



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

<b>A#:</b>	7476
<b>P&amp;S #:</b>	7046
<b>Date:</b>	8/24/2012
<b>To:</b>	ALL PARTICIPANTS
<b>Attention:</b>	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
<b>From:</b>	ADREAN HINOJOSA, ACCOUNT ADMINISTRATION
<b>Subject:</b>	CHANGES IN THE LIST OF PARTICIPANTS

Effective with the open of business on August 27, 2012, American Enterprise Investments Services Inc. will change its primary account number from 0216 to 0756. As a result, the following account changes will occur:

- The following firms will change their name, as detailed below:

**First Trade Date, August 27, 2012:**

From: American Enterprise Investments Services Inc. No. 0216  
To: American Enterprise Investments Services Inc./Funds No. 0216

From: American Enterprise Investments Services Inc./Beta/133 No. 0756  
To: American Enterprise Investments Services Inc. No. 0756

- The following firm will no longer participate in Trade Recording and Trade Comparison, OTC/Muni Comparison, ACATS, Obligation Warehouse and ACATS Fund/SERV services, as detailed below:

**Last Trade Date, August 21, 2012:**

American Enterprise Investments Services Inc. No. 0216  
OTC/MUNI Alpha Identifier: IDSI

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

**Last Trade Date, August 21, 2012:**

First Trust Portfolios, L.P./First Defined Portfolio Fund, LLC No. 6603

**Last Trade Date, August 24, 2012:**

Unified Financial Securities, Inc./Becker Value Funds No. 5291

**Last Trade Date, August 28, 2012:**

Quasar Distributors, LLC/Newgate Funds No. 4727

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- The following firms will no longer participate in MF-Profile service, as detailed below:

**Last Trade Date, August 24, 2012:**

AllianceBernstein Inv Research and Management, Inc./Alliance Collective Investment Trust	No.	6584
AllianceBernstein Inv Research and Management, Inc./INTL Div	No.	5809

- The following firm will change its name only, as detailed below:

**First Trade Date, September 4, 2012:**

From: BMO Harris Bank NA/M&I Trust	No.	0992
To: BMO Harris Bank N.A./Trust	No.	0992

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

**First Trade Date, September 4, 2012:**

ALPS Distributors Inc./FIT-ALPS Advisors	No.	5904
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- The following additional number has been assigned to Quasar Distributors, LLC (#5368) for the purpose of utilizing Fund/SERV, Networking, MF Daily Price and Rate and ACATS Fund/SERV services, as detailed below:

**First Trade Date, August 27, 2012:**

Quasar Distributors, LLC/Becker Value Funds	No.	5291
Networking Symbol:		6S
Contact: Casey Sauer		
Phone: (414) 347-5766		

- Please update the NSCC Directory dated August 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>
<b><u>Add First Trade Date, August 29, 2012</u></b> Dinosauer Securities, L.L.C.	WEDB	0103	ROAR	

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

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Name Change Effective First Trade Date, August 27, 2012</u></b> From: Assent, LLC	ANDZ	0442	ASNC	
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASNC	

From: Assent, LLC	ANDZ	0442	ASND
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASND
From: Assent, LLC	ANDZ	0442	ASNG
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASNG
From: Assent, LLC	ANDZ	0442	ASNH
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASNH
From: Assent, LLC	ANDZ	0442	ASNX
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASNX
From: Assent, LLC	ANDZ	0442	ASSA
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASSA
From: Assent, LLC	ANDZ	0442	ASSD
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	ASSD
From: Fox River Execution Technology, LLC	ANDZ	0442	FOXB
To: Sungard Brokerage & Securities Services, LLC	ANDZ	0442	FOXB

**Delete Last Trade Date, August 17, 2012**

Melvin Securities, L.L.C.	PERS	0443	MLVN
UVEST Financial Services Group, Inc.	PERS	0443	UVST
Chicago Analytic Trading Company, LLC	PERS	0443	CATC
International Assets Advisory, LLC	PERS	0443	INTA

**Delete Last Trade Date, August 21, 2012**

Ameriprise Financial Services, Inc.	IDSI	0216	AEFA
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**Delete Last Trade Date, August 23, 2012**

CIBC World Markets Corp.	LEHM	0229	CWMA
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**Delete Last Trade Date, August 24, 2012**

Assent LLC	ANDZ	0442	ASNB
Assent LLC	ANDZ	0442	ASNE
Assent LLC	ANDZ	0442	ASNF
Assent LLC	ANDZ	0442	ASNM
Assent LLC	ANDZ	0442	ASNN
Assent LLC	ANDZ	0442	ASSX

**Delete Last Trade Date, September 4, 2012**

Canaccord Adams, Inc.	PERS	0443	ADAM
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**Add First Trade Date, August 22, 2012**

Wedbush Securities Inc.	PFCL	0158	WMLT
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**Add First Trade Date, August 24, 2012**

Bay Crest Partners, LLC	MLCO	0161	BAYC
Brownstone Investment Group, LLC	PERS	0443	BIGZ
United First Partners, LLC	SILK	0501	UFPA
ABN AMRO Clearing Chicago LLC	SHMR	0695	OFSX
Stock USA Execution Services, Inc.*	PFCL	0158	SUSA

(\*Date is being revised from First Trade 9/4 to 8/24)

**Add First Trade Date, September 4, 2012**

Canaccord Genuity Inc.	PERS	0443	CANA
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If you have any questions regarding this notice, please E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com).