



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

<b>A#:</b>	7547
<b>P&amp;S #:</b>	7117
<b>Date:</b>	12/07/2012
<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

*The following item was revised from Important Notice A#7540 (P&S#7110) dated November 30, 2012. The networking code was changed from 3D to C0.*

- The following additional number has been assigned to Forethought Life Insurance Company (#5339) for the purpose of utilizing Fund/SERV, MF-Daily Price and Rate, Networking, Insurance Processing and Commission Settlement services, as detailed below:

**First Trade Date, December 5, 2012:**

Forethought Life Insurance Company/Forethought Life Distributors, LLC

No. 7012

Networking Symbol:

**C0**

Contact: Shelia Merkel

Phone: (812) 934-6773

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

**Last Trade Date, December 11, 2012:**

Umb Distribution Services, LLC/Steelpath Funds

No. 5116

*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 OppenheimerFunds Distributor, Inc. (#5511) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF Profile service, ACATS and ACATS Fund/SERV services as detailed below:

**First Trade Date, December 12, 2012:**

Oppenheimerfunds Distributor, Inc./Steelpath Funds

No. 5116

Networking Symbol:

D0

Contact: Darren Silverling

Phone: (800) 894-6694

- The following firm will retire from all services, as detailed below:  
**Last Trade Date, December 21, 2012:**  
American Enterprise Investment Services Inc./Funds No. 0216
- The following firm will no longer participate in the Trade Recording, Trade Comparison, Corporate Bond, Obligation Warehouse and Envelope Settlement services, as detailed below:  
**Last Trade Date, December 7, 2012:**  
Wolfe & Hurst Bond Brokers, Inc. No. 0051
- The following firm will no longer participate in the Trade Recording, Trade Comparison, OTC and Municipal Bond Comparison and Obligation Warehouse services, as detailed below:  
**Last Trade Date, December 7, 2012:**  
Wolfe & Hurst Bond Brokers Inc.-Muni Division No. 6998  
OTC Alpha Identifier: WOHU
- The following firm will no longer participate in the Municipal Bond Comparison service, as detailed below:  
**Last Trade Date, December 7, 2012:**  
BMO Capital Markets GKST Inc. No. 6001  
MUNI Alpha Identifier: GKST
- The following firm will change its name only, as detailed below:  
**First Trade Date, December 17, 2012:**  
From: Northern Lights Distributors, LLC/Princeton Credit Income Fund No. 3304  
To: Northern Lights Distributors, LLC/Witherspoon Managed Futures Strategy Fund No. 3304
- The following firm will begin participation in the MF-Daily Price and Rate service, as detailed below:  
**First Trade Date, December 10, 2012:**  
Quasar Distributors, LLC/Brookfield Investment Funds No. 3734
- The following firm will begin participation in the ACATS, Obligation Warehouse, and Municipal Comparison services, as detailed below:  
**First Trade Date, December 10, 2012:**  
BMO Capital Markets GKST Inc. No. 2344  
MUNI Alpha Identifier: GKST
- The following additional number has been assigned to ING Life Insurance and Annuity Company (#4508) for the purpose of utilizing Insurance Processing Services, as detailed below:  
**First Trade Date, December 10, 2012:**  
ING Life Insurance and Annuity Company/Retirement (Sub) No. 7026

- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, ACATS Fund/SERV and Commission Settlement services, as detailed below:

**First Trade Date, December 12, 2012:**

Northern Lights Distributors, LLC/Footprints Discover Value Fund	No.	7030
Networking Symbol:	BD	
Contact: Mike Nielsen		
Phone: (402) 493-1731, Ext 3		

- Please update the NSCC Directory dated November 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>Delete Last Trade Date, December 3, 2012</u></b> Shoreline Trading Group LLC	BSSC	0352	SHTB	
<b><u>Add First Trade Date, December 7, 2012</u></b> Boursa Investments	WEDB	0103	BRSA	
<b><u>Add First Trade Date, December 10, 2012</u></b> Whotrades, Inc. Birchwood Securities Corp.	VSIN VSIN	0595 0595	WHOT BWEX	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Clearing Broker Change Effective First Trade Date, December 5, 2012</u></b> From: KCCI, Ltd. To: KCCI, Ltd.	PFCL WEDB	0158 0103	KCCI KCCI	
<b><u>Clearing Broker Change Effective First Trade Date, December 5, 2012</u></b> From: KCCI, Ltd. To: KCCI, Ltd.	PFCL WEDB	0158 0103	KCCP KCCP	

**Delete Last Trade Date, December 6, 2012**

International Assets Advisory, LLC	NFSC	0226	INTX
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**Delete Last Trade Date, December 7, 2012**

Evertrade Direct Brokerage, Inc.	NFSC	0226	EVER
Avian Securities, L.L.C.	PERS	0443	AVIA

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

Sutter Securities Incorporated	PERS	0443	SUTT
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**Add First Trade Date, December 7, 2012**

Jump Trading	SHMR	0695	PCKG
Latour Trading LLC	SHMR	0695	XGWX
Title Securities, Inc.	WEDB	0103	DIRA

**Add First Trade Date, December 10, 2012**

Newedge USA, LLC	PCAP	0608	NEFO
Electronic Transaction Clearing, Inc.	ETCC	0873	ETBE
Canterbury Consulting Incorporated	NFSC	0226	CTBY

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	<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, December 10, 2012</u></b>				
BondDesk Trading LLC	NFSC	0226	BDDK	
International Assets Advisory, LLC	NFSC	0226	INTX	

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