



Important Notice
National Securities Clearing Corporation

A#:	7549
P&S #:	7119
Date:	12/14/2012
To:	ALL PARTICIPANTS
Attention:	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
From:	ADREAN HINOJOSA, ACCOUNT ADMINISTRATION
Subject:	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will retire from all services, as detailed below:

Last Trade Date, December 14, 2012:

Foreside Fund Services, LLC/Bennett Group of Funds

No. 5544

In connection with the above account retirement, another member firm will now assume this same number, as detailed below:

- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate service, and ACATS Fund/SERV services as detailed below:

First Trade Date, December 17, 2012:

ALPS Distributors, Inc./Bennett Funds

No. 5544

Networking Symbol:

H9

Contact: Brian Bishop

Phone: (720) 917-0617

- The following firms will retire from all services, as detailed below:

Last Trade Date, December 13, 2012:

Wolfe & Hurst Bond Brokers, Inc.

No. 0051

Wolfe & Hurst Bond Brokers, Inc.-MUNI Division

No. 6998

- The following firms will no longer participate in the ACATS service, as detailed below:

Last Trade Date, December 19, 2012:

Octeg, LLC

No. 0341

Last Trade Date, December 20, 2012:

ABN AMRO Securities (USA) LLC

No. 0349

- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, December 17, 2012:
 NGAM Distribution, L.P. No. 5542
- The following firm will begin participation in the Fund/SERV service, as detailed below:
First Trade Date, December 12, 2012:
 Arbor Court Capital LLC No. 7023
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, December 14, 2012:
 UMB Fund Services, Inc. No. 1864
- The following additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, Networking, ACATS Fund/SERV, MF-Daily Price and Rate and Commission Settlement services, as detailed below:
First Trade Date, December 14, 2012:
 Unified Financial Securities, Inc./BRC Funds No. 7028
 Networking Symbol: 6B
 Contact: Eric May
 Phone: (317) 917-7000, Ext 7540
- The following additional number has been assigned to State Street Bank & Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:
First Trade Date, December 17, 2012:
 State Street Bank & Trust Company/Hewitt Associates/Estee Lauder No. 7037
 Networking Symbol: HX
 Contact: Lisa Chu
 Phone: (617) 662-6213
- The following additional number has been assigned to Allianz Global Investors Distributors LLC (#5554) for the purpose of utilizing Fund/SERV, Networking Commission Settlement, MF Profile and ACATS Fund/SERV services, as detailed below:
First Trade Date, December 19, 2012:
 Allianz Global Investors Distributors LLC/Premier Multi-Series VIT No. 5703
 Networking Symbol: IF
 Contact: Joseph Quirk
 Phone: (212) 739-3320

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

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, December 11, 2012</u> Noesis Capital Corp.	BSSC	0352	NOES	
<u>Delete Last Trade Date, December 13, 2012</u> First New York Securities, LLC	MLCO	0161	MPFI	
<u>Delete Last Trade Date, December 18, 2012</u> Empire Asset Management Company	BSSC	0352	EAMG	
<u>Add First Trade Date, December 14, 2012</u> Dealerweb Inc. Quant River Financial, LLC Integrity Brokerage Services, Inc.	MLCO NITC VSIN	0161 0295 0595	DLTA QQRR IBSJ	
<u>Add First Trade Date, December 19, 2012</u> Empire Asset Management Company	BSSC	0352	EAMC	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change Effective First Trade Date, December 17, 2012</u> From: Global Hunter Securities, LLC To: Global Hunter Securities, LLC	MLCO SILK	0161 0501	GLBL GLBL	
<u>Clearing Broker Change Effective First Trade Date, December 17, 2012</u> From: R.F. Lafferty & Co., Inc. To: R.F. Lafferty & Co., Inc.	PFCL PERS	0158 0443	LAFC LAFC	
<u>Clearing Broker Change Effective First Trade Date, December 17, 2012</u> From: Cobra Trading, Inc. To: Cobra Trading, Inc.	PFCL WEDB	0158 0103	CBRA CBRA	
<u>Delete Last Trade Date, December 11, 2012</u> Canterbury Consulting Incorporated	NFSC	0226	CTBY	

Delete Last Trade Date, December 14, 2012

Penson Financial Services, Inc.	PFCL	0158	PFDU
Penson Financial Services, Inc.	PFCL	0158	PFED

Add First Trade Date, December 11, 2012

Lake Street Capital Markets, LLC	WEDB	0103	LSCM
Electronic Transaction Clearing, Inc.	ETCC	0873	ETBO

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, December 14, 2012

Global Hunter Securities, LLC	MLCO	0161	GLBL
R.F. Lafferty & Co., Inc.	PFCL	0158	LAFC

Add First Trade Date, December 11, 2012

Millennium Advisors, LLC	PERS	0443	MADV
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.