torc Investments and Research LLC	TORA	0695Δ	
The Bond House	BHSE	0309Δ	0309†	CNS	Torc Investments and Research LLC	TORC	0161Δ	0161† CNS
The Fig Group, LLC	FIGG	0750Δ			Torc Investments and Research LLC	TORQ	0695Δ	
The Fig Group, LLC	FIGO	0049Δ			Torc Investments and Research LLC	TORX	0284Δ	
The Griswold Company, Incorporated	GVLD	0352Δ			Torino Capital LLC	TORI		0235† CNS
The MuniCenter, L.L.C	TMCC	0582	0582	CNS	Touchstone Securities Inc.		5711	
The Princeridge Group LLC	PRCO	0443Δ	0443†	CNS	Tourmaline Partners, LLC	TOUR	0501Δ	
The Rockwell Financial Group, Inc.	RFRC	0309Δ	0309†	CNS	Toussaint Capital Partners, LLC	TCPX	0443Δ	0443† CNS
The Street, Inc.	TSIB	0750Δ			Tower Square Securities, Inc.	TRSQ	0443Δ	0443† CNS
The Vertical Trading Group, LLC	VERF	0161Δ			Tower Square Securities, Inc./Metlife		0354	
The Vertical Trading Group, LLC	VGRP	8072Δ			Towerhill Long/Short Equity, LLC		3583	
Themis Trading LLC	THEM	0443Δ			TPR Investments, L.P.	TPRI	0226Δ	0226† CNS
ThinkEquity Partners LLC	VISR	0158Δ			Track (ECN)	TRAO	0103Δ	
ThinkPanmure LLC	THNK	0158Δ	0158†	CNS	Track Data Securities Corp.	DATA	0459Δ	
Thomas Group Capital	TSEC	0158Δ	0158†	CNS	Track Data Securities Corp.	TRAC	0459	
Thomas McDonald Partners, LLC	TMCD		0141†	CNS	Track Data Securities Corporation	TDSC	0158Δ	
Thompson Davis & Co., Inc.	TDCO	0443Δ	0443†	CNS	Trade Manage Capital, Inc.	YAMN	0443Δ	0443† CNS
Thornburg Securities Corporation		5541			Tradebot Systems, Inc.	TRBT	0083	
Thornton, Farish & Gauntt	THFA		6806	TFT	Tradeking	TKNG	0158Δ	
Thoroughbred Financial Services, LLC	TBRD		0226†	CNS	Tradelink Securities, LLC	TRLN	0551Δ	
Thoroughbred Financial Services, LLC		6903			Tradelink Securities, LLC	TRTR	0501Δ	
Thrasher & Company	TRSH	0309Δ	0309†	CNS	Trade-PMR, Inc.	TPMR		0141† CNS
Thrivent Investment Management, Inc.	AALC		0226†	CNS	Traderfield Securities	TDFD	0158Δ	
Thrivent Investment Management, Inc.		7243			Traderight Securities	TRSL	0052Δ	0052† CNS
Thrivent Mutual Funds		5106			TradeStar Investments, Inc.	TSII	0226Δ	0226† CNS
Thurston, Springer, Miller, Herd & Titak, Inc.	TMBI	0235Δ	0235†	CNS	Tradestation Securities, Inc.	FILL	0352Δ	0352† CNS
					TradeStation Securities, Inc.	TRAD	0271	0271 CNS
					Tradewinds Financial Group, Incorporated	TRFI	0158Δ	0158† CNS
					Tradewire Securities LLC	TWGR	0158Δ	0158† CNS
					Tradewire Securities LLC	TWSE	0443Δ	
					Trading Block	AOSD	0158Δ	
					Trading Block	BLOC	0158Δ	
					Trading Partners, Inc.	TPAT	0161Δ	
					Trading Services Group Inc.	TSRV	0161Δ	

Alphabetical Reference

April 2012

Tradition Aisel	TFAS	0443Δ	0443†	CNS	Trustcore Investments, Inc.	TMII		0226†	CNS
Tradition Aisel Securities, Inc.	ASEL	0370	0370	CNS	Trustmark National Bank		2852		
Tradition Aisel Securities, Inc.	ASLB	0370Δ			Trustmont Financial Group, Inc.	CFGM	0235Δ	0235†	CNS
Tradition Aisel Securities, Inc.	TRAS	0443Δ			Tryco Securities, Inc.	TRCO	0279Δ	0279†	CNS
Transamerica Advisors Life Insurance Company		4728			Tullett Liberty Securities Inc.	PATR	0624	0624	CNS
Transamerica Advisors Life Insurance Company of New York		4638			Tuohy Brothers Investment Research, Inc.	TBRO	0103Δ		
Transamerica Capital, Inc.		5580			Turner (J.P.) & Co. LLC	JPTC	0158Δ	0158†	CNS
Transamerica Capital, Inc./Diversified Funds		6739			Turner (J.P.) & Company, LLC	JPTS	0158Δ	0158†	CNS
Transamerica Capital, Inc./Series Trust Funds		6738			Tweedy, Browne Company LLC	TWEE	0352Δ	0352†	CNS
Transamerica Financial Advisors, Inc.		0285			Tweedy, Browne Company LLC		5488		
Transamerica Financial Advisors, Inc./II		0224			21st Century Financial Services Twenty-First Securities Corporation	TWFS		0188†	CNS
Transamerica Financial Advisors, Inc./World Group Securities, Inc.		0729			Two Sigma Securities, LLC	TFSC	0235Δ	0235†	CNS
Transamerica Financial Life Insurance Company		4561			TWS Financial, LLC	SOHO	0161Δ		
Transamerica Financial Life Insurance Company / FL, NY Annuity Business		4718			U.S. Bancorp Investments Inc.	TWSF	0158Δ	0158†	CNS
Transamerica Financial Life Insurance Company / FL, NY Life Business		4719			U.S. Bank N.A.	FBSB	0280	0280	TFT
Transamerica Financial Life Insurance Company/KC NY Life Business		4683			U.S. Bank N.A./Municipal Securities Group	CMMB		6729	TFT
Transamerica Financial Life Insurance Company/Retirement Division		4680			U.S. Boston Capital Corp.		4919		
Transamerica Life Insurance Company /Life Business		4642			U.S. Brokerage, Inc.	USDB	0279Δ	0279†	CNS
Transamerica Life Insurance Company/Diversified Investors Securities Corp		4738			U.S. CA Securities LLC	USCA	0226Δ	0226†	CNS
Transamerica Life Insurance Company/Diversified Investors Securities Corp		4739			U.S. Clearing Corp./Execution Services	QRCE	0543Δ		
Transamerica Life Insurance Company/Retirement Division		5768			U.S. Financial Investments, Inc	USFB	0595Δ	0595†	CNS
Transamerica Life Insurance Company/TLIAC		4543			U.S. Financial Investments, Inc	USFI	0103Δ		
Transcend Capital, L.P.	TRSD	0158Δ			U.S. Global Investors Funds		5442		
Treasure Financial Corp.	TREA	0279Δ			U.S. Sterling Securities, Inc.	USSI	0309Δ	0309†	CNS
Triad Advisors, Inc.	TRID		0226†	CNS	UBS Financial Services INC of Puerto Rico	PWPR		0221†	CNS
Triad Advisors, Inc.		6430			UBS Financial Services Inc.	PTFI	0221Δ		
Triad Securities Corp	TIAC	0161Δ	0161†	CNS	UBS Financial Services Inc.	PWJC	0221	0221	CNS
Triad Securities Corp.	TIAD	0158Δ	0158†	CNS	UBS Global Asset Management (US) Inc.		5795		
Triangle Securities, LLC	TRIN		0141†	CNS	UBS Global Asset Management (US), Inc./Offshore Funds		6510		
Tricor Financial, LLC	TCOR		0226†	CNS	UBS Global Asset Management (US), Inc./Puerto Rico Fund		5593		
Trident Partners Ltd.	TRIP	0141Δ	0141†	CNS	UBS Global Asset Management/Group Trust Funds		5603		
Trident Securities Division of McDonald Investments Inc.	TRDT	0799Δ			UBS International, Inc.	UBII	0221Δ	0221†	CNS
TriPoint Global Equities, LLC	TGEQ	0052Δ	0052†	CNS	UBS Securities Canada Inc./CDS	BUNT	5017•		
Triune Capital Advisors, LLC	TRUN	0750Δ			UBS Securities LLC	UBSB	0642Δ		
Troika Dialog USA, Inc.	TRKA	0443Δ	0443†	CNS	UBS Securities LLC	UBSW	0642	0642	CNS
Trubee, Collins & Co., Inc.	TRUB		0141†	CNS	UBS Securities, LLC	UBSC	0642Δ		
Trust Company of America		5981			UBS Securities, LLC	UBSG	0642Δ		
					UBS Securities, LLC	UBSS	0642Δ		
					UBS Securities, LLC	UBST	0642Δ		
					UBS Securities, LLC	UBSX	0642Δ		
					Uhlmann Price Securities, LLC	UHLM	0235Δ		
					Ultimus Fund Distributors, LLC		5837		
					Ultimus Fund Distributors, LLC/Alphamark Investment Trust		5653		
					Ultimus Fund Distributors, LLC/Berwyn Funds		5605		
					Ultimus Fund Distributors, LLC/CM Advisers Family of Funds		5730		

Alphabetical Reference

April 2012

Ultimus Fund Distributors, LLC/Davenport & Company	5567			UMB Distribution Services, LLC/UMB Scout Funds	4854		
Ultimus Fund Distributors, LLC/Flippin Bruce & Porter Funds	5733			UMB Distribution Services, LLC/Wasatch Advisors Fund Inc.	5773		
Ultimus Fund Distributors, LLC/Gardner Lewis Investment Trust	5888			UMB Distribution Services, LLC/Westport Funds	5598		
Ultimus Fund Distributors, LLC/Government Street Funds	5732			UMB Financial Services, Inc.	UMBF	0226Δ	0226† CNS
Ultimus Fund Distributors, LLC/Hussman Strategic Growth Fund	5479			UMB Fund Services LLC/Giant 5 Funds		6534	
Ultimus Fund Distributors, LLC/Jamestown Funds	5490			UMB Fund Services, Inc.		3410	
Ultimus Fund Distributors, LLC/NCM Capital Investment Trust	5409			UMB Fund Services, Inc./Fortigent Company, LLC		3436	
Ultimus Fund Distributors, LLC/Papp Investment Trust	5114			UMB Fund Services, Inc./Hatteras Global Private Equity Partners Institutional, LLC		3868	
Ultimus Fund Distributors, LLC/Piedmont Investment Trust	6595			UMB Fund Services, Inc./Hatteras Multi-Strategy Funds		3447	
Ultimus Fund Distributors, LLC/Profit Funds Investment Trust	6593			UMB Fund Services, Inc./Hatteras VC Co-Investment Fund II, LLC		3869	
Ultimus Fund Distributors, LLC/Schwartz Investment Trust	5830			UMB Fund Services, Inc./Persimmon Growth Partners Investor Fund		3504	
Ultimus Fund Distributors, LLC/Stadion Investment Trust	6692			Unibanco Securities Inc	UNIB		0443† CNS
Ultimus Fund Distributors, LLC/Stralem Funds	5639			Unicredit Capital Markets, Inc.	BVCM	0443Δ	0443† CNS
Ultimus Fund Distributors, LLC/TFS Capital Investment Trust	5430			Unified Financial Securities, Inc.		4965	
Ultimus Fund Distributors, LLC/The GKM Funds	5558			Unified Financial Securities, Inc./1492 Funds		3797	
Ultralat Corporation	ULAT	0443†	CNS	Unified Financial Securities, Inc./API Trust Fund		4972	
UMB Bank N.A./UMB Scout Brokerage Services	5988			Unified Financial Securities, Inc./Appleseed Fund		5286	
UMB Bank National Association	UMBI	2451	TFT	Unified Financial Securities, Inc./Auer Growth Funds		5290	
UMB Bank, N.A.	2450			Unified Financial Securities, Inc./Becker Value Funds		5291	
UMB Distribution Services LLC/Vericimetry	3761			Unified Financial Securities, Inc./Cloud Capital Funds		3729	
UMB Distribution Services, LLC/Alerian MLP Funds	5116			Unified Financial Securities, Inc./Crawford Funds		5296	
UMB Distribution Services, LLC/Comerica Collective Investment Funds	5943			Unified Financial Securities, Inc./Dean Family of Funds		4927	
UMB Distribution Services, LLC/Commonwealth International Series Trust	4878			Unified Financial Securities, Inc./Dreman Fund		5418	
UMB Distribution Services, LLC/Grand DS/Investment Managers Series Trust	4985			Unified Financial Securities, Inc./FBO Alta Trust		5287	
UMB Distribution Services, LLC/Green Century Funds	6676			Unified Financial Securities, Inc./FBO Roosevelt Funds		4725	
UMB Distribution Services, LLC/Lotsoff Capital Management Micro Cap Fund	5841			Unified Financial Securities, Inc./Geier Funds		5294	
UMB Distribution Services, LLC/Marsico Investment Funds	5728			Unified Financial Securities, Inc./Golub Group		5306	
UMB Distribution Services, LLC/Stewart Capital Advisors	6599			Unified Financial Securities, Inc./Granite Funds		3790	
				Unified Financial Securities, Inc./Green Owl Funds		3774	
				Unified Financial Securities, Inc./Hirtle Callaghan Trust		6574	
				Unified Financial Securities, Inc./Huntington Fund		5832	

Alphabetical Reference

April 2012

Unified Financial Securities, Inc./Huntington National Bank	3712				UNX, Inc.	UNXD	0501Δ		
Unified Financial Securities, Inc./Iron Funds	5301				UNX, Inc.	UNXT	0501Δ		
Unified Financial Securities, Inc./Jones Villata Opportunity Fund	5295				UNX, Inc.	UNXU	0501Δ		
Unified Financial Securities, Inc./Leeb Focus Funds	5302				Upromise Investments, Inc.		5704		
Unified Financial Securities, Inc./Longview Family of Funds	3731				Upromise Investments, Inc./Phoenix Platform Account		5670		
Unified Financial Securities, Inc./LS Opportunity Fund	5380				US Securities International Corp.	USIC		0226†	CNS
Unified Financial Securities, Inc./Marathon Funds	5303				USAA Investment Management Co.	USAA	0367	0367	CNS
Unified Financial Securities, Inc./Martin Funds	3303				USAA Investment Management Company		5935		
Unified Financial Securities, Inc./Mirzam Funds	5305				USI Securities, Inc.	USIS		0226†	CNS
Unified Financial Securities, Inc./Symons Funds	5307				Uvest Financial Services Group, Inc.	UVST	0443Δ	0443†	CNS
Unified Financial Securities, Inc./TEAM Financial	5408				Uvest Financial Services Group, Inc.		0603		
Unified Financial Securities, Inc./Toreador Funds	5308				Valdes & Moreno, Inc.	TORO	0309Δ	0309†	CNS
Unified Financial Securities, Inc./TVAM Funds	3793				Valley Forge Asset Management Corporation	VLXF		0443†	CNS
Unified Financial Securities, Inc./Angel Oak Family of Funds	5147				Valley National Investments, Inc.	VALI		0226†	CNS
Unified Trust Company, National Association	5983				Valmark Securities, Inc.	VALM	0235Δ	0235†	CNS
Union Bank and Trust Company Nebraska	2067				Valmark Securities, Inc.		0121		
Union Bank N.A.	UBOC	2851	TFT		Valores Finamax International, Inc.	FINA	0352Δ		
Union Bank N.A.	2145				Van Clemens & Co., Inc.	VCLM	0279Δ	0279†	CNS
Union Capital Company	IVOL	0235Δ	0235†	CNS	Van Eck Sec Corp/VIP Trust		4977		
Union Securities Ltd. (Canada)	USLF	5077•			Van Eck Securities Corporation		5524		
Unionbanc Investment Services, LLC	MKTI	6728	0226†	CNS	Van Kampen Funds, Inc.	VKMI	0692	0692	CNS
United Bankers Bank	UBKR		6732	TFT	Van Kampen Funds, Inc.	ZEDD	0099Δ		
United Brokerage Services, Inc.	UBSI		0141†	CNS	Vanderbilt Securities, LLC	VBLT		0226†	CNS
United Capital Markets, Inc.	UCMI	0443Δ	0443†	CNS	Vandham Securities Corp.	VNDM	0161Δ	0161†	CNS
United Capital Markets, Inc.	UCML	0052Δ			Vandham Securities Corp.	VNDS	0161Δ	0161†	CNS
United Equity Securities, LLC	PFML		0226†	CNS	Vandham Securities Corp.	VNDX	0161Δ	0161†	CNS
United of Omaha Life Insurance Company		6027			Vanguard Capital	VCAP	0443Δ	0443†	CNS
United Planners Financial Services of America	UPLN	0443Δ	0443†	CNS	Vanguard Fiduciary Trust Company		5972		
United Planners Financial Services of America		6008			Vanguard Marketing Corp./Vanguard Investments Series PLC Funds		4996		
United States Life Insurance Company in the City of New York (The)		4531			Vanguard Marketing Corporation	VGRD	0062	0062	CNS
United States Life Insurance Company in the City of New York (The)/SunAmerica (NY)		4517			Vanguard Marketing Corporation		5772		
Universal Life Insurance Company		6497			Variable Annuity Life Insurance Company (The)		6455		
Univest Securities, Inc.	UNIV	0158Δ			Variant Research Corporation	VARI	0352Δ	0352†	CNS
UNX, Inc.	UNEX	0501Δ			Vasiliou & Company Inc.	VASL	0352Δ	0352†	CNS
					Vaughan & Co. Securities, Inc.	VCSI		0443†	CNS
					VBC Securities	VBCS		0158†	CNS
					VCA Securities, LP	VCAS	0352Δ	0352†	CNS
					VCG Securities LLC	VANQ	0158Δ		
					VCM Securities, LLC	VCMS		0443†	CNS
					Vector Partners, L.P.	VCTR	0352Δ	0352†	CNS
					Vectormex WMG, Inc.	VMEX	0352Δ	0352†	CNS
					Veritas Securities Corp.	VRTS	0100Δ		
					Versant Partners USA, Inc.	VPUS	0226Δ	0226†	CNS
					Vertical Management Systems, Inc./TPA		7122		
					Vertical Trading Group, LLC (The)	VERT	0161Δ	0161†	CNS
					Vest (H.D.) Investment Securities, Inc.		0268		
					VFG Securities, LLC	VFGS	0750Δ	0750†	CNS
					Vfinance Investments, Inc.	VFIN	0226Δ	0226†	CNS
					vFinance Investments, Inc.	VFNL	0052Δ	0052†	CNS

Alphabetical Reference

April 2012

Vianet Direct, Inc.	VNET	0161Δ	0161†	CNS	Walnut Street Securities	WNUT	0443Δ	0443†	CNS
Victor Securities, Inc.	PEMA	0551Δ			Walnut Street Securities		0533		
ViewTrade Securities, Inc.	VTDT	0158Δ	0158†	CNS	Walthausen Funds		5595		
ViewTrade Securities, Inc.	VTSB	0049Δ			Wang Investment Associates, Inc.	SOGO	0158Δ		
Vining-Sparks IBG, L.P.	VSLP		6043	TFT	Wang Investment Associates, Inc.	WANG	0279Δ	0279†	CNS
Virtu Financial BD LLC	VIRT	0063Δ			Wang Investment Associates, Inc.	WIAI	0158Δ		
Virtu Financial BD LLC	VRTU	0063			Ward (K.C.) Financial	KCWF	0052Δ	0052†	CNS
Virtu Financial Capital Markets LLC	EWTT	0749			Ward's Financial Services, Inc.	WARF	0235Δ	0235†	CNS
Vision Brokerage Services, LLC	VBSL	0595Δ			Warner Group Inc. (The)	WRGR	0235Δ	0235†	CNS
Vision Financial Markets LLC	VSIN	0595	0595	CNS	Warren D. Nadel & Company	NADL	0235Δ	0235†	CNS
Vision Investment Services, Inc.	VISI		0443†	CNS	Washington Analysis Corporation	WALC	0161Δ	0161†	CNS
Vista Securities, Inc.	VSTS	0279Δ	0279†	CNS	Washington Securities Corporation	WSCC	0235Δ	0235†	CNS
Volant Liquidity, LLC	BZXL	0695Δ			Waterford Investors Services, Inc.	WTRI	0235Δ	0235†	CNS
VP Distributors, Inc.		5517			Watermark Securities Inc.	WZSC	0158Δ		
VP Distributors, Inc./VIT Series		3764			Watermill Institutional Trading, LLC	WMLL	0501Δ		
VSR Financial Servcies, Inc.		2615			Waterstone Financial Group, Inc	WFGP	0075Δ		
VSR Financial Services, Inc.	VSRF	0141Δ	0141†	CNS	Waterstone Financial Group, Inc.	DRAS	0727Δ		
VT Brokers, LLC	BIAD	0551Δ			Watkins Financial Services, Inc.	SALT	0750Δ		
VT Brokers, LLC	VBAA	0551Δ			Watley (A.B.) Direct, Inc.	HLTN	0158Δ		
W.D. Latimer Company LTD./CDS	WDLF	5078•			Waveland Capital Partners LLC	WAVD		0226†	CNS
W.H. Reaves & Co., Inc	REAV	0443Δ	0443†	CNS	Wayne Hummer Investments LLC	WAYN	0141Δ	0141†	CNS
W.P. Carey & Co. LLC		3663			Wayne Hummer Investments LLC		0196		
W.P. Carey & Co. LLC/Carey Watermark Investors Inc. (CWI)		3667			WBB Securities, LLC	WBBC	0226Δ	0226†	CNS
W.P. Carey & Co. LLC/Corporate Property Associates 15 Inc. (CPA:15)		3672			Wealthfront Brokerage Corporation	KCBC	0017Δ		
W.P. Carey & Co. LLC/Corporate Property Associates 16- Global Inc. (CPA:16 - Global)		3678			Weaver Tidwell Capital, LLC	WEAV	0309Δ	0309†	CNS
W.P. Carey & Co. LLC/Corporate Property Associates 17- Global Inc. (CPA:17 - Global)		3679			Weber & Company, Inc.	WEBR	0727Δ		
W.R. Hambrecht + Co., LLC	HAMC	0158Δ			Weckstein (D.) & Co., Inc.	WECK	0158Δ		
W.R. Hambrecht + Co., LLC	HAMC		0158†	CNS	Wedbush Morgan Securities Inc.	WMBY	0103Δ		
W.R. Hambrecht + Co., LLC	HAMR	0158Δ	0235†	CNS	Wedbush Morgan Securities, Inc.	HBIQ	0103Δ		
W.R. Taylor & Company, LLC	WRTC	0750Δ	0750†	CNS	Wedbush Morgan Securities, Inc.	IBKW	0017Δ		
Wachovia Securities Financial Network, LLC	FNET	0141Δ	0141†	CNS	Wedbush Morgan Securities, Inc.	LIFW	0695Δ		
Wachtel & Co., Inc.	WACL	0709	0709	TFT	Wedbush Morgan Securities, Inc.	SCTT	0103Δ		
Waddell & Reed, Inc.		0687			Wedbush Morgan Securities, Inc.	WEDE	0355Δ		
Waddell & Reed, Inc.		4879			Wedbush Morgan Securities, Inc.	WEDJ	0352Δ		
Wade (G.W.) Asset Management Company, Inc.	GWWD		0226†	CNS	Wedbush Morgan Securities, Inc.	WEDL	0501Δ		
Wainwright (H.C.) & Co., Inc.	HCWT	0158Δ			Wedbush Morgan Securities, Inc.	WEDM	0501Δ		
Wall Street Access	WABR	0443Δ	0443†	CNS	Wedbush Morgan Securities, Inc.	WEDN	0103Δ	0103†	CNS
Wall Street Access	WSAP	0501Δ	0501†	CNS	Wedbush Morgan Securities, Inc.	WEDO	0103Δ	0103†	CNS
Wall Street Advisor Services, LLC		0626			Wedbush Morgan Securities, Inc.	WEDP	0103Δ		
Wall Street Electronica, Inc.	WSET	0543Δ	0543†	CNS	Wedbush Morgan Securities, Inc.	WEDX	0103Δ		
Wall Street Financial Group	WSFG	0226Δ	0226†	CNS	Wedbush Morgan Securities, Inc.	WEDZ	0103Δ		
Wall Street Management Corporation	WSMC		0443†	CNS	Wedbush Morgan Securities, Inc.	WESG	0103Δ		
Wall Street Money Center Corp.	WAMC	0750Δ			Wedbush Morgan Securities, Inc.	WISG	0103Δ		
Wallace R. Weitz & Company		5769			Wedbush Morgan Securities, Inc.	WIST	0103Δ		
Wallach Beth Capital LLC	WBET	0161Δ			Wedbush Morgan Securities, Inc.	WLSC	0103Δ		
Wallstreet E Financial Services Inc.	WSEI	0052Δ	0052†	CNS	Wedbush Morgan Securities, Inc.	WLTT	0103Δ		
Wallstreet E Financial Services Inc.		0052Δ			Wedbush Morgan Securities, Inc.	WMAQ	0103Δ		
					Wedbush Morgan Securities, Inc.	WMGN	0103Δ		
					Wedbush Morgan Securities, Inc.	WMGT	0103Δ		
					Wedbush Morgan Securities, Inc.	WMLF	0330Δ		
					Wedbush Morgan Securities, Inc.	WMLS	0512Δ		
					Wedbush Morgan Securities, Inc.	WMMO	0103Δ		
					Wedbush Morgan Securities, Inc.	WMRA	0103Δ		
					Wedbush Morgan Securities, Inc.	WMSH	0103Δ		
					Wedbush Morgan Securities, Inc.	WMSN	0103Δ		
					Wedbush Morgan Securities, Inc.	WMSR	0103Δ		
					Wedbush Morgan Securities, Inc.	WMSS	0695Δ		

Alphabetical Reference

April 2012

Wedbush Morgan Securities, Inc.	WMSW	0103Δ				Wells Fargo Securities, LLC	WELX	0250Δ		
Wedbush Securities Inc.	LBCE	0100Δ				Wells Fargo Securities, LLC	WFGO	0352Δ		
Wedbush Securities Inc.	LIWO	0501Δ				Wells Fargo Securities, LLC/Wells Fargo Securities Safekeeping		0025		
Wedbush Securities Inc.	WEDB	0103	0103	CNS		Wells Nelson & Associates, LLC	WELL	0309Δ		
Wedbush Securities Inc.	WMAV	0103Δ				Wells Nelson & Associates, LLC	WELL		0309†	CNS
Wedbush Securities Inc.	WMCH	0103Δ				Wentworth Securities, Inc.	WWTH	0750Δ		
Wedbush Securities Inc.	WMCT	0103Δ				Wesbanco Securities, Inc.	CBII		0443†	CNS
Wedbush Securities Inc.	WMGP	0103Δ				Wescorp Investment Services, LLC	WCIS		0443†	CNS
Wedbush Securities Inc.	WMHY	0103Δ				West America Securities Corp.	WUSA	0750Δ		
Wedbush Securities Inc.	WMIT	0099Δ				Westchester Capital Management, LLC		6601		
Wedbush Securities Inc.	WMKO	0103Δ				Western Equity Group, Inc.	WEGP	0235Δ	0235†	CNS
Wedbush Securities Inc.	WMLK	0512Δ				Western Financial Corporation	WEFI	0103Δ	0103†	CNS
Wedbush Securities Inc.	WMLP	0103Δ				Western International Securities, Inc.	WISI	0352Δ	0352†	CNS
Wedbush Securities Inc.	WMLW	0103Δ				Western International Securities, Inc.		0635		
Wedbush Securities Inc.	WMNE	0608Δ				Western National Life Insurance Company		4623		
Wedbush Securities Inc.	WMQS	0103Δ				Western National Life Insurance Company/Sun America Amarillo		4664		
Wedbush Securities Inc.	WMVS	0103Δ				Western Pacific Securities, Inc.	WEPA	0750Δ		
Wedbush Securities Inc.	WMYO	0103Δ				Western Reserve Life Co. of Ohio/Annuity Business		4692		
Wedbush Securities Inc.		0099Δ				Western Southern Life Assurance Company		4614		
Wedbush Securities Inc.		0103Δ				Westhoff Cone & Holmstedt	WCAH		0279†	CNS
Wedbush Securities Inc./Stock Loan		0103Δ				Westlake Securities	WSLK	0158Δ	0158†	CNS
		5166				WestLB Securities, Inc.	WLBP	5177		
Wedbush Securities, Inc.	WEDY	0103Δ				Weston Securities Corporation		5737		
Wedbush Securities, Inc.	WMDR	0103Δ				Westor Capital Group, Inc.	WESX	0158Δ	0158†	CNS
Wedbush Securities, Inc.	WMEU	0103Δ				Westpark Capital, Inc.	WPCC	0052Δ	0052†	CNS
Wedbush Securities, Inc.	WMFC	0695Δ				Westport Capital Markets, LLC	WCMS	0352Δ	0352†	CNS
Wedbush Securities, Inc.	WMFO	0330Δ				Westport Resources Investment Services, Inc.	WRIS	0443Δ	0443†	CNS
Wedbush Securities, Inc.	WMLB	0501Δ				Westrock Capital Management, Inc.	WSRK	0750Δ	0750†	CNS
Wedbush Securities, Inc.	WMMF	0103Δ				WFG Investments, Inc.	WMBU	0226Δ	0226†	CNS
Wedbush Securities, Inc.	WMPR	0161Δ				WFG Investments, Inc.		6014		
Wedbush Securities, Inc.	WMTY	0103Δ				Wharton Equity Corporation	WHAE		0158†	CNS
Wedge Securities, LLC	WDGE	0443Δ				Whipple (J.N.) Inc.	JNWS		0443†	CNS
Wedgewood Partners, Inc.	WGWD		0158†	CNS		Whitaker Securities, LLC	WHCG		0443†	CNS
Weeden & Co. L.P.	WEED	0161Δ	0161†	CNS		Whitaker Securities, LLC	WTKR	0158Δ	0158†	CNS
Wegener Investment Trust		5361				White Cap Trading, LLC	CAPS	0501Δ		
Weil Company, Inc. (The)	WEIL		0226†	CNS		White Mountain Capital, LLC	WMCL		0226†	CNS
Weller, Anderson & Co., Ltd.	WACC		0279†	CNS		White Pacific Securities, Inc.	WHPA	0235Δ	0235†	CNS
Wellington Shields & Co LLC	WESC	0141Δ	0141†	CNS		White Pacific Securities, Inc.	WPSI	0158Δ	0158†	CNS
Wellington Trust Company, N.A.		6517				Whitehall-Parker Securities, Inc.	QWER		0443†	CNS
Wells Fargo Advisors, LLC		7360				Whiteweld Trading, LLC	WWLD	0647Δ		
Wells Fargo Bank N.A./Wells Fargo Collective Funds		5186				Whitewood Group, Inc	LGLL	0279Δ		
Wells Fargo Bank, N.A.		6766				Whitman (M.J.) & Co., Inc.	MJWH	0352Δ	0352†	CNS
Wells Fargo Bank, N.A.		7115				Whitman (M.J.), LLC		5829		
Wells Fargo Bank, N.A./SIG	WBNA	2072	2072	CNS		Whitney National Bank	WTNY		6414	TFT
Wells Fargo Bank, N.A./Wachovia		0929				WIC Corp.	WHIT	0279Δ	0279†	CNS
Wells Fargo Bank, NA TR Recordkeeping Group		2195				Wilbanks Securities, Inc.	WILB	0235Δ	0235†	CNS
Wells Fargo Bank, National Association		2027				Wiley Bros.-Aintree Capital, LLC	WBRO	0443Δ	0443†	CNS
Wells Fargo Brokerage Services, LLC	NORW	0250Δ	0250†	CNS		Williams Capital Group, L.P. (The)	WLMS	0443Δ		
Wells Fargo Funds Distributor, LLC		5576				Williams Trading, LLC	WTCO	0501Δ	0050†	CNS
Wells Fargo Funds Distributor, LLC/Wells Fargo(Lux) Worldwide		5936								
Wells Fargo Institutional Securities, LLC	WFIS	0250Δ	0250†	CNS						
Wells Fargo Securities, LLC	WCHV	0250	0250	CNS						

Alphabetical Reference

April 2012

Willis Securities, Inc.	WSEC		0443†	CNS					
Wilmington Capital Securities, LLC	WCSC	0235Δ	0235†	CNS					
Wilmington Trust Company		2215							
Wilmington Trust Company		4894							
Wilmington Trust Company/Wilmington Trust Retirement & Institutional Services Company		0068							
Wilson-Davis & Co., Inc.	WDCO	0283							
Wilson-Davis & Company, Inc.	WDAC	0279Δ	0279†	CNS					
Winchester Group Inc.	WINC	0226Δ	0226†	CNS					
Windham Financial Services Inc.	WFSI	0352Δ	0352†	CNS					
Windsor Sheffield & Company, Inc.	WISC		0226†	CNS					
Wine (D.E.) Investments, Inc.	WINE	0279Δ	0279†	CNS					
Winslow, Evans & Crocker Inc.	WYNS	0443Δ	0443†	CNS					
Winslow, Evans & Crocker Inc.		0332							
Winterflood Securities Incorporated	UWIN	0161Δ	0161†	CNS					
Wisconsin Discount Securities Corp.	WIDS	0279Δ	0279†	CNS					
Witenberg Investment Companies, Inc.	WITE	0501Δ							
WM Financial Services, Inc.	MRPH		0226†	CNS					
WM Financial Services, Inc.		4310							
Wm Smith & Co.	WSSS	0158Δ							
Wolf A. Popper, Inc.	WAPS	0158Δ							
Wolfe & Hurst Bond Brokers, Inc.		0051							
Wolfe & Hurst Bond Brokers, Inc.-Muni Division	WOHU		6998	CNS					
Wolverine Execution Services LLC	WEXI	0501Δ							
Wolverine Execution Services LLC	WEXM	0161Δ							
Wolverine Execution Services LLC	WEXX	0501Δ							
Wolverton Securities (USA), Ltd.	WTOU	0052Δ	0052†	CNS					
Wolverton Securities Ltd./CDS	WTOF	5079•							
Woodbury Financial Services, Inc.		0510							
Woodlands Securities Corp.	WODL		0279†	CNS					
Woodlawn Advisors, LLC	WDLN	0161Δ	0161†	CNS					
Woodmen Financial Services, Inc.		6004							
Woodstock Financial Group Inc.	RDNK	0279Δ	0279†	CNS					
Woori Investment & Securities America, Inc.	LGSA		0443†	CNS					
Worden Capital Management, LLC	WORD	0052Δ							
Workman Securities Corp.	WSCX	0235Δ	0235†	CNS					
World Capital Brokerage, Inc.		5676							
World Choice Securities, Inc.	WCSO	0052Δ	0052†	CNS					
World Equity Group Inc.	WEGI	0235Δ	0235†	CNS					
World Equity Group, Inc.		0460							
World First Financial Services, Inc.	MDEB		0141†	CNS					
World Trade Financial Corporation	WORL	0052Δ	0052†	CNS					
World Trade Financial Corporation	WORX	0052Δ	0052†	CNS					
WorldCommodity Funds, Inc.		3727							
WR Rice Financial Services, Inc.	WRRF	0750Δ	0750†	CNS					
WRP Investments, Inc.	WRPI		0226†	CNS					
WRP Investments, Inc.		4312							
WSA Fixed Income, LLC	WSAX	0501Δ							
Wulff Hansen & Co.	WHCO		5226	TFT					
Wunderlich Securities, Inc.	FUND	0226Δ	0226†	CNS					
Wunderlich Securities, Inc.	WUND	0141Δ	0141†	CNS					
Wunderlich Securities, Inc.	WUNR	0235Δ	0235†	CNS					
Wunderlich Securities, Inc.							0926		
Wynston Hill Capital, LLC	EXTF	0235Δ	0235†	CNS					
Wyser-Pratte & Co., Inc.	WYSE	0158Δ	0158†	CNS					
XCU Capital Corp.	EXCU	0443Δ	0443†	CNS					
XP Securities, LLC	XPUS	0443Δ							
YieldQuest Securities, LLC	YQST		0141†	CNS					
YieldQuest Securities, LLC		5548							
York Securities, Inc.	YOSE	0158Δ							
Young Stovall & Company	YOST	0235Δ	0235†	CNS					
Zacks & Company	ZACK	0352Δ	0352†	CNS					
Zecco Trading, Inc	ZECO	0158Δ	0158†	CNS					
Zeus Securities, Inc	ZEUS	0309Δ							
Ziegler (B.C.) & Company	BCZC	0443Δ	0443†	CNS					
Ziegler (B.C.) & Company		0753							
Zions Direct, Inc.	ZDNF		0226†	CNS					
Zions Direct, Inc.	ZION	0065	0065	CNS					
Zions First National Bank	ZFNB	2104	2104	TFT					
ZIV Investment Co.	ZIVI	8082	8082	CNS					
Zoullas (N.B.) Securities, Inc.	ZOUL	0352Δ							
Zurich American Life Insurance Company		4529							
Zurich American Life Insurance Company/Destinations		4578							