

Alphabetical Reference

November 2014

Name	MUNI-OTC Symbol	CLEARING NO.		MUNI Type					
		OTC/Other	MUNI						
A. R. Schmeidler & Co., Inc.	SCHM		0443†	CNS					
Abacus Investments, Inc.	ABAI	0309Δ	0309†	CNS					
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	SHMR	0695							
ABN AMRO Clearing Chicago LLC	SIMA	0330Δ							
ABN AMRO Clearing Chicago LLC	ATGX	0396Δ							
ABN AMRO Clearing Chicago LLC	BRIX	0396Δ							
ABN AMRO Clearing Chicago LLC	CACX	0396Δ							
ABN AMRO Clearing Chicago LLC	FWBA	0396Δ							
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	MNTX	0396Δ							
ABN AMRO Clearing Chicago LLC	MQRX	0396Δ							
ABN AMRO Clearing Chicago LLC	OTFX	0396Δ							
ABN AMRO Clearing Chicago LLC	QLBX	0396Δ							
ABN AMRO Clearing Chicago LLC	WEBX	0396Δ							
ABN AMRO Clearing Chicago LLC	ZENA	0396Δ							
ABN AMRO Clearing Chicago LLC	JEXF	0536Δ							
ABN AMRO Clearing Chicago LLC	PITX	0541Δ							
ABN AMRO Clearing Chicago LLC	PRPX	0541Δ							
ABN AMRO Clearing Chicago LLC	SWDX	0541Δ							
ABN AMRO Clearing Chicago LLC	ALLX	0695Δ							
ABN AMRO Clearing Chicago LLC	ATIX	0695Δ							
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	FMGF	0695Δ							
ABN AMRO Clearing Chicago LLC	GPTX	0695Δ							
ABN AMRO Clearing Chicago LLC	GTTX	0695Δ							
ABN AMRO Clearing Chicago LLC	IMMX	0695Δ							
ABN AMRO Clearing Chicago LLC	LARX	0695Δ							
ABN AMRO Clearing Chicago LLC	LBKX	0695Δ							
ABN AMRO Clearing Chicago LLC	OBDX	0695Δ							
ABN AMRO Clearing Chicago LLC	OF SX	0695Δ							
ABN AMRO Clearing Chicago LLC	PISX	0695Δ							
ABN AMRO Clearing Chicago LLC	QEDX	0695Δ							
ABN AMRO Clearing Chicago LLC	QLTX	0695Δ							
ABN AMRO Clearing Chicago LLC	SETX	0695Δ							
ABN AMRO Clearing Chicago LLC	SLTX	0695Δ							
ABN AMRO Clearing Chicago LLC	SUNX	0695Δ							
ABN AMRO Clearing Chicago LLC	TTTX	0695Δ							
ABN AMRO Clearing Chicago LLC/Bonds	ABND	0575							
ABN AMRO Clearing Chicago LLC/CPM	FLTG	0330							
ABN AMRO Clearing Chicago LLC/Institutional	AACC	0541							
ABN AMRO Clearing Chicago LLC/Portfolio Margining	APMA	0396							
ABN AMRO Securities (USA) LLC	ABNA	0349							
Abner, Herrman & Brock, Inc.	AHBI	0352Δ	0352†	CNS					
Academy Securities, Inc.	ACAD	0352Δ	0352†	CNS					
Acadia Life International Limited		6902							
ACAP Financial, Inc.	ACAP	8072Δ							
Access Financial Group, Inc.	AFGI	0352Δ	0352†	CNS					
Access Securities, Inc.	AXCB	0443Δ	0443†	CNS					
Access Securities, Inc.	CBAL		0443†	CNS					
Access Securities, Inc.	AXCS	0443Δ							
Access Securities, Inc.	AXGP	0501Δ							
Accrued Equities, Inc.		5678							
Acorns Securities, LLC	ACRN	0235Δ							
ACPI Global UCITS Funds PLC		3329							
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, Inc.	ADVA	0052Δ	0052†	CNS					
Advantage GFC LLC	PINO	0750Δ							
Adviser Dealer Services, Inc.		5706							
Advisors Asset Management, Inc.	FISB		0226†	CNS					
Advisors Asset Management, Inc.	FISA	0443Δ	0443†	CNS					
Advisors Clearing Network, Inc.		0359							
Aegis Capital Corp.	ACCP	0158Δ	0158†	CNS					
Aegis Capital Corp.	AGCP	0235Δ	0235†	CNS					
Aegis Capital Corp.	AGIS	0235Δ	0235†	CNS					
Aegis Capital Corp.	AEGC	0512Δ	0512†	CNS					
Aegis Investments, Inc.	AEGS	0750Δ	0750†	CNS					
AG BD, LLC	AGBD	0352Δ							
Agency Trading Group, Inc.	ATGP	0226Δ	0226†	CNS					
AIG Capital Services, Inc.		5596							
AIG Capital Services, Inc.		5718							
AIG Capital Services, Inc./VALIC		5560							
Akar Capital Management, Inc.	CAAA	0750Δ							
Alamo Capital	ALAC	0309Δ	0309†	CNS					
Alanar Incorporated	ALIN		0309†	CNS					
Alerus Financial, N.A.		1381							
Alerus Securities Corporation	FNBS	0235Δ	0235†	CNS					
Alexander (Don) Investments, Inc.	DAII	0235Δ	0235†	CNS					
Alexander Capital, L.P.	ACL P	0235Δ	0235†	CNS					
Alexander Investment Services Co.	ALIS	0235Δ	0235†	CNS					
Alexandra & James Co.	AJCO		0443†	CNS					
Alforma Capital Markets, Inc.	ALFA	0443Δ							
Algo Engineering Execution Services LLC	ALGF	0541Δ							
All Funds, Inc.	AFIN		0226†	CNS					
Alleghany Investments Inc.	ALLE		0226†	CNS					
Allen & Company LLC	ALLN	0443Δ							
Allen & Company of Florida, Inc.	ALEN		0141†	CNS					
Allen, Mooney & Barnes Brokerage Services, LLC	AMBB		0141†	CNS					
Alliance Advisory & Securities, Inc.	ALAD		0235†	CNS					
Alliance Bernstein Investment Research and Investment		5515							

Alphabetical Reference

November 2014

Management, Inc.									
Alliance Financial Group, Inc.	AKGS	0141Δ	0141†	CNS	Allstate Life Insurance Company/CIGNA/Administered by Se2 Technology Solution		4690		
AllianceBernstein Investment Research and Investment Mgmt, Inc./Sanford C. Bernstein		5553			Allstate Life Insurance Company/Fixed		4750		
AllianceBernstein Investment Research and Investment Mgmt., Inc./ACIT		6584			Allston Trading, LLC	ALTN	0695Δ		
AllianceBernstein Investment Research and Investment Mgmt., Inc./International Div.		5809			Allston Trading, LLC	ALTR	0695Δ		
AllianceBernstein Investments, Inc.		1236			Alluvion Securities, LLC	ALLU	0750Δ	0750†	CNS
Alliant Securities, Inc. Turner, Nord, Kienbaum	BZTN		0141†	CNS	Alpine Securities Corporation	ALPS	8072		
Allianz Global Investors Distributors LLC		5554			ALPS Distributors Inc.		5642		
Allianz Global Investors Distributors LLC/Allianz Global Investors Fund SICAV		5609			Alps Distributors Inc./1290 Funds		3144		
Allianz Global Investors Distributors LLC/College Access Plan		5579			ALPS Distributors Inc./Broadview Funds		1349		
Allianz Global Investors Distributors LLC/MI 529 Advisors Plan		6768			ALPS Distributors Inc./Centre Funds		5455		
Allianz Global Investors Distributors LLC/Oklahoma Dream 529		5921			ALPS Distributors Inc./Cognios Funds		7032		
Allianz Global Investors Distributors LLC/Premier Multi-Series VIT		5703			ALPS Distributors Inc./Cupps Funds		3062		
Allianz Life Insurance Co. of New York-Fixed Business		4682			ALPS Distributors Inc./GKE Asian Opportunities Fund		7944		
Allianz Life Insurance Co. of North America-Fixed Business		4570			ALPS Distributors Inc./Griffin Institutional Access Real Estate Fund		3086		
Allianz Life Insurance Company of New York		4524			ALPS Distributors Inc./James Advantage Funds		5613		
Allianz Life Insurance Company of North America		4523			ALPS Distributors Inc./Litman Gregory Masters Funds		4892		
Allied Beacon Partners, Inc.	ABPI		0235†	CNS	ALPS Distributors Inc./Longleaf Partner Funds		4863		
Allstate Financial Services, LLC	LAGI		0226†	CNS	ALPS Distributors Inc./New Sheridan Funds		3113		
Allstate Financial Services, LLC		0222			ALPS Distributors Inc./Resource Real Estate Diversified Income Fund		7047		
Allstate Financial Services, LLC/Allstate Financial Annuities		5341			ALPS Distributors Inc./Whitebox Funds		3763		
Allstate Life Insurance Company		4528			ALPS Distributors, Inc./13D Activist Fund		3796		
Allstate Life Insurance Company of New York		4557			ALPS Distributors, Inc./ALPS Variable Investment Trust #6609		6609		
Allstate Life Insurance Company of New York/Administered by Prudential		4688			ALPS Distributors, Inc./AQR Funds		5922		
Allstate Life Insurance Company of New York/Administered by SE2 Technology Solutions		4697			ALPS Distributors, Inc./Aspen Funds		3717		
Allstate Life Insurance Company of New York/Fixed		4751			ALPS Distributors, Inc./Babson Capital Funds Trust		7957		
Allstate Life Insurance Company/Administered by Prudential		4687			ALPS Distributors, Inc./BBH Funds		5722		
Allstate Life Insurance Company/Administered by SE2 Technology Solutions		4696			ALPS Distributors, Inc./Brown Capital		3740		
Allstate Life Insurance Company/Cigna		4580			ALPS Distributors, Inc./Caldwell & Orkin		5684		
					ALPS Distributors, Inc./Centaur Mutual Funds		5337		
					ALPS Distributors, Inc./Century Capital Management Trust		5597		
					ALPS Distributors, Inc./Corner Cap Funds		5384		
					ALPS Distributors, Inc./Cortina Funds		3762		
					ALPS Distributors, Inc./CRM Funds		6619		
					ALPS Distributors, Inc./Crystal Strategy Funds		1329		
					ALPS Distributors, Inc./Cullen Funds		5466		
					ALPS Distributors, Inc./Cullen Funds plc		3710		
					ALPS Distributors, Inc./Emerald		3619		

Alphabetical Reference

November 2014

Funds					Ambassador Financial Group, Inc.	AFGT	0279Δ	0279†	CNS
ALPS Distributors, Inc./FirstHand Funds	4901				America Northcoast Securities, Inc.	DALE	0443Δ	0443†	CNS
ALPS Distributors, Inc./FIT-ALPS Funds	5904				America Northcoast Securities, Inc.		4951		
ALPS Distributors, Inc./Grandeur Peak Funds	3759				American Capital Partners	ACPL	0235Δ		
ALPS Distributors, Inc./Heartland Funds	5571				American Centurion Life Assurance Company		4600		
ALPS Distributors, Inc./Henssler Funds	6550				American Century Brokerage, Inc.	ACBD	0443Δ	0443†	CNS
ALPS Distributors, Inc./Holland Balanced Fund	6597				American Century Investment Services Inc./Kansas Postsecondary Savings Program		5338		
ALPS Distributors, Inc./Index IQ Trust	6505				American Century Investment Services Inc./SICAV Funds		3728		
ALPS Distributors, Inc./Insignia Funds	3024				American Century Investment Services, Inc.		5646		
ALPS Distributors, Inc./Laudus Funds	4903				American Diversified Financial Group, LLC	ADFG	0235Δ	0235†	CNS
ALPS Distributors, Inc./Mairs and Power Funds Trust	6546				American Enterprise Investment Services Inc.	HRBF	0756	0756	CNS
ALPS Distributors, Inc./Oak Funds	5761				American Enterprise Investment Services Inc.		3433		
ALPS Distributors, Inc./Pathway Advisors Funds	3356				American Enterprise Life Insurance Company		4541		
ALPS Distributors, Inc./Paxworld Funds	4940				American Funds Distributors, Inc.		0754		
ALPS Distributors, Inc./Redmont Funds	3787				American Funds Distributors, Inc.		5504		
ALPS Distributors, Inc./River North Funds	6520				American Funds Distributors, Inc./LC Planpremier		6508		
ALPS Distributors, Inc./Riverside Funds	3028				American General Life Ins Co/AIG Annuities - Fixed		3310		
ALPS Distributors, Inc./Seafarer Funds	3777				American General Life Ins Co/AIG Annuities - Fixed and Index		4623		
ALPS Distributors, Inc./Stadion Funds	6692				American General Life Ins Co/AIG Annuities - Service Only Fixed		4507		
ALPS Distributors, Inc./State Street Institutional Investment Trust	6516				American General Life Ins Co/AIG Annuities - Variable and Index		4516		
ALPS Distributors, Inc./Stone Harbor	5309				American General Life Ins Co/AIG Annuities (SE2)		4537		
ALPS Distributors, Inc./Stonebridge Capital Management	5806				American General Life Ins Co/AIG Annuities (SE2) - Variable		4648		
ALPS Distributors, Inc./The Arbitrage Fund	5521				American General Life Insurance Company		4502		
ALPS Distributors, Inc./Vulcan Value Partners Fund	5313				American General Securities Incorporated	AMGN		0443†	CNS
ALPS Distributors, Inc./Wakefield Fund	3688				American Heritage Securities, Inc.	AHSI		0141†	CNS
ALPS Distributors, Inc./WesMark Funds	5944				American Independent Securities Group, LLC	AISG	0235Δ	0235†	CNS
ALPS Distributors, Inc./Wilmington Funds	5696				American Independent Securities Group, LLC		6912		
AltaCorp Capital (USA) Inc.	ACCU	0158Δ	0158†	CNS	American Investors Group	AIGI		0279†	CNS
Altegris Portfolio Management, Inc. dba Altegris Funds		3476			American Municipal Securities Inc.	AMMS		0141†	CNS
Alternative Execution Group	AEXG	0052Δ			American National Insurance Company		4569		
Alternatives Direct Group, LLC		1480			American Network Securities Corp.	AMNN		0443†	CNS
AlterNet Securities Inc.	ALTX	0099Δ			American Portfolios Financial Services, Inc.		0555		
Alton Securities Group Inc.	ASGI	0235Δ	0235†	CNS	American Trust Investment Services, Inc.	PEER		0235†	CNS
Altrushare Securities LLC	ATRU	0100Δ			American United Life Insurance Company		4591		
Alzaid Financial Services, Inc.	AZAD	0750Δ	0750†	CNS					
AM&M Financial Services, Inc.		3920							
AM&M Investment Brokers, Inc.	AMMI		0443†	CNS					

Alphabetical Reference

November 2014

American United Life Insurance Company		4746			Arbor Research & Trading, LLC	CLRT	6783	6783	TFT
American United Life Insurance Company/2		4754			Arbor Research & Trading, LLC.	ARTI	0388Δ		
American United Life Insurance Company/3		4757			ARCA Capital Investments, Inc.	ACII	0158Δ		
American United Life Insurance Company/COM Test		1364			Arca Capital Investments, Inc.	INST	2154Δ		
America's Portfolio's	APFS		0443†	CNS	Arcadia Investment Corp.	AICO	0352Δ	0352†	CNS
Amerifunds Diversified Funding, LLC		1090			Arcadia Securities, LLC	ARCD	0443Δ		
Ameritas Investment Corp.	BLNI		0226†	CNS	Archer Distributors LLC/Arrow Funds		4824		
Ameritas Investment Corp.	AICB	0235Δ			Archer Distributors, LLC		7021		
Ameritas Investment Corporation		0249			Archev & Co. LLC	JINS	0052Δ		
Ameritas Life Insurance Corp.		4539			Archipelago Securities, LLC	ACRA	0436		
Ameritrade, Inc.	AMTD		0188†	CNS	Archipelago Securities, LLC	ALLC	0436Δ		
AMG Funds LLC		5736			Archipelago Securities, LLC	ARRB	0436Δ		
AMG Funds LLC/Tweedy Browne Company		5488			Archipelago Trading Services, Inc.	ARCA	0436Δ		
Amherst Pierpont Securities LLC	PPSL	0443Δ			Ardour Capital Investments, LLC	ARDR	0103Δ		
AmTrust Investment Services, Inc.		7148			Arete Wealth Management	KEYS		0226†	CNS
Amundi Luxembourg S.A.		3391			Ariel Distributors LLC		5751		
AMUR Advisors, LLC	AMUR	0309Δ			Arive Capital Markets LLC	ARIV	0309Δ	0309†	CNS
ANB Financial Group LLC	ANBF		0309†	CNS	ARKA Securities, Inc.	ARKA		0443†	CNS
Anderson & Strudwick, Inc.	ANSR		0443†	CNS	Artisan Partners Distributors, LLC		6653		
Andes Capital Group, LLC	ACGP	0235Δ	0235†	CNS	Arvest Investments, Inc.	ARVS	0141Δ	0141†	CNS
Anovest Financial Services, Inc.	ANOV	0750Δ	0750†	CNS	Arvest Investments, Inc.		4988		
ANZ Securities, Inc.	ANZS		0443†	CNS	ASB Securities, LLC		5581		
APB Financial Group, LLC	APBI	0103Δ			Ascendant Capital Markets, LLC	ASCR	0595Δ	0595†	CNS
Apex Clearing Corporation	PFCL	0158	0158	CNS	Ascendant Capital Markets, LLC	ASCM	0158Δ		
Apex Clearing Corporation	APCC	0158Δ			Ascensus Trust Company		2563		
Apex Clearing Corporation/Merrimac Corp		0373			Ascensus Trust Company/EFC Financial Services LLC		1328		
Aplifi, Inc.		6358			Ascentia Real Estate Holding Company, LLC		1742		
Apro II, LLC		1532			Ashmore Investment Management (US) Corporation		5195		
Apto Partners, LLC	APTO	0103Δ	0103†	CNS	Ashmore Investment Management (US) Corporation/Foreign Account		3370		
Aquila Distributors, Inc.		5552			Ashton Young, Inc.	MOMY	0279Δ	0279†	CNS
Arbor Court Capital LLC		7023			Askar Corp.	ASKR		0141†	CNS
Arbor Court Capital LLC/ Tea Leaf Management Investment Trust		7106			Aspen Equity Partners, LLC	ASPN	0309Δ	0309†	CNS
Arbor Court Capital LLC/CCA Investments Trust		7099			AssetMark Trust Company		5970		
Arbor Court Capital LLC/Clark Fork Trust		7934			Associated Bank, N.A.		2257		
Arbor Court Capital LLC/Elessar Funds Investment Trust		7931			Associated Investment Services, Inc.	ASOI		0226†	CNS
Arbor Court Capital LLC/Endurance Series Trust		7932			Associated Investment Services, Inc.		7192		
Arbor Court Capital LLC/Grand Prix Investors Trust		3030			Associated Securities Corporation	ASSO	0075Δ		
Arbor Court Capital, LLC/Archer Investment Series Trust		7952			AST Investor Services LLC	ASTI		0226†	CNS
Arbor Court Capital, LLC/DMS Funds		7013			ATEL Securities Corporation		1846		
Arbor Court Capital, LLC/Meyers Capital Investments Trust		3122			Athene Annuity & Life Assurance Company		4562		
Arbor Court Capital, LLC/MP63 Fund		3123			Atis, Inc.	JEVO	0235Δ	0235†	CNS
Arbor Court Capital, LLC/PSG Capital Management Trust		3051			Atlantic Financial Services of Maine, Inc.	AFSM	0750Δ		
Arbor Research & Trading, Inc.	ARTI		0388†	CNS	Atlantic Trading Partners Incorporated	ATTR	0235Δ	0235†	CNS
					Atlas One Financial Group, LLC	AFGL	0161Δ	0161†	CNS
					ATM Execution LLC	ATMC	0161Δ		
					Atrium Trading, Inc.	ATRM	0017Δ		
					Attain Portfolio Advisors, LLC		1941		
					Audobon Securities, Inc.	AUDO		0418†	CNS
					Auerbach Grayson & Co. Inc.	AGCO	0443Δ		
					Aufhauser Securities, Inc.	ARBI	0443Δ	0443†	CNS
					Aura Financial Services, Inc.	AURA	0750Δ	0750†	CNS
					Auriga USA, Inc.	ARGA	0443Δ	0443†	CNS

Alphabetical Reference

November 2014

Aurora Capital LLC	AURC	0052Δ	0052†	CNS	Bank of America N.A./ GWIM TRUST OPERATIONS				0955
Ausdal Financial Partners, Inc.		6905			Bank of America, N.A.	NBNA		6737	TFT
Automated Trading Desk Financial Services, LLC	ATDF	0505Δ			Bank of America, N.A./Lasalle Bank N.A.			2251	
Automated Trading Desk Financial Services, LLC	AUTO	0505Δ			Bank of Oklahoma, N.A.	BOKL		6752	TFT
Autonomous Research US, LP	ARUS	2154Δ			Bankers & Investors Co.	BAIN	0279Δ	0279†	CNS
Avenir Financial Group, Inc.	AFGR	0052Δ	0052†	CNS	Bankers Bank	BBID		6409	TFT
Aventura Securities, LLC	AVEN		0226†	CNS	BankersBanc Capital Corporation	BBCC	0750Δ	0750†	CNS
Avian Securities, LLC	AVIA		0443†	CNS	Bankoh Investment Services, Inc.	PCIS		0226†	CNS
Aviate Global LP	AVUS	2154Δ			Banner Life Insurance Company			7976	
Avila Capital Markets, Inc.	AVIL	0226Δ	0226†	CNS	Bannockburn Partners, LLC	GOAL	0750Δ		
AVM, L.P.	AVML	0443Δ	6704	TFT	Banorte-Ixe Securities International, LTD	BISI	0309Δ		
Avondale Partners, LLC	AVON	0226Δ	0226†	CNS	Banyan Securities, LLC	BNYN	0226Δ	0226†	CNS
AWM Securities, Inc.	FINC	0279Δ			Barclays Capital Inc.			5340	
AXA Advisors, LLC	AXAA		0075†	CNS	Barclays Capital Inc./Barclays Celsius Funds Ireland/Malta			5375	
AXA Equitable Life Insurance Company		4535			Barclays Capital, Inc.	BCAP		5101	
AXA Equitable Life Insurance Company/Equivest Employer Sponsored		7005			Barclays Capital, Inc.	BCHY		5101Δ	
AXA Equitable Life Insurance Company/Life Insurance		4632			Barclays Capital, Inc.	BCPP		5101Δ	
AXA Equitable Life Insurance Company/Retirement Gateway		7006			Barclays Capital, Inc.	BWEL	0443Δ	0443†	CNS
AXA Network, LLC		7123			Barclays Capital, Inc./Fixed Income	BCAP		7256	CNS
Axiom Capital Management, Inc.	AXIO	0352Δ	0352†	CNS	Barclays Capital, Inc./LE	LEHM	0229	0229	CNS
Axys Capital LLC		1456			Barclays Capital, Inc./LE	LATS	0229Δ		
Azzad Funds		5662			Barclays Capital, Inc./LE	LEHB	0229Δ		
B&T Securities, Inc.	BTSI	0595Δ	0595†	CNS	Barclays Capital, Inc./LE	LEHP	0229Δ		
Babson Capital Securities LLC		3040			Barclays Capital, Inc./LE	LHMA	0229Δ		
BAC Florida Investments Corp.	BCCS		0443†	CNS	Barclays Capital, Inc./LE	LHMB	0229Δ		
Baceline Investments, LLC		1646			Barclays Capital, Inc./LE	LHMS	0229Δ		
Backstrom McCarley Berry & Co., LLC	BMCB		0103†	CNS	Barclays Capital, Inc./LE	LHSB	0229Δ		
Baird (Robert W.) & Co., Incorporated	BARD	0547	0547	CNS	Barclays Capital, Inc./Market Maker			0055	
Baird Patrick & Co., Inc.	BPAT		0443†	CNS	Barclays Capital Inc.	BCDX	0229Δ		
Baker & Co., Incorporated	BCOM	0235Δ	0235†	CNS	Baron Capital Inc.			4862	
Baker (C.P.) Securities Incorporated	CPBC	0750Δ			Barrett & Company	BARR	0226Δ	0226†	CNS
Baldwin (Leigh) & Co., LLC	LEBO	0226Δ	0226†	CNS	Barrington Research Associates, Inc.	BRRR	0352Δ	0352†	CNS
Ballew Investments, Inc.	BALL		0443†	CNS	Barron (Nancy) & Associates, Inc.	NBAR		0226†	CNS
Banc West Investment Services		6130			Barton Creek Ltd.	BCLT		0309†	CNS
Banca IMI Securities Corp.	BIMI	0136	0136	CNS	Base Securities LLC	CARL		0443†	CNS
Banco Votorantim Securities, Inc.	VOTO	0443Δ	0443†	CNS	BATS Trading, Inc.	BATM	0050Δ		
Bancorp Bank (The)	TBBK		0226†	CNS	BATS Trading, Inc.	BYXM	0050Δ		
Bancorp Bank (The)		4859			BATS Trading, Inc.	EGAM	0050Δ		
Bancorp Bank (The)/Liquid Cash Account		3388			BATS Trading, Inc.	EGXM	0050Δ		
Bancorp Bank (The)/Master Demand Account Advantage		3606			BATS Trading, Inc.	BATS	0103Δ		
Bancorp Bank (The)/Participant Protection Account		3308			BATS Trading, Inc.	BYXX	0103Δ		
Bancorpsouth Investment Services, Inc.	BSIS		0443†	CNS	BATS Trading, Inc.	EGAW	0103Δ		
BancorpSouth Investment Services, Inc.		6048			BATS Trading, Inc.	EGXW	0103Δ		
Banesto Securities, Inc.	BSTO		0443†	CNS	Baum (George K.) & Co.	BAUM	0129	0129	TFT
Banif Securities Inc.	BANF	0443Δ	0443†	CNS	Bay Colony Securities Co., Inc.	LMSC		0235†	CNS
Bank of America N.A.		2236			Bay Crest Partners, LLC	BAYC	0161Δ		
					Bayes Capital LLC	BAYS	0824Δ		
					Bayes Capital LLC	BETC	0873Δ		
					Bayes Capital Markets LLC	BAYZ	0873Δ		
					BB&T Investment Services, Inc.	BBTT	0702Δ	0702†	CNS
					BB&T Investment Services, Inc.		0156		
					BB&T Securities, LLC	BBNT	0702	0702	CNS
					BBS Securities, Inc./CDS		5085		
					BBVA Investments Inc.	BCMR		0443†	CNS

Alphabetical Reference

November 2014

BBVA Securities Inc.	LTIN	2786	2786	CNS	BHIL Distributors, Inc./Asset Management Fund				6641
BBVA Securities Inc.		7227							
BCP Securities, LLC	BRCY	0443Δ	0443†	CNS	BHIL Distributors, Inc./Cook & Bynum Funds				5928
Beacon Gate LLC	BEAG	0501Δ			BHIL Distributors, Inc./Diamond Hill Funds				4729
Beacon Investment Company	BICA		0443†	CNS	BHIL Distributors, Inc./Highland Funds				5979
Beaconsfield Financial Services, Inc.	BEAF	0235Δ	0235†	CNS	BHIL Distributors, Inc./Independent Franchise Partners US Equity Fund				3754
Beal (M.R.) & Company	BEAL		0443†	CNS	BHIL Distributors, Inc./JOHCM Funds				7979
Bear Creek Securities, LLC	BCRK	0309Δ	0309†	CNS	BHIL Distributors, Inc./Praxis Funds				5791
Beck (H.), Inc.		0731			BHIL Distributors, Inc./Robeco Institutional Asset Management B.V.				3607
Becker & Suffern Ltd.	BECS		0443†	CNS	BHIL Distributors, Inc./The Boston Trust & Walden Funds				6622
Bedford Securities, Inc.	BSIN		0418†	CNS	BHK Securities, LLC	BHKS		0141†	CNS
Bedrok Securities, LLC	STLZ	0443Δ	0443†	CNS	BIDS Trading L.P.	BIDS	0161Δ	0161†	CNS
Bel Air Securities LLC	BELS	0352Δ	0352†	CNS	Bill Few Associates, Inc.	BFEW		0443†	CNS
Bellamah, Neuhauser & Barrett, Inc.	BNBB	0750Δ	0443†	CNS	Biltmore International Corporation	BMIC	0824Δ		
Belle Haven Investments, LP	BHLP		0226†	CNS	Biondo Asset Management LLC	BGIA	0226Δ	0226†	CNS
Belle Haven Investments, LP	BHII		0443†	CNS	Birchwood Securities Corp.	BWEX	0595Δ	0595†	CNS
Beloyan Investment Securities, Inc.	BELO	0052Δ	0052†	CNS	Biremis Corporation	BRMS	0100Δ		
Belvedere Trading LLC	BELV	0501Δ			Birkelbach Investment Securities, Inc.	BRKE		0443†	CNS
Benchmark Company, LLC (The)	BNCH	0352Δ	0352†	CNS	Bishop, Rosen & Co., Inc.	BISH	0226Δ	0226†	CNS
Benchmark Investments, Inc.	BMRK	0235Δ	0235†	CNS	Black (James I.) & Co.	BLCK	7031	7031	CNS
Benchmark Securities LLC	BMKS	0309Δ	0309†	CNS	Blackburn & Company	BLKB		0642†	CNS
Benefit Trust Company		0761			BlackRock Execution Services	BGIS	0352Δ	0352†	CNS
Benefit Trust Company		6647			BlackRock Institutional Trust Company, N.A.		4722		
Benefit Trust Company/Prime Plan Solutions		3694			BlackRock Investments, LLC		5882		
Benjamin & Jerold Brokerage I, LLC	BEGK	0100Δ			BlackRock Investments, LLC/BlackRock Global Funds		4982		
Benjamin & Jerold Brokerage I, LLC	BEJB	0873Δ			BlackRock Investments, LLC/BlackRock Liquidity Funds		5813		
Benjamin & Jerold Brokerage, Inc.	BEJJ	0052Δ	0052†	CNS	BlackRock Investments, LLC/Bond Allocation Target Shares		4868		
Benjamin F. Edwards & Co.	BFEC	0443Δ			BlackRock Investments, LLC/ICS		5123		
Benjamin Securities Investment Co., Inc.	BENS	0279Δ			Blackwall Capital Markets, Inc.	BCMI	0235Δ	0235†	CNS
Benjamin Securities, Inc.	BNJM	0235Δ			Blair (William) & Company, LLC	WBLR	0771	0771	CNS
Berghoff & Company, Inc.	BEMC		0235†	CNS	Blair (William) & Company, LLC		5538		
Bermuda Investment Advisory Services	BERM		0443†	CNS	Blaylock Robert Van, LLC	BRVL	0443Δ	0443†	CNS
Bernardi Securities, Inc.	BNDI		0443†	CNS	Bley Investments Group, Inc.	BLAY	0443Δ	0443†	CNS
Bernstein (Sanford C.) & Co., Inc.	BERN	0013	0013	CNS	Blinkbox, Ltd.	BBOX	0873Δ		
Bernstein (Sanford C.) & Co., LLC	SBER	0013Δ	0013†	CNS	Block Kelly Company	BKKY	0750Δ		
Berry Shino Securities, Inc.	BSAZ		0103†	CNS	Bloomberg Tradebook LLC	BOOK	7001		
Berthel, Fisher & Company Financial Services, Inc.	BFFI	0226Δ	0226†	CNS	Bloomberg Tradebook LLC	IOIX	0651Δ		
Bertolet Capital Trust		6701			Bloomberg Tradebook LLC	BTBK	7001Δ		
Berwyn Financial Services	BFSA	0226Δ			Blount Parrish & Co., Inc.	BPCO		0750†	CNS
Best Direct Securities, LLC	BDSE	0750Δ			Blue Alternative Asset Management LLC		3405		
BestVest Investments, Ltd.	BVIS	0235Δ	0235†	CNS	Blue Bay Capital Ltd.	BBAY	0750Δ		
Beta Capital Management	BECM	0352Δ			Blue Capital Securities, Inc.	BCSB	0352Δ	0352†	CNS
BGB Securities Inc.	BGCM	0103Δ			Blue Creek Securities, Inc.	ITFS		0226†	CNS
BGC Financial Inc.	MAXC	0537Δ			Blue Trading, Inc.	WBCO	0501Δ		
BGC Financial Inc.	MINT	0537Δ			Blue Vase Securities, LLC	BLVS	0161Δ		
BGC Financial, Inc.	BGCE	0161Δ			Bluebid Brokerage, LLC	BBBI		0443†	CNS
BGC Financial, Inc.	EBKR	0537Δ			Bluebird Asset Management, LLC		1672		
BGC Financial, Inc.	MAXN	0537Δ							
BGC Financial, L.P.	BGCF	0537	0537	CNS					
BGC Financial, L.P.	WHBB	0537Δ	0537†	CNS					
BGC Financial, L.P.	WOHU		0537†	CNS					
BHIL Distributors, Inc.		6532							
BHIL Distributors, Inc./AIT Global Emerging Markets Opportunity Fund		7091							

Alphabetical Reference

November 2014

Bluefin Research Partners, Inc.	TUNA	0443Δ	0443†	CNS	Bozarth, Newton & Murphy Securities, Inc.	BNMI		0226†	CNS
BlueFire Capital, LLC	FIRE	0695Δ			BPU Investment Management Inc.	BZPI		0443†	CNS
Blum (Robert) Municipals Inc.	RBMU		0279†	CNS	Bradesco Securities, Inc.	BRSE	0226Δ	0226†	CNS
BMA Securities	BMAC	0052Δ	0052†	CNS	Branch Banking and Trust Company		5385		
BMA Securities	BMSS	0512Δ			Branch Banking and Trust Company/Crump Life Insurance Services		3376		
BMA Securities	BMAK	0824Δ			Brandis Tallman LLC	NBST		0103†	CNS
BMO Capital Markets Corp.	BMOC	0045			Brasil Plural Securities LLC	BRPR	0443Δ		
BMO Capital Markets GKST Inc.	GKST	2344	2344	CNS	Braver Stern	BRST		0443†	CNS
BMO Capital Markets GKST Inc.	GKST		6001	TFT	Braymen, Lambert and Noel Securities, Ltd.	BLNS	0309Δ	0309†	CNS
BMO Harris Bank NA	HRST		6713	TFT	Bread & Butter Fund, Inc.		5358		
BMO Harris Bank NA		2697			Brean Capital, LLC	BMUR	0443Δ	0443†	CNS
BMO Harris Bank NA/Trust		0992			Brean Murray, Carret & Co., LLC	CRRT		0443†	CNS
BMO Harris Financial Advisors, Inc.		5152			Brecek & Young	BYAI		0226†	CNS
BMO Investment Distributors, LLC		5352			Brent (H.D.) & Company, Inc.	BRNT	0235Δ	0235†	CNS
BMO Investment Distributors, LLC/ George Frontier Markets Equity Fund			1392		Briggs-Ficks Securities, LLC	BFSL	0235Δ	0235†	CNS
BMO Investment Distributors, LLC/BMO Funds		6561			Brighton Securities Corp.	BGHT		0141†	CNS
BMO Nesbitt Burns Inc./CDS	NTBF	5043●			Brill Securities, Inc.	BRIL	0352Δ	0352†	CNS
BMO Nesbitt Burns Securities, Ltd.	NBSL	0352Δ			Brinker Capital Securities Corp.	BRNK		0226†	CNS
BNP Paribas Investment Partners Trust Company		5493			Britannica Capital Partners, LLC	BCPL	0750Δ		
BNP Paribas Prime Brokerage, Inc.	BPBI	2154	2154	CNS	Brittingham, Inc.	BRIT		0226†	CNS
BNP Paribas Securities Corp.	PARI	0630	0630	CNS	Broad Street Securities	BDST		0352†	CNS
BNP Paribas Securities Corp.	BNPS	2154Δ	2154†	CNS	Broadband Capital Management, LLC	BAND	0103Δ		
BNP Paribas Securities Corp.		5551			Broker Dealer Financial Services Corp.	BKFC		0141†	CNS
BNP Paribas Securities Corp.	BNPB	2154Δ			Broker Dealer Financial Services Corp.		5985		
BNP Paribas Securities Corp.	BNPX	2154Δ			Brookshire Securities Corporation	BSCO	0750Δ	0750†	CNS
BNP Paribas Securities Corp.	PARI	2154Δ			Brookview Capital LLC	BKVW		0443†	CNS
BNP Paribas Securities Corp./Lion Global Investors		3604			Brown & Brown Securities, Inc.	BRBR	0279Δ	0279†	CNS
BNP Paribas, New York Branch		1310			Brown Advisory Securities, LLC	BSEC		0141†	CNS
BNP Paribas, New York Branch		2787			Brown Associates, Inc.	BWNA	0235Δ	0235†	CNS
BNY Capital Markets Inc.	BKCM	0443Δ	0443†	CNS	Brown Brothers Harriman & Co.	BBHC	0010		
BNY Convergenx Execution Solutions, LLC	NYFT	0100Δ			Brown Brothers Harriman & Co.		5930		
BNY Convergenx Execution Solutions, LLC	NYFX	0100Δ			Brown Brothers Harriman & Co./BBH Collective Investment Series Trust		5135		
BNY Mellon Capital Markets LLC	BKMM	0443Δ			Brown Brothers Harriman and Company/ETF		0109		
BNYM/UIT NSCC CNS Clearance		8355			Brown, Lisle/Cummings, Inc.	BRLI		0226†	CNS
Bodell Overcash Anderson & Co.	BOLL	0309Δ	0309†	CNS	Brownstone Investment Group	BIGG	0501Δ		
Boe Securities Inc.	BOSE	0099Δ			Brownstone Investment Group, LLC	BIGZ	0443Δ	0443†	CNS
Boenning & Scattergood, Inc.	BOSC	0141Δ	0141†	CNS	Brownstone Investment Group, LLC	BIGP	0443Δ		
BofA Distributors, Inc.		5320			BTG Pactual US Capital LLC	PACT	0443Δ		
Bolton Global Capital	RAYG	0443Δ	0443†	CNS	BTIG, LLC	BTIX	0352Δ	0352†	CNS
Bolton Securities Corporation	BLTN	0235Δ	0235†	CNS	BTIG, LLC	BTIS	0443Δ		
Bond One, LLC	BDON	0750Δ	0750†	CNS	BTIG, LLC	BAYT	0501Δ		
BondDesk Trading LLC	BDDK		0226†	CNS	BTIG, LLC	BTIG	0501Δ		
Bonddesk Trading, LLC	BDTR		0226†	CNS	Buckingham Research Group Incorporated (The)	BUCK	0226Δ	0226†	CNS
Bonds.com, Inc	BNDS		0443†	CNS	Buckman, Buckman & Reid, Inc.	BKRT	0235Δ	0235†	CNS
Bonwick Capital Partners, LLC	WICK	0309Δ	0309†	CNS	Buell Securities Corp.	BUEL	0443Δ	0443†	CNS
BOSC, Inc.	BOKF		6757	TFT	Bulltick Securities, Inc.	BLTS		0443†	CNS
BOSC, Inc.	BOKI	0443Δ	0443†	CNS	Bulltick, LLC	BLTK	0443Δ		
Botzum (C.A.) & Company	BOTZ	0052Δ	0052†	CNS	Burke & Quick Partners LLC	BAQP	0443Δ	0443†	CNS
Boursa Investments	BRSA	0103Δ	0103†	CNS	Burke, Lawton, Brewer & Burke, LLC	BURK		0141†	CNS
Boursa Investments	BOIN	0873Δ			Burnham Securities Inc.	BRNM	0352Δ	0352†	CNS

Alphabetical Reference

November 2014

Burnham Securities Inc.		5583			Cantor Fitzgerald & Co./Debt Capital Markets	CFCO	7311	7311	CNS
Butler Larsen Pierce & Company, Inc.	BLPC		0279+	CNS	Cantor, Weiss & Friedner, Inc.	CWEI		0443+	CNS
Buttonwood Partners, Inc.	BPWP		0226+	CNS	Cape Securities, Inc.	CAPE	0279Δ	0279+	CNS
C.I.G. Corp.		6479			Cape Securities, Inc.	KAPE	0279Δ	0279+	CNS
C.M. Life Insurance Company		4547			Capital Analysts Inc.	CAPF		0443+	CNS
C.O.R.E Marketing Inc		6006			Capital Financial Services, Inc.		0235Δ		
Cabot Lodge Securities LLC	CLSS		0443+	CNS	Capital Guardian Trust Company		4873		
Cabot Lodge Securities LLC	CLSC	0235Δ			Capital Guardian Trust Company/Capital International Funds			5107	
Cabot Lodge Securities LLC	CLSS	0235Δ			Capital Guardian Trust Company/CGPCS			5389	
Cabrera Capital Markets, Inc.	CABA	0161Δ	0161+	CNS	Capital Guardian Trust Company/US Bank			7077	
Cabrera Capital Markets, Inc.	CABR	0443Δ	0443+	CNS	Capital Guardian, LLC	CGDN		0443Δ	
Cadaret, Grant & Co. Inc.		0241			Capital Institutional Services, Inc.	CIST	0161Δ	0161+	CNS
Cadaret, Grant & Co. Inc./Cadaret Grant Agency Inc.		3309			Capital Institutional Services, Inc.		0475		
Cadaret, Grant & Co., Inc.	CGAT	0443Δ	0443+	CNS	Capital Integration Systems LLC		1836		
Cadwyn Point Partners LLC	CADP	0100Δ			Capital Integration Systems LLC		1837		
Cain Brothers & Company, LLC	CBCI		0443+	CNS	Capital Integration Systems LLC		1844		
Calamos Financial Services LLC		5835			Capital Integration Systems LLC		3470		
Calamos Financial Services LLC/Calamos Global Fund PLC		6621			Capital Investment Brokerage Inc.	CAPB	0750Δ	0750+	CNS
Caldwell International Securities Corporation	CISC	0279Δ	0279+	CNS	Capital Investment Group, Inc.	CAPG	0750Δ	0750+	CNS
Caldwell Securities Ltd./CDS		5013			Capital Investment Group, Inc.		0545		
Caldwell Securities, Incorporated	CALD	0103Δ			Capital Investment Group, Inc.		5664		
Caldwell Trust Company		2687			Capital Management Securities, Inc.	CMSI		0279Δ	
Cales Investments, Inc.	CALE	0750Δ			Capital One Investment Services LLC			0431	
Callaway Financial Services, Inc.	CALL	0309Δ	0309+	CNS	Capital One Investment Services LLC/Chevy Chase Securities, Inc.			0290	
Calton & Associates, Inc.	CALT	0279Δ	0279+	CNS	Capital One Securities, Inc.	SOCO	0443Δ	0443+	CNS
Calton & Associates, Inc.		7024			Capital Path Securities, LLC	PATH	0052Δ	0052+	CNS
Calvert Investment Distributors, Inc.		5543			Capital Path Securities	CAPT		0512+	CNS
Cambria Capital, LLC	CAMC	0052Δ	0052+	CNS	Capital Portfolio Management Inc.	CPMI	0352Δ	0352+	CNS
Cambridge Investment Research, Inc.	CIRI	0443Δ	0443+	CNS	Capital Securities Investment Corporation	CSIC		0226+	CNS
Cambridge Investment Research, Inc.		0742			Capital Securities of America, Inc.	CPAM		0141+	CNS
Camden Financial Services	CMDN	0052Δ			Capital Select Investment	CSIN	0235Δ	0235+	CNS
Campbell & Company, Inc.		1796			Capital Synergy Partners	CSPI	0235Δ	0235+	CNS
Canaccord Capital Corporation/CDS	CCAI	5046●			Capitalquest Securities, Inc.	CQSI		0443+	CNS
Canaccord Genuity Corp.CDS	CICF	5046@			Capitol Securities Management, Inc.	CSMI	0443Δ	0443+	CNS
Canaccord Genuity Inc.	ADAM	0352Δ	0352+	CNS	Capitol Securities Management, Inc.	CSCV	0702Δ	0702+	CNS
Canaccord Genuity Inc.	CANA	0443Δ			CAPMARUSA, LLC		6007		
Canaccord Genuity Securities LLC	CSTI	0352Δ	0352+	CNS	CapNet Securities Corporation	MITC	0279Δ	0279+	CNS
Canaccord Wealth Management (USA) Inc.	NRAM	0443Δ			Caprock Securities, Inc.	CLSI	0279Δ	0279+	CNS
Cantella & Co., Inc.	CTLA	0443Δ	0226+	CNS	Capstone Asset Planning Co./Capstone Church Bond Fund		5838		
Cantella & Co., Inc.		0699			Capstone Financial Services, Inc.		5801		
Cantone Research, Inc.	CANR	0103Δ	0103+	CNS	Capstone Investments	CPSE	0873Δ		
Cantor Fitzgerald & Co.	CANT	0696	0696	TFT	Cardinal Investments Inc.	CRDL	0235Δ	0235+	CNS
Cantor Fitzgerald & Co.	CFCS	0501Δ	0501+	CNS	Carey, Thomas, Hoover & Breault, Inc.			0226+	CNS
Cantor Fitzgerald & Co.	CFPT	0197Δ			Carillon Investments, Inc.	CLLN		0226+	CNS
Cantor Fitzgerald & Co.		0197Δ			Caris & Company, Inc.	CRIS		0443+	CNS
Cantor Fitzgerald & Co.	CFCD	0501Δ			Carl P. Sherr and Co., LLC	SHRR		0443+	CNS
Cantor Fitzgerald & Co.	ESPD	0696Δ			Carlin Equities LLC	CLYN		0443+	CNS
Cantor Fitzgerald & Co. - Cantor Clearing Services	CSPD	0197	0197	CNS	Carnes Capital Corp.	CCCO	0352Δ		
Cantor Fitzgerald & Co./Aqua Securities, L.P.	AQUA	7310	7310	CNS	Carolina Capital Markets, Inc.	CARC	0702Δ	0702+	CNS
					Carolinas Investment Consulting,	CICL		0141+	CNS



Alphabetical Reference

November 2014

LLC					Charles Schwab Bank				5655
Carter Validus Mission Critical REIT, Inc.		1785			Charleston Capital Corporation	CLAY		0309+	CNS
Carter, Terry & Company, Inc.	CATE	0235Δ	0235+	CNS	Charter One Securities Inc.			7237	
Carty & Company, Inc.	CART		0443+	CNS	Charter Pacific Securities, LLC	CPSL	0750Δ	0750+	CNS
Cary Street Partners LLC	CARY		0141+	CNS	Chase Investment Services Corp.	CISI	0352Δ	0352+	CNS
Cascade Investment Group, Inc.	BJRC	0235Δ	0235+	CNS	Chatham Capital Holdings, Inc.			1632	
Casey Professional Services, LLC	CPSI	0501Δ			Chatsworth Securities LLC	CHTS	0279Δ	0279+	CNS
Casimir Capital, L.P.	CSMR		0226+	CNS	Chauner Securities, Inc.	CHNR	0235Δ	0235+	CNS
Cass (Quincy) Associates Inc.	QCAS		0226+	CNS	Cheevers & Company Inc	CHBC	0161Δ	0161+	CNS
CastleOak Securities, L.P	COAK	0197Δ	0197+	CNS	Chelsea Financial Services	CFIN	0309Δ	0309+	CNS
Cathay Securities, Inc.	CATH	0309Δ			Chevy Chase Trust Company			4708	
CAVU Securities LLC.	PTCM	0443Δ			Chicago Analytic Trading Company, LLC	CATC	0017Δ	0443+	CNS
CBG Financial Group, Inc.	CBFG	0750Δ	0750+	CNS	Chickasaw Securities, LLC	CHCK	0352Δ	0352+	CNS
CBIZ Financial Solutions, Inc.	BGSG	0226Δ	0226+	CNS	Chilian Partners L.P.	CHIL	0352Δ	0352+	CNS
CBIZ Financial Solutions, Inc.		0682			China Renaissance Securities (US) Inc.	CRUS	0824Δ		
CCM Securities, LLC	TURN	0161Δ	0161+	CNS	Choice Trade	CTRD	0595Δ	0595+	CNS
CCM Securities, LLC	TRNP	0551Δ			Chopper Securities LLC	CHPR	0695Δ		
CCO Investment Services Corp		6313			Churchill Capital USA, Inc.	CHLC	0443Δ		
CD Funding Securities, LLC	CDFS	0052Δ			Churchill Financial LLC	CHCH	0352Δ	0352+	CNS
CDS Clearing and Depository Services Inc.		5099			CIBC World Markets Corp.	CWMK	0438	0438	CNS
Celadon Financial Group LLC	CLDN	0551Δ			CIBC World Markets Corp.	CWMC	0438Δ		
Celadon Financial Group LLC	CFGN	0824Δ			CIBC World Markets, Inc.	WGIF	5030●		
Celadon Financial Group, LLC	SPLN	0443Δ			CICC US Securities, Inc.	CICC	0443Δ		
Centaurus Financial Inc.	CNFI		0443+	CNS	CIM SECURITIES, LLC	CIMS	0279Δ		
Centaurus Financial, Inc.		6941			Citadel Securities LLC	CDRG	0395		
Centennial Securities Company, LLC	CTNL		0141+	CNS	Citadel Securities LLC	CDEL	0161Δ		
CenterState Bank of Florida, N.A.	CSFL		6770	TFT	Citadel Securities LLC	APOG	0395Δ		
Central Securities, LLC	CENT	0750Δ	0750+	CNS	Citadel Securities LLC	CATS	0395Δ		
Central States Capital Markets, LLC	CSCM		0443+	CNS	Citadel Securities LLC	CCMX	0395Δ		
Central Trust Bank	CTBK		0279+	CNS	Citadel Securities LLC	CEDL	0395Δ		
Central Trust Bank		2880			Citadel Securities LLC	CEMM	0395Δ		
Centurion Life Insurance Company		6005			Citadel Securities LLC	CTDL	0395Δ		
Ceros Financial Services, Inc.	CERS	0226Δ	0226+	CNS	Citadel Securities LLC	ICRD	0395Δ		
Ceros Financial Services, Inc.		5331			Citadel Securities LLC	IELP	0395Δ		
Cert Direct Securities Inc.	CDSO	0750Δ	0750+	CNS	Citadel Securities LLC	PRDG	0395Δ		
CertusSecurities, Inc.	CRTS	0226Δ	0226+	CNS	Citadel Securities LLC	CDGO	0551Δ		
Cetera Advisor Networks LLC		0343			Citation Financial Group, L.P.	CITA	0443Δ	0443+	CNS
Cetera Advisors LLC		0466			Citco Securities, Inc	CTCO	0017Δ		
Cetera Financial Specialists LLC		0471			Citibank, N.A.		0908		
Cetera Investment Services LLC	BANK	0701	0701	CNS	Citic Securities International USA, LLC	CSIU	0501Δ		
CF Global Trading, LLC	CFGT	0161Δ	0161+	CNS	Citic Securities International USA, LLC	CSIS	0824Δ		
CF Global Trading, LLC	CFGO		0161+	CNS	Citicorp Financial Services Corporation	CFSC	0418Δ		
CFD Investments	CFDI	0235Δ	0235+	CNS	Citigroup Global Markets Inc.	SBSH	0418	0418	CNS
CFG Captial Markets, LLC	HAVN		0443+	CNS	Citigroup Global Markets Inc.	CCAT	0418Δ		
CFT Securities LLC	QBSI	0352Δ	0352+	CNS	Citigroup Global Markets Inc.	CGQT	0418Δ		
CG Compass (USA) LLC	CGCO		0443+	CNS	Citigroup Global Markets Inc.	GATE	0418Δ		
Chapin, Davis	CHDA		0141+	CNS	Citigroup Global Markets Inc.	LQFI	0418Δ		
Chardan Capital Markets LLC	CHDN	0824Δ			Citigroup Global Markets Inc.	CGWM	0443Δ		
Charles Schwab & Co. Inc./ Charles Schwab Bank		2993			Citigroup Global Markets Inc.	CXCX	0505Δ		
Charles Schwab & Co. Inc./MF Clearing Services		7471			Citigroup Global Markets Inc./Correspondent Clearing	CGMI	0505		
Charles Schwab & Co., Inc.	CHAS	0164	0164	CNS	Citigroup Global Markets Inc./Salomon Brothers	SALB	0274	0274	CNS
Charles Schwab & Co., Inc.		5489			Citigroup Private Bank & Trust		2032		
Charles Schwab & Co., Inc./Schwab Global Investing Account	CSGI	7587			Citizens Investment Services Corp.	CISV		0226+	CNS

Alphabetical Reference

November 2014

City National Bank		2392			Columbia Management Investment Distributors, Inc./Trust Collective Funds				4843
City National Bank, Beverly Hills, California	CBEV		0226†	CNS	Comerica Bank				2108
City National Securities Inc.	CNSI		0226†	CNS	Comerica Bank				5878
City Securities Corporation	CITY		0141†	CNS	Comerica Securities	CMCA	0443Δ	0443†	CNS
CJS Securities, Inc.	CJSC	0443Δ			Commerce Bank				2170
Clancy Financial Services, Inc	CLAN	0284Δ	0284†	CNS	Commerce Bank Investment Services, Inc.	CICI		0443†	CNS
Clark Dodge & Co., Inc.	CLRK	0235Δ	0235†	CNS	Commerce Brokerage Services	CMCE	0226Δ	0226†	CNS
Clarkson Capital Markets	CLKS	0100Δ	0100†	TFT	Commerz Markets LLC	DRKW	0126		
Clayton, Lowell & Conger Inc.	CLCI	0052Δ	0052†	CNS	CommerzeBank Capital Corp.	CCMC		0443†	CNS
Clearing Services of America	CSOA		0443†	CNS	Commonwealth Annuity & Life Insurance Company/First Allmerica Life Insurance Company				3111
Clearpool Execution Services, LLC	CPEX	0824Δ			Commonwealth Annuity and Life Insurance Company				4521
Clearpool Execution Services, LLC	CPET	0873Δ			Commonwealth Equity Services, L.L.P.				0177
Clearview Trading Advisors Inc.	CLVU	0501Δ			Commonwealth Financial Network	CMMW	0226Δ	0226†	CNS
Cleary Gull Inc.	TGUL	0235Δ	0235†	CNS	Commonwealth Funding, Inc.	WACX	0750Δ		
CLG Investment Company, Inc	CLGL	0443Δ			Commonwealth Securities and Investments, Inc.	CSII		0443†	CNS
CLS Investment Firm, LLC		3913			Community Bank, N.A.				5960
CLSA Americas, LLC	CLSA	0651Δ			CommunityAmerica Financial Solutions, LLC	CAFS		0443†	CNS
CMFG Life Insurance Company		4734			Compass Bank	CBSS	2483	2483	TFT
CMFG Life Insurance Company/Insurance Services		3399			Compass Bank/Asset Management Group				2484
CMFG Life Insurance Company/MEMBERS Life Insurance Company		7072			Compass Brokerage, Inc.	CBIN		0443†	CNS
CMT Trading LLC	CMTT	0695Δ			Compass Point Research & Trading, LLC	CMPT	0443Δ		
CNBS, LLC	CNBS		6707	TFT	Comprehensive Asset Management and Servicing, Inc.	CAMS		0443†	CNS
CNBS, LLC	CNBS	0309Δ			Computershare Securities Corp.	CSCB		0161†	CNS
CNL Capital Markets Corp.		3599			Concept Capital Markets, LLC	ATPA	0161Δ	0161†	CNS
CNL Capital Markets Corp.		3656			Concept Capital Markets, LLC	CCCM	0352Δ	0352†	CNS
CNL Capital Markets Corp.		3657			Concept Capital Markets, LLC	CCMB	0443Δ		
CNL Capital Markets Corp.		3658			Concept Capital Markets, LLC	CCML	0551Δ		
CNL Capital Markets Corp.		3659			Concept Capital Markets, LLC	CMKT	0824Δ		
CNL Capital Markets Corp.		3661			Concise Capital Management LP		1882		
CNL Capital Markets Corp.		3662			Concorde Funds, Inc.		5669		
Coastal Equities, Inc.	COAS		0141†	CNS	Concorde Investment Services, LLC	CNCD	0235Δ	0235†	CNS
Coastal Securities L.P.	COST		0443†	CNS	Concorde Investment Services, LLC		3773		
Cobalt Capital, Inc.		1753			Conestoga Funds		4917		
Cobra Trading, Inc.	CBRA	0103Δ			Conifer Securities LLC	CNFX	0100Δ		
Coburn & Meredith, Inc.	COBR		0141†	CNS	Conifer Securities, LLC	CNFR	0443Δ	0443†	CNS
Cohen & Steers Securities LLC		5780			Connors & Co., Inc.	CONR	0235Δ		
Cohen & Steers Securities, LLC/Cohen & Steers SICAV Funds		3600			Conover Securities Corporation	ABAS		0226†	CNS
Cohen Bros. & Company	COHN	0235Δ	0235†	CNS	Conservative Financial Services, Inc.	CONF	0235Δ	0235†	CNS
Coker & Palmer	CPPM		0443†	CNS	Consolidated Financial Investments, Inc.	CFII	0352Δ	0352†	CNS
Coker & Palmer, Inc.	COKE	0235Δ			Constellation Wealth Advisors LLC	CWAA		0443†	CNS
Coldwater Securities Incorporated	CLDS	0352Δ			Consultiva Securities, Inc.	CONS		0141†	CNS
Cole Capital Corporation		3403			Continental Investors Services, Inc.	CONT		0279†	CNS
College Savings Bank		7073			Continuity Partners Group, LLC	CPGL		0226†	CNS
Collins & Co.	COLL	0235Δ	0235†	CNS	ConvergEx Execution Solutions LLC	ECUT	0100	0100	TFT
Collins Capital Advisors, LLC	CCAL	0750Δ			ConvergEx Execution Solutions LLC	CPES	0100Δ		
Collins Stewart, Inc.	STEW	0352Δ	0352†	CNS	ConvergEx Execution Solutions LLC	VRTX	0100Δ		
Colonial Securities Inc.	COLS		0279†	CNS	Convergex Execution Solutions LLC	NPNT	0501Δ		
Colorado Financial Service Corporation	COFS	0309Δ	0309†	CNS					
Columbia Management Investment Distributors, Inc.		5501							
Columbia Management Investment Distributors, Inc./Future Scholar		5601							

Alphabetical Reference

November 2014

ConvergEx Prime Services LLC	CXPS	0017Δ			Cressman Esser Securities, Inc.	CESI		0235+	CNS
ConvergEx Prime Services LLC	NOPO	0352Δ			Crews & Associates, Inc.	CREW	5158	5158	CNS
Convergex Prime Services LLC	NPTP	0443Δ			CRI Securities Inc.	CRII		0443+	CNS
Cooper Malone McClain Inc.	CMMC		0279+	CNS	Croft Funds Corporation		6640		
Coordinated Capital Securities, Inc.	COOR		0141+	CNS	Cronin & Co., Inc.	CRON		0443+	CNS
COR Clearing LLC	LGNT	0052	0052	CNS	Cross Point Capital LLC	CRPT		0443+	CNS
COR Clearing LLC	CORR	0052Δ	0052+	CNS	Crown Capital Securities, L.P.	CCSS		0443+	CNS
Corby Capital Markets, Inc.	CRBY		0226+	CNS	CRT Capital Group LLC	CRTG	0387	0387	CNS
Core Capital Management, LLC		1138			CRT Capital Group, LLC	CRTC	0443Δ	0443+	CNS
Corinthian Partners, LLC	CRTH		0443+	CNS	Crystal Capital Partners, LLC		3473		
Cormark Securities Inc./Valeurs					CSS, LLC		0670		
Molieres Cormark Inc.		5055			CU Investment Solutions, Inc.	UCCM	0279Δ		
Cornerstone Macro LLC	CSMS	0161Δ	0161+	CNS	Cue Financial Group, Inc.	CUEF		0443+	CNS
Corporate Investments Group Inc.	CIIV	0052Δ	0052+	CNS	Cummins Financial Corporation	JDCO	0235Δ	0235+	CNS
Corporate Investments Group Inc.	CINV		0158+	CNS	CUNA Brokerage Services		0239		
Cortland Fund Services LLC		1459			Curian Clearing, LLC	CURN	0300		
Cortland Fund Services LLC		1473			Curran Advisory Services, LLC	CLLC		0226+	CNS
Cortland Fund Services LLC		1474			Curren & Company	CURR	0352Δ	0352+	CNS
Cortland Fund Services LLC		1662			CUSO Financial Services, L.P.	CUSO		0443+	CNS
Cortland Fund Services LLC		1863			CUSO Financial Services, L.P.		0329		
Cortland Fund Services LLC		1866			Cutter & Company Brokerage, Inc.	CUTT	0141Δ	0141+	CNS
Cosse International Securities Inc.	COSE	8153	8153	CNS	Cutter & Company, Inc.	CUTW	0702Δ		
Coughlin & Co., Inc.	CGLN		0103+	CNS	Cuttone & Co., Inc.	CUGS	0050Δ		
Country Capital Inc.	CMGT	0235Δ	0235+	CNS	Cuttone & Co., Inc.	CUPS	0443Δ		
Country Capital Management Company		7937			CV Brokerage Inc.	CVBR	0824Δ	0388+	CNS
Country Club Bank, Kansas City	CCBI		6744	TFT	D.J. St Germain Co., Inc.	DJST	0443Δ	0443+	CNS
Country Trust Bank		2561			Daily Access Corporation		7100		
Country Trust Bank		5185			Dain Correspondent Services	DCSD	0235Δ	0235+	CNS
Courage Capital Management, LLC		1886			Daiwa Capital Markets America Inc.	DAWA	0647	0647	CNS
Cova Capital Partners LLC	CPLC	0235Δ	0235+	CNS	Daiwa Securities Trust Company		0667		
Cowen & Company, LLC	COWN	0226Δ	0226+	CNS	Dakota Securities International, Inc.	DAKO	0052Δ	0052+	CNS
Cowen & Company, LLC	COWP	0226Δ	0226+	CNS	Dale K. Ehrhart, Inc.	DKEI		0141+	CNS
Cowen and Company, LLC	COWX	0161Δ	0161+	CNS	Dardis (Jack) & Associates	JDAA		0443+	CNS
Cowen and Company, LLC	COWR	0443Δ			Dart Executions, LLC	DCVL	0501Δ	0501+	CNS
Cowen Equity Finance LP	CEFG	0580			Dart Executions, LLC	DETF	0501Δ	0501+	CNS
Coyle Securities LLC	COYL	0235Δ	0235+	CNS	Dart Executions, LLC	DRTL	0396Δ		
CP Capital Securities	CPCS	0052Δ	0052+	CNS	Dart Executions, LLC	DART	0501Δ		
CPS Insurance Services		6911			Dart Executions, LLC	DEGS	0501Δ		
Craig Scott Capital, LLC	CSCP	0052Δ			Dart Executions, LLC	DRTG	0501Δ		
Craig-Hallum Capital Group, LLC	CHLM	0161Δ	0161+	CNS	Dart Executions, LLC	DRTR	0501Δ		
Credential Securities Inc./CDS		5083			DART Executions, LLC	DRTM	0551Δ		
Credicorp Securities, Inc.	CRED		0443+	CNS	Dart Executions, LLC	DCHF	0695Δ		
Credit Agricole Cheuvreux North America, Inc.	CRAG	0651Δ			Dart Executions, LLC	DTRC	2154Δ		
Credit Agricole Securities (USA) Inc.	LYON	0651	0651	CNS	Darwood Associates, Inc.	DARA	0235Δ	0235+	CNS
Credit Suisse Private Advisors	CSPA		0226+	CNS	Dash Financial LLC	BELZ	0627		
Credit Suisse Securities (USA) LLC	FBCO	0355	0355	CNS	Daugherty Cole, Inc.	DAGH		0443+	CNS
Credit Suisse Securities (USA) LLC	FBPC	0443Δ	0443+	CNS	Davenport & Company LLC	DAVA	0715	0715	CNS
Credit Suisse Securities (USA) LLC		5735			David A. Noyes & Company		7552		
Credit Suisse Securities (USA) LLC	AESX	0355Δ			David Harris & Co., Inc.	DHCO	0235Δ	0235+	CNS
Credit Suisse Securities (USA) LLC	CROS	0355Δ			Davidson (D.A.) & Co. Inc.	DADA	0361	0361	CNS
Credit Suisse Securities (USA) LLC	LTPL	0355Δ			Davis Distributors, LLC		5563		
Credit Suisse Securities (USA) LLC/Luxembourg Funds		4994			Davis Distributors, LLC/Clipper Fund		5965		
CrediteX Securities Corporation	CTSC	0443Δ	0443+	CNS	Davis Distributors, LLC/Davis Fund Sicav		4890		
Crescent Securities Group, Inc.	CAGI	0279Δ	0279+	CNS	Davis Distributors, LLC/Selected		5850		
Crescent Securities Group, Inc.	CSNT	0309Δ	0309+	CNS	Davis Securities LLC	DAVS	0103Δ	0103+	CNS
					Davlin Philanthropic Funds		3612		
					Dawson James Securities, Inc.	DJSA	0750Δ		

Alphabetical Reference

November 2014

DBTC Americas-Private Bank		2177			Detwiler, Mitchell, Fenton & Graves, Inc.	FEDE		0226†	CNS
De La Rosa (E.J.) & Co., Inc.	EDLR		0103†	CNS	Deutsche Bank National Trust Company		3649		
Dealerweb Inc.	JJKE	0161Δ	0161†	CNS	Deutsche Bank Securities Inc.	DBAB	0573	0573	CNS
Dealerweb Inc.	RCML	0161Δ	0161†	CNS	Deutsche Bank Securities Inc.	DBPC	0443Δ	0443†	CNS
Dealerweb Inc.	DLWB	0161Δ			Deutsche Bank Securities Inc.	DBIB	0573Δ	0573†	CNS
Dealerweb Inc.	RCMI	0608Δ			Deutsche Bank Securities Inc.	DBKS		0573†	CNS
Dealerweb Inc.	DLTA	0161Δ	0161†	CNS	Deutsche Bank Securities Inc.	DBAE	0573Δ		
Dearborn Capital Management, LLC		3425			Deutsche Bank Securities Inc.	DBAT	0573Δ		
DeAWM Distributors, Inc		5503			Deutsche Bank Securities Inc.	DBAX	0573Δ		
DeAWM Distributors, Inc/DeAWM Distributors SA		4974			Deutsche Bank Securities Inc.	DBLV	0573Δ		
DeAWM Distributors, Inc/DeAWM Distributors SICAV		5863			Deutsche Bank Securities Inc.	DBMS	0573Δ		
DeAWM Distributors, Inc/MOST 529		3721			Deutsche Bank Securities Inc.	DBPR	0573Δ		
Decker & Co, LLC	DECK	0161Δ			Deutsche Bank Securities Inc.	DBPT	0573Δ		
Delafield & Hambrecht, Inc.	DELA		0443†	CNS	Deutsche Bank Securities Inc.	DBQT	0573Δ		
Delaney Equity Group LLC	DLNY	0052Δ	0052†	CNS	Deutsche Bank Securities Inc.	DBRC	0573Δ		
Delaware Distributors L.P.		5510			Deutsche Bank Securities Inc.	DBRT	0573Δ		
Delaware Distributors, L.P./Delaware Investments Global Funds, PLC		6572			Deutsche Bank Securities Inc.	DBST	0573Δ		
Delaware Distributors, L.P./Optimum Funds		6672			Deutsche Bank Securities Inc.	DBUL	0573Δ		
Delaware Life Insurance Company		4518			DeWaaay Financial Network, LLC	DWFFN		0443†	CNS
Delaware Life Insurance Company		6794			DFA Securities LLC		6684		
Delaware Life Insurance Company of New York		4519			DFA Securities LLC/Dimensional Funds PLC and Dimensional Funds II PLC		3746		
Delaware Life Insurance Company of New York/Annuity Se2		3055			Diamant Investment Corp.	DAVE	0344	0344	CNS
Delaware Life Insurance Company of New York/Columbia		4645			Dillon Gage Securities Inc.	DILG		0279†	CNS
Delaware Life Insurance Company of New York/Life Se2		3056			Dinosaur Securities, L.L.C.	ROAR	0103Δ	0103†	CNS
Delaware Life Insurance Company of New York/SLF Serviced		4646			Dinosaur Securities, L.L.C.	TREX	0226Δ	0226†	CNS
Delaware Life Insurance Company/Annuity Se2		3053			Dinosaur Securities, L.L.C.	DNSR	0017Δ		
Delaware Life Insurance Company/Columbia		4644			Dinosaur Securities, L.L.C.	RPTR	0235Δ		
Delaware Life Insurance Company/Keyport		4601			Direct Access Brokerage Services, Inc.	DIRW	0103Δ		
Delaware Life Insurance Company/Life Se2		3054			Direct Edge ECN LLC	EDGA	0161Δ		
Delta Data Software, Inc.		6945			Direct Edge ECN LLC	EDGX	0161Δ		
Delta Data Software, Inc./Intermediary Routing		6495			Direct Trading Institutional LP	DTAP		0161†	CNS
Delta Trust Investments, Inc.	DTII		0141†	CNS	Discern Securities, Inc.	DCRN	0100Δ		
DeMatteo Moness, LLC	DEMA	0501Δ			Ditto Trade, Inc.	DITO	0158Δ		
Dempsey Financial Network	DEMF		0443†	CNS	Dividend Capital Diversified Property Fund Inc.		1738		
Dempsey Lord Smith, LLC	DLSI		0226†	CNS	Divine Capital Markets, LLC	DIVA	0103Δ	0103†	CNS
Derby and Company, Inc.		1522			DLS Capital Partners, Inc.	DLSC	0309Δ	0309†	CNS
Desjardins Securities Inc./CDS	DESJ	5028●			DMG Securities, Inc.	DSGG		0226†	CNS
Desjardins Securities International, Inc.	VMDI	0443Δ			DNB Nor Markets, Inc.	DNOR	0501Δ		
Destra Capital Investments LLC	DSTR		0443†	CNS	Dodge & Cox Funds		5483		
Destra Capital Investments LLC		3739			Dodge & Cox Worldwide Investments Ltd.		3684		
Destra Capital Investments LLC/Meridian Funds		1324			Doft & Co., Inc.	DOFT	0443Δ	0443†	CNS
Detwiler Fenton Wealth Management Inc	DFWM		0226†	CNS	Dominick & Dominick, Inc./CDS	DOMK	0443Δ	0443†	CNS
					Dominion Investor Services Inc.	DOMI	0309Δ	0309†	CNS
					Donnelly Penman & Partners Inc.	DPFH	0750Δ		
					Dorn & Co., Inc.	DORN	0235Δ		
					Dorsey & Co. Inc.	DORS	0141Δ	0141†	CNS
					Dougherty & Company LLC	DOTC	0352Δ	0352†	CNS
					Douglas & Co. Municipals	DGLS		0443†	CNS
					Dowling & Partners Securities LLC	DOWL	0443Δ		
					DPEC Capital, Inc.	IPRV	0750Δ	0750†	CNS
					Dratel Group, Inc. (The)	DRAT	0571Δ	0571†	CNS
					Drexel Hamilton, LLC	DREX	0501Δ	0443†	CNS
					Drexel Hamilton, LLC	DRXL	0443Δ		

Alphabetical Reference

November 2014

Dreyfus Service Organization, Inc.		6322			Edward D. Jones & Co., L.P.		1871		
Driehaus Securities LLC		6642			Edward Jones / CDS	EDJC	5012●		
Driehaus Securities LLC / Driehaus Active Income Fund		5923			EFG Capital International	EFGC	0352Δ	0352†	CNS
DriveWealth, LLC	DRVW	0824Δ			EJ Sterling Inc.	LSSI	0750Δ		
DSIL Investment Services, LLC		6631			Electronic Access Direct, Inc.	EADA	0750Δ		
DST Market Services LLC/GW		3038			Electronic Brokerage Systems, LLC	DFIN	0161Δ		
DST Market Services, LLC	DSTC	0626	0626	CNS	Electronic Transaction Clearing, Inc.	ETCC	0873		
Du Pasquier & Co., Inc.	PASQ		0443†	CNS	Electronic Transaction Clearing, Inc.	ETAA	0873Δ		
Dubeau Capital USA, Inc.	DCUS	0052Δ			Electronic Transaction Clearing, Inc.	ETAB	0873Δ		
Duncan & Williams, Inc.	DNWL	0443Δ	0443†	CNS	Electronic Transaction Clearing, Inc.	ETAC	0873Δ		
Duncan (R.M.) Securities Inc.	DCAN		0279†	CNS	Electronic Transaction Clearing, Inc.	ETAD	0873Δ		
Dundee Securities Corporation	DSCS	5039Δ			Electronic Transaction Clearing, Inc.	ETAE	0873Δ		
Dunham & Associates Investment Counsel, Inc.		5675			Electronic Transaction Clearing, Inc.	ETAF	0873Δ		
Dupree & Company, Inc.		6618			Electronic Transaction Clearing, Inc.	ETAG	0873Δ		
DXS Investment Distributors, Inc.	DIDI		0443†	CNS	Electronic Transaction Clearing, Inc.	ETAH	0873Δ		
Dynamex Trading, LLC	MEXD	0551Δ			Electronic Transaction Clearing, Inc.	ETAJ	0873Δ		
Dynasty Capital Partners, Inc	DCPI	0279Δ			Electronic Transaction Clearing, Inc.	ETAK	0873Δ		
E D & F Man Capital Markets Inc.	MPSG	0161Δ	0161†	CNS	Electronic Transaction Clearing, Inc.	ETAL	0873Δ		
E*Trade Cap MKTS/CHXL Trading	ETMM	0100Δ			Electronic Transaction Clearing, Inc.	ETAM	0873Δ		
E*Trade Cap Mkts/Special Account	GVSA	0100Δ			Electronic Transaction Clearing, Inc.	ETAN	0873Δ		
E*Trade Capital Markets, LLC	DNID	0100Δ			Electronic Transaction Clearing, Inc.	ETAO	0873Δ		
E*Trade Capital Markets, LLC	ETLS	0100Δ			Electronic Transaction Clearing, Inc.	ETAP	0873Δ		
E*Trade Capital Markets, LLC	ETNY	0100Δ			Electronic Transaction Clearing, Inc.	ETAQ	0873Δ		
E*Trade Capital Markets, LLC	ETRD	0100Δ			Electronic Transaction Clearing, Inc.	ETAR	0873Δ		
E*Trade Capital Markets/DEMP	DEMP	0100Δ			Electronic Transaction Clearing, Inc.	ETAS	0873Δ		
E*Trade Clearing, LLC	ETCL	0385	0385	CNS	Electronic Transaction Clearing, Inc.	ETAT	0873Δ		
E*Trade Securities, LLC	ETRS	0385Δ	0385†	CNS	Electronic Transaction Clearing, Inc.	ETAU	0873Δ		
E.S. Financial Services, Inc.	ESFS	0443Δ	0443†	CNS	Electronic Transaction Clearing, Inc.	ETAV	0873Δ		
E1 Asset Management, Inc.	EVRS	0052Δ	0052†	CNS	Electronic Transaction Clearing, Inc.	ETAW	0873Δ		
Eagle Fund Distributors, Inc.		5822			Electronic Transaction Clearing, Inc.	ETAX	0873Δ		
Eagle Life Insurance Company		6030			Electronic Transaction Clearing, Inc.	ETAY	0873Δ		
Earlybird Capital, Inc.	EBRD	0103Δ	0103†	CNS	Electronic Transaction Clearing, Inc.	ETAZ	0873Δ		
Eastern Bank Capital Markets	EAST		6742	TFT	Electronic Transaction Clearing, Inc.	ETBA	0873Δ		
Eaton Vance Distributors, Inc.		5509			Electronic Transaction Clearing, Inc.	ETBB	0873Δ		
Eaton Vance Distributors, Inc./Eaton Vance International (Cayman Islands) Funds LTD.		5715			Electronic Transaction Clearing, Inc.	ETBC	0873Δ		
Eaton Vance Distributors, Inc./Eaton Vance International (Ireland) PLC		5438			Electronic Transaction Clearing, Inc.	ETBD	0873Δ		
Eaton Vance Distributors, Inc./Eaton Vance Trust Company		5456			Electronic Transaction Clearing, Inc.	ETBE	0873Δ		
Eaton Vance Distributors, Inc./Eaton Vance Variable Trust Funds		4938			Electronic Transaction Clearing, Inc.	ETBF	0873Δ		
Eaton Vance Distributors, Inc./Exchange Funds		5110			Electronic Transaction Clearing, Inc.	ETBG	0873Δ		
Eaton Vance Distributors, Inc./US Charitable		5760			Electronic Transaction Clearing, Inc.	ETBH	0873Δ		
Ebix, Inc.		6317			Electronic Transaction Clearing, Inc.	ETBI	0873Δ		
EBX LLC	EBXL	0161Δ	0161†	CNS	Electronic Transaction Clearing, Inc.	ETBJ	0873Δ		
ED& F Man Capital Markets Inc.	EDFC		0388†	CNS	Electronic Transaction Clearing, Inc.	ETBK	0873Δ		
EDI Financial, Inc.	EDIR	0235Δ	0235†	CNS	Electronic Transaction Clearing, Inc.	ETBL	0873Δ		
Edmond de Rothschild Asset Management		3718			Electronic Transaction Clearing, Inc.	ETBN	0873Δ		
Edmond De Rothschild Asset Management/Edmond De Rothschild Luxembourg Sicav		3143			Electronic Transaction Clearing, Inc.	ETBO	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBP	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBQ	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBR	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBS	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBT	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBU	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBW	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBX	0873Δ		
					Electronic Transaction Clearing, Inc.	ETBZ	0873Δ		
					Electronic Transaction Clearing, Inc.	ETCD	0873Δ		
					Electronic Transaction Clearing, Inc.	ETCE	0873Δ		
					Electronic Transaction Clearing, Inc.	ETCG	0873Δ		

Alphabetical Reference

November 2014

Electronic Transaction Clearing, Inc.	ETCH	0873Δ			ETC Brokerage Services, LLC	ETCB	0052Δ	0052†	CNS
Electronic Transaction Clearing, Inc.	ETCI	0873Δ			EULAV Securities LLC		5827		
Electronic Transaction Clearing, Inc.	ETCJ	0873Δ			Euro Pacific Capital, Inc.	EURP	0226Δ	0226†	CNS
Electronic Transaction Clearing, Inc.	ETCK	0873Δ			Europa Securities, LLC	ERPO	0750Δ		
Electronic Transaction Clearing, Inc.	ETCN	0873Δ			Evercore Group LLC	EVRC	0443Δ		
Electronic Transaction Clearing, Inc.	ETCO	0873Δ			Evertrade Direct Brokerage, Inc.	EVER		0226†	CNS
Electronic Transaction Clearing, Inc.	ETCP	0873Δ			Evolution Securities US Inc,	ESUS		0443†	CNS
Electronic Transaction Clearing, Inc.	ETCQ	0873Δ			Evolve Securities, Inc.	EVOL		0226†	CNS
Electronic Transaction Clearing, Inc.	ETCR	0873Δ			E-W Investments, Inc.	EWIN		0226†	CNS
Electronic Transaction Clearing, Inc.	ETCS	0873Δ			EWT, LLC	EWTV	0749Δ		
Electronic Transaction Clearing, Inc.	ETCT	0873Δ			Exane, Inc.	EXAN	0443Δ		
Electronic Transaction Clearing, Inc.	ETCU	0873Δ			Excel Securities and Associates, Inc.	EXCS		0443†	CNS
Electronic Transaction Clearing, Inc.	ETCV	0873Δ			Factfet Systems, Inc.	FAFT		0161†	CNS
Electronic Transaction Clearing, Inc.	ETCWX	0873Δ			Fairbridge Capital Markets	FCAP	0235Δ		
Electronic Transaction Clearing, Inc.	ETCX	0873Δ			Falcon Square Capital, LLC	FALC	0103Δ	0103†	CNS
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.	ETDA	0873Δ			Family Investors Co.	FAMV		0226†	CNS
Electronic Transaction Clearing, Inc.	ETDB	0873Δ			Family Management Securities, LLC	FMGT		0443†	CNS
Electronic Transaction Clearing, Inc.	ETDC	0873Δ			Farina & Associates, Inc.	FARA	0103Δ	0103†	CNS
Electronic Transaction Clearing, Inc.	ETDD	0873Δ			Farmers New World Life Insurance Company		6944		
Electronic Transaction Clearing, Inc.	ETDE	0873Δ			FBT Investments, Inc.	FBTI		0443†	CNS
Electronic Transaction Clearing, Inc.	ETDF	0873Δ			FCG Advisors LLC	FCGA	0226Δ	0226†	CNS
Electronic Transaction Clearing, Inc.	ETDH	0873Δ			Federal Life Insurance Company(Mutual)		6333		
Electronic Transaction Clearing, Inc.	ETDI	0873Δ			Federated Investors Corp.		5529		
Electronic Transaction Clearing, Inc.	ETNF	0873Δ			Federated Securities Corp./Federated International Management Limited		5759		
Elevation LLC	ELTD	0161Δ	0161†	CNS	Federated Securities Inc.	FEDR	0235Δ		
Elevation, LLC	ELEV	0161Δ	0161†	CNS	Feil Daily Investment Company	LGLL		0141†	CNS
Elish & Elish Brokerage and Research	ELSH	0052Δ	0052†	CNS	Feldman, Ingardona & Co.	FMAC		0226†	CNS
Emergent Financial Group, Inc.	VTMW	0235Δ	0235†	CNS	Fell and Company	FLTL	0226Δ	0226†	CNS
Emerging Growth Equities, Ltd.	EGRO	0100Δ			Fenimore Asset Management Trust		6632		
Emmet & Co., Inc.	EMET		5234	TFT	Fenix Securities, LLC	FNXI	0824Δ		
Empire Asset Management Company	EAMC	0352Δ	0352†	CNS	Ferretti Group, Inc.	STEP	0100Δ		
Empire Financial Group, Inc.		4438			FFP Securities	FFPS		0443†	CNS
Empirical Research Partners LLC	EMRP	0161Δ			FGC Securities, LLC	FGCS	0595Δ	0595†	CNS
Enclave Capital LLC	ENCL	0100Δ			Fidelity Brokerage Services LLC	FIBS	0226Δ	0226†	CNS
Encompass Fund		5397			Fidelity Clearing Canada ULC	FIDT	5040●		
English Concepts, Inc.	PMAS		0443†	CNS	Fidelity Clearing Canada ULC/CDS	FCCU	5059●		
Equinox Fund Management, LLC		3865			Fidelity Investments Institutional Services Co., Inc.		5894		
Equinox Group Distributors, LLC	DHLN	0235Δ	0235†	CNS	Fidelity Investments Institutional Services Co., Inc./Fidelity Destiny Plans		5713		
Equinox Securities, Inc.	EQNX	0052Δ	0052†	CNS	Fidelity Investments Institutional Services Company, Inc./Fidelity Advisor World Funds		5785		
Equitable Advisors, Inc.	STAD		0141†	CNS	Fidelity Investments Life Insurance Company		4730		
Equitas America, LLC	EQUA		0443†	CNS	Fidelity Investments Life Insurance Company		6908		
Equity Services, Inc.	EQSV		0226†	CNS	Fidelity Investments Life Insurance Company/Empire Fidelity Investments Life		4748		
Equity Services, Inc.		0560			Fidelity Investments Life Insurance Company/Fidelity Insurance Agency, Inc.		7130		
Eroom Securities L.L.C.	EROM	0551Δ							
Eroom Securities LLC	EROP	0158Δ							
ESN North America, Inc.	ESNA	2154Δ							
Esposito Securities, LLC	ESPP		0443†	CNS					
Esposito Securities, LLC	ESPO	0501Δ							
Essex National Securities, Inc.		0254							
Essex Radez LLC	GLPS	0613Δ							
Essex Securities LLC	BJCM	0750Δ	0750†	CNS					
Essex-Radez LLC	ERCO	0613							
Estrada Hinojosa & Co.	ESTR	0309Δ	0309†	CNS					
Esulep Management LLC		1745							

Alphabetical Reference

November 2014

Fidelity Security Life Insurance Company		6468			First Commercial Bank of Birmingham, Alabama	FCBI		6755	TFT
Fiduciary - SSB - DTC 0987		0987			First Dallas Securities, Inc.	FDSI	0141Δ	0141†	CNS
Fiduciary Management Inc.		6664			First Dominion Capital Corporation		5823		
Fiduciary Trust Company International		0937			First Empire Securities, Inc.	FESI	0443Δ	0443†	CNS
Fieldpoint Private Services, LLC	NTMG	0443Δ	0443†	CNS	First Financial Equity Corp.	FFEC	0279Δ		
Fieldstone Services Corp.	FSTN	0052Δ	0052†	CNS	First Georgetown Securities, Inc.	FGOE		0226†	CNS
Fifth Street Capital, LLC	GRCP	0750Δ			First Heartland Capital Inc./Centerre Capital, LLC		5376		
Fifth Third Bank (The)		2116			First Heartland Capital, Inc	FHCI		0443†	CNS
Fifth Third Securities, Inc.	OHIO	0226Δ	0226†	CNS	First Heartland Capital, Inc.		0336		
Fifth Third Securities, Inc.		0322			First Honolulu Securities Inc.	FHON	0235Δ	0235†	CNS
FIG Partners, LLC	BNKS	0141Δ	0141†	CNS	First Independent Financial	FIFS	0309Δ	0309†	CNS
Finance 500, Inc.	FANC	0052Δ	0052†	CNS	First Integrity Capital Partners Corp	KACI	0279Δ	0279†	CNS
Finance 500, Inc.	FINF	0235Δ	0235†	CNS	First Investors Corporation		5146		
Financial Advisers of America, LLC	BOYS	0226†		CNS	First Investors Corporation		5545		
Financial Assets Corporation	FACA	0443†		CNS	First Kentucky Securities Corporation	FKSC	0235Δ	0235†	CNS
Financial Counseling Corporation	FINC	0443†		CNS	First Liberties Financial	FLIB	0235Δ	0235†	CNS
Financial Designs Corporation	RONB	0750Δ			First London Securities Corporation	FLSC	0309Δ	0309†	CNS
Financial Institution Marketing Company, Inc.		6498			First Manhattan Co.	FMCO	0443Δ	0443†	CNS
Financial Network Investment Corporation	FNIC	0443Δ	0443†	CNS	First Manhattan Co.		1445		
Financial Northeastern Securities Inc.	FNSJ	0352Δ	0352†	CNS	First MetLife Investors Insurance Company		4512		
Financial Planning Consultants Inc.	FPCI	0235Δ	0235†	CNS	First Midstate Inc.	FMID		6792	TFT
Financial Research Company	FINR	0352†		CNS	First Midwest Securities Inc.		6459		
Financial Telesis Inc.	JWFS	0443†		CNS	First National Banker's Bank	FNBB		6753	TFT
Financial West Group	FINW	0226Δ	0226†	CNS	First National Capital Markets, Inc.	FNCM		6708	TFT
Financial West Group, Inc		4713			First National Capital Markets, Inc.		5371		
Financorp Group International Corp.	FGIC	0226Δ	0226†	CNS	First New York Securities, LLC.	FNYG	0501Δ		
Fintech Securities	FINX	0161Δ	0161†	CNS	First Pacific Mutual Fund, Inc.		3745		
Fintegra, LLC	FINT	0443Δ	0443†	CNS	First Partners Bank Investment Division	FPBK		0750†	CNS
Fintegra, LLC		0281			First Republic Group, LLC	REPG		0443†	CNS
FinTrust Brokerage Services, LLC	ACSL		0226†	CNS	First Republic Securities Co.	FSRP	0443Δ		
1st Discount Brokerage, Inc.	FDSC	0158Δ	0158†	CNS	First Research Finance Inc.	FIRF	0279Δ	0279†	CNS
1st Global Capital Corp.	FGCC	0226Δ	0226†	CNS	First Security Financial Advisors, Inc.	FSFA		0443†	CNS
1st Global Capital Corp.		0296			First South Carolina Securities, Inc.	FSCC		6731	TFT
1st Source Bank	SRCE	6782	6782	TFT	First Southern Securities LLC	FRST	0309Δ	0309†	CNS
First Allied Securities		0146			First Southwest Company	FSWC	0309	0309	CNS
First Allied Securities Inc.	FAST	0352Δ	0352†	CNS	First St. Louis Securities, Inc.	FLOU		0443†	CNS
First American Capital and Trading Corporation	STCS	0158Δ	0158†	CNS	First Standard Financial Company LLC	STND	0309Δ		
First American Municipals, Inc.	FAMI	0235†		CNS	First State Securities, Inc.	FSSO	0279Δ		
First American Securities	FAMS	0279Δ	0279†	CNS	First Symetra National Life Insurance Company of New York		4621		
First Analysis Securities Corporation	FANA	0161Δ			First Symetra National Life Insurance Company opf New York/First Symetra NY Fee Based		3382		
First Ballantyne, LLC	FBLT	0750Δ	0750†	CNS	First Tennessee Capital Markets	FTCM		2445	TFT
First Bank Puerto Rico Securities, Corp.	FBPR		0750†	CNS	First Trust Portfolios L.P./First Trust Series Funds		5374		
First Bermuda Securities (BVI), Ltd.	BRMF	0158Δ	0158†	CNS	First Trust Portfolios, L.P.		6575		
First Brokerage America, LLC	FBAL		0226†	CNS	First Trust Portfolios, L.P.	FTLP	8244	8244	CNS
First Brokers Securities LLC	FATS	0443Δ	0443†	CNS	First Tryon Securities, LLC	TRYN		0443†	CNS
First Brokers Securities, Inc.		0763			First Washington Corp.	FWCO		0443†	CNS
First Citizens Financial Plus, Inc.	FCFP		0141†	CNS	First Western Advisors	FWAI		0226†	CNS
First Citizens Investor Services, Inc.	FCIT	6347	0443†	CNS	First Western Securities	FWSI		0141†	CNS
First Clearing LLC	FCCP	0141	0141	CNS					
First Clearing, LLC/Wachovia Securities		0030							
First Clearing, LLC/WFA LLC		0733							

Alphabetical Reference

November 2014

First Wilshire Securities Management, Inc.	FWIL	0103Δ			Foreside Distribution Services, L.P./USAllianz Mutual Funds	6628
First Winston Securities	FWSS		6715	TFT	Foreside Distribution Services, L.P./Victory Funds	5686
FirstMerit Insurance Agency, Inc.		7246			Foreside Distribution Services, L.P./Victory Institutional Funds	5723
Firstrade Securities Inc.	FFSI	0158Δ			Foreside Fund Services LLC/Carlyle Select Trust	3070
Fisher (L.B.) & Company	FISH	0235Δ	0235†	CNS	Foreside Fund Services LLC/ING Offshore	5473
First Merit Financial Services, Inc	FMFS		0226†	CNS	Foreside Fund Services Llc/Montage Managers Trust	3104
Fixed Income Capital Partners, LLC	FICP		0443†	CNS	Foreside Fund Services, LLC	1481
Flexible Plan Investments, Ltd		6819			Foreside Fund Services, LLC	1487
Floor Broker Network Inc.	FBNW	0443Δ	0418†	CNS	Foreside Fund Services, LLC	1519
Florida Atlantic Securities Corp.	FLAT	0226Δ	0226†	CNS	Foreside Fund Services, LLC	1658
Florida Investment Advisers	FIAF		0443†	CNS	Foreside Fund Services, LLC	5659
FMSBonds, Inc.	MIAM		6440	TFT	Foreside Fund Services, LLC/ Wright Investor	5872
FMSBonds, Inc.		0061			Foreside Fund Services, LLC/361 Capital	3349
FNBB Capital Markets, LLC	FCML	0279Δ	0279†	CNS	Foreside Fund Services, LLC/Aberdeen Funds	4899
FOG Equities LLC	FOGS	0103Δ			Foreside Fund Services, LLC/Aberdeen Investment Funds-Formally Known As Artio Global Fund	6675
Folger Nolan Fleming Douglas Incorporated	FNFD		0141†	CNS	Foreside Fund Services, LLC/American Beacon Funds	5742
FOLIOfin Investments, Inc	FTBR	0728			Foreside Fund Services, LLC/Arden Investment Series Trust	3398
Foothill Securities, Inc.		0548			Foreside Fund Services, LLC/Avenue Mutual Funds Trust	3336
Fordham Financial Management, Inc.	FORD	0052Δ	0052†	CNS	Foreside Fund Services, LLC/Blackstone Alternative Investment Funds	7555
Forefront Capital Markets LLC	FFCB	0235Δ	0235†	CNS	Foreside Fund Services, LLC/BP Capital Funds	1389
Forefront Capital Markets LLC	FFCM	0235Δ	0235†	CNS	Foreside Fund Services, LLC/Bridgeway Funds	5485
Foreside Distribution Services, L.P.		4967			Foreside Fund Services, LLC/Broadmark Funds	7049
Foreside Distribution Services, L.P./Cavanal Hill Funds		5807			Foreside Fund Services, LLC/Cane Capital	3119
Foreside Distribution Services, L.P./Horizon Global Advisors Umbrella Fund LLC		5633			Foreside Fund Services, LLC/Citi American Opportunity Income Fund, a Sub-Fund of Citi Investment Trust (Cayman) II	7079
Foreside Distribution Services, L.P./HSBC Funds		5814			Foreside Fund Services, LLC/Context Capital Funds	3047
Foreside Distribution Services, L.P./HSBC Global Investment Funds		3312			Foreside Fund Services, LLC/Gottex Trust	3008
Foreside Distribution Services, L.P./IMS Funds		4995			Foreside Fund Services, LLC/Henderson Global Funds	5528
Foreside Distribution Services, L.P./IRT Collective Funds		6614			Foreside Fund Services, LLC/Investment Managers Series Trust	4985
Foreside Distribution Services, L.P./IVA Fiduciary Trust		4724			Foreside Fund Services, LLC/Investment Managers Series Trust II	3009
Foreside Distribution Services, L.P./IVA Global SICAV Fund		5410				
Foreside Distribution Services, L.P./Leader Short Ten Bond Fund		5804				
Foreside Distribution Services, L.P./Matthews International		5150				
Foreside Distribution Services, L.P./Northern Trust Funds		6633				
Foreside Distribution Services, L.P./Permal Offshore Funds		4888				
Foreside Distribution Services, L.P./Ridgeworth Funds		4920				
Foreside Distribution Services, L.P./Signature Liquidity Fund, Ltd.		6673				
Foreside Distribution Services, L.P./SunTrust Bank Collective Trust Funds		5562				



Alphabetical Reference

November 2014

Foreside Fund Services, LLC/Liberty Street Funds	6767	Foreside Funds Distributors LLC/Kalmar Pooled Investment Trust		5716			
Foreside Fund Services, LLC/Lincoln Stable Value Fund	7143	Foreside Funds Distributors LLC/Lincoln Advisors Trust		3788			
Foreside Fund Services, LLC/Manor Investment Funds, Inc.	5709	Foreside Funds Distributors LLC/Matson Family, Inc. Funds of the RBB Fund, Inc.		5947			
Foreside Fund Services, LLC/Nomura Partners Funds, Inc.	5426	Foreside Funds Distributors LLC/Matthews International Funds DBA Matthews Asia Funds		5724			
Foreside Fund Services, LLC/Old Mutual Global Investor Series	5826	Foreside Funds Distributors LLC/Mercer Funds		5725			
Foreside Fund Services, LLC/Old Mutual Global Investors (UK) Limited	7112	Foreside Funds Distributors LLC/Metropolitan West Funds		6644			
Foreside Fund Services, LLC/Outlook Funds Trust	3029	Foreside Funds Distributors LLC/Old Westbury Funds, Inc.		5651			
Foreside Fund Services, LLC/Performance Trust	5324	Foreside Funds Distributors LLC/Perimeter Capital Management of the RBB Fund, Inc.		5416			
Foreside Fund Services, LLC/Perimeter Funds	3348	Foreside Funds Distributors LLC/Robeco Investment Funds of the RBB Fund, Inc.		5800			
Foreside Fund Services, LLC/PMC Funds	5747	Foreside Funds Distributors LLC/Schneider Capital Management Funds of the RBB Fund, Inc.		5856			
Foreside Fund Services, LLC/Polen Capital Investment Funds PLC	7071	Foreside Funds Distributors LLC/Simple Alternatives Funds of The RBB Fund, Inc.		5342			
Foreside Fund Services, LLC/Quaker Funds	4885	Foreside Funds Distributors LLC/Spirit of America Investment Funds		5362			
Foreside Fund Services, LLC/Ramius Funds	7063	Foreside Funds Distributors LLC/Sterling Capital Funds		5648			
Foreside Fund Services, LLC/Roxbury Funds	6620	Foreside Funds Distributors LLC/Stratton Family of Funds		5448			
Foreside Fund Services, LLC/Salient MF Trust	3351	Foreside Funds Distributors LLC/The Motley Fool Funds Trust		6594			
Foreside Fund Services, LLC/Sharespost 100 Fund	7942	Foreside Funds Distributors LLC/The RBB Fund, Inc.		5808			
Foreside Fund Services, LLC/Sound Shore Funds	5649	Foreside Funds Distributors LLC/The Torray Funds		6554			
Foreside Fund Services, LLC/Steben Alternative Investment Funds	3036	Foreside Funds Distributors LLC/Versus Capital Multi-Manager Real Estate Income Fund LLC		3750			
Foreside Fund Services, LLC/Turner Funds	5592	Foreside Funds Distributors LLCConsulting Group Capital Markets Funds		5422			
Foreside Fund Services, LLC/V2 Capital	3114	Foreside Funds Distributors LLCFirst Puerto Rico Family of Funds		5547			
Foreside Fund Services, LLC/Wellington Management Portfolios	7938	Foresight Investments, LLC	FITE		0443+	CNS	
Foreside Fund Services, LLC/Wintergreen Fund	5721	Forest Securities, Inc.	FORE	0235Δ	0235+	CNS	
Foreside Funds Distributors LLC	6658	Forester Funds, Inc.		4949			
Foreside Funds Distributors LLC/Aston Funds	5699	Foresters Equity Services, Inc.		0149			
Foreside Funds Distributors LLC/Bogle Investment Management Funds of the RBB Fund, Inc.	5818	Forethought Life Insurance Company		5339			
Foreside Funds Distributors LLC/E.I.I. Realty Securities Trust	6579	Forethought Life Insurance Company Forethought Life Distributors, LLC		7012			
Foreside Funds Distributors LLC/Fairholme Funds, Inc.	4870	Forge Financial Group Inc.	FRGP	0750Δ	0750+	CNS	
Foreside Funds Distributors LLC/Fundvantage Trust	5611	Forsyth Securities	FSII	0235Δ	0235+	CNS	
Foreside Funds Distributors LLC/Guidestone Funds	5782						

Alphabetical Reference

November 2014

Forward Securities, LLC		5889			GAM Fund Management LTD		3605		
Founders Financial Securities, LLC		7044			Gar Wood Securities, LLC	GWDS	0017Δ		
401Kstore.com (The)		7129			Gar Wood Securities, LLC	GARW	0824Δ		
Four Points Capital Partners LLC	AFSS	0750Δ			Garbacz Group Inc. (The)	JGII		0443+	CNS
Fourthstone LLC		1633			Garden State Securities Inc.	GRST	0235Δ	0235+	CNS
Fox Run Alpha Fund, L.P.	FOXN	0352Δ	0352+	CNS	Gardner Financial Services Inc.	GAFI	0235Δ	0235+	CNS
Fox, Reusch & Co., Inc.	FOXR		6851	TFT	Gardner Rich, LLC	GDNR	0100Δ	0100+	TFT
FPA Fund Distributors, Inc.		5851			Gardnyr Michael Capital, Inc.	GMCI	0750Δ	0750+	CNS
Frank Funds		6671			Garrett (Andrew) Inc.	ANDG	0235Δ	0235+	CNS
Franklin Securities, LLC	FRSE		0443+	CNS	Garrett Nagle & Company, Inc.	GARR	0226Δ	0226+	CNS
Franklin Street Securities, Inc.	FSST		0443+	CNS	Gates Capital Corporation	GATS	0443Δ	0443+	CNS
Franklin/Templeton Distributors, Inc.		5534			Gatten Sadowski Inc	GSAD		0235+	CNS
Frazer Lanier Company (The)	FLCO		6909	TFT	Gaye (C.E.) & Sons Securities, Ltd.	PUMP		0141+	CNS
Fred Alger & Co., Inc./Alger Sicav		4950			GBM International, Inc.	GBMT	0443Δ	0443+	CNS
Fred Alger & Company, Incorporated		5594			GBM International, Inc.	GBMS	0158Δ		
Fred Alger & Company, Incorporated	ALGR	0158Δ			GE Investment Distributors, Inc.		5679		
Freedom Investments, Inc.	FDMI	0571Δ	0571+	CNS	Gelber Securities, LLC	GLBY	0551Δ		
Freedom Investors Corp.	FRIC	0279Δ	0279+	CNS	Gelber Securities, LLC	GELB	0695Δ		
Freimark Blair & Co., Inc.	FBLC	0161Δ	0161+	CNS	Gemini Fund Services, LLC		1919		
Fried (Albert) & Company, LLC	AFCO	0284	0284	CNS	Gemini Fund Services, LLC		1921		
Friedman Luzzatto & Co	FRLZ		0103+	CNS	Gemini Fund Services, LLC		1922		
Friedman, Billings, Ramsey & Co., Inc.	FBRC	0352Δ	0352+	CNS	Gemini Fund Services, LLC		1924		
Frontegra Funds, Inc.		5507			Gemini Fund Services, LLC		1927		
Frontier Financial Consultants, Inc.	FFCI		0443+	CNS	Gemini Fund Services, LLC		1931		
Frost Bank	FROS		6751	TFT	Gemini Fund Services, LLC		1933		
Frost Brokerage Services, Inc.	CUFT	0226Δ	0226+	CNS	Gemini Fund Services, LLC		3585		
FRS Securities, LLC	FSEC		0161+	CNS	Gemini Fund Services, LLC		3586		
FSC Securities Corp.		0169			Gemini Fund Services, LLC		3587		
FSC Securities Corporation	FSCN		0226+	CNS	Gemini Fund Services, LLC		3589		
FSC Securities Corporation/Advantage Capital		0191			Gemini Fund Services, LLC		3845		
FSC Securities Inc.	FSCS	0443Δ	0443+	CNS	Gemini Fund Services, LLC		3854		
FTB Advisors, Inc.	FTEN	0226Δ	0226+	CNS	Gemini Fund Services, LLC		3855		
FTB Advisors, Inc.		0192			Gemini Fund Services, LLC		3858		
FTN Financial Services Corp.	FTSC	0202	0202	CNS	Gemini Fund Services, LLC		3859		
Fulcrum Securities LLC		6923			Geneos Wealth Management, Inc		0244		
Fulcrum Securities, Inc.	OFKS	0235Δ			General Securities Corp.	GENS	0279Δ		
Fundamental Capital Management LLC		1302			Genworth Life and Annuity Insurance Company		4525		
Funds Distributor, LLC		5497			Genworth Life and Annuity Insurance Company		5752		
Funds Distributor, LLC/GMO Series Trust		3601			Genworth Life Insurance Company		4586		
Funds Distributor, LLC/GMO Trust		6680			Genworth Life Insurance Company of New York		4553		
Funds Distributor, LLC/MIRAE Asset Discovery Funds		5322			Geoffrey Richards Securities Corp.	TAIG	0235Δ	0235+	CNS
Funds Distributor, LLC/Munder Funds		5617			Georgeson Shareholder Securities Corp.	GSSC	0161Δ	0161+	CNS
Fusion Analytics Securities LLC	INDX	0103Δ			GETCO Securities, LLC	GETS	0103Δ		
G&L Partners, Inc.	GNLP	0103Δ			GFI Securities LLC	GFIG		0443+	CNS
G. F. Investment Services, LLC	GFBD		0226+	CNS	GFI Securities, LLC	GFIS	0501Δ		
G.A. Repple & Company		4076			Gilbert, Doniger Co., Inc.	GDCO		0443+	CNS
G.Research, Inc.	GABE	0443Δ	0141+	CNS	Gilboy (P.R.) & Associates, Inc.	PRGA	0279Δ	0279+	CNS
G.Research, Inc.		5574			Gilder, Gagnon, Howe & Co., LLC	GILG	0352Δ	0352+	CNS
G1 Execution Services, LLC	ETRF	0161Δ	0161+	CNS	Gilford Securities Incorporated	RGIL	0750Δ	0750+	CNS
Gabelli Securities, Inc.		1160			Gill Capital Partners	GLLL	0309Δ	0309+	CNS
Gage-Wiley & Co., Inc.	GGWI		0141+	CNS	Girard Securities, Inc.	GIRL	0226Δ	0226+	CNS
Gagnon Securities LLC	GAGN	0352Δ			Girard Securities, Inc.		0415		
Galloway Capital Management Ltd.		3434			GIT Investment Services, Inc.	GIMM		0226+	CNS
					Gladowsky Capital Management Corp.	GCMC		0443+	CNS

Alphabetical Reference

November 2014

Gleacher & Company Securities, Inc.	BPSG		0443+	CNS	Clearing				
Glendale Securities, Inc.	GLED	0595Δ	0595+	CNS	Goldman Sachs Execution & Clearing	GSVV	0501Δ		
Glendale Securities, Inc.	GLEE	0873Δ			Goldman Sachs Execution & Clearing	GSWW	0501Δ		
Glenmede Trust Company, N.A. (The)		2139			Goldman Sachs Execution & Clearing	GSXX	0501Δ		
Global Brokerage Services, Inc.	GSBI	0279Δ	0279+	CNS	Goldman Sachs Execution & Clearing	GSYY	0501Δ		
Global Credit Partners, LLC	GCPL		0443+	CNS	Goldman Sachs Execution & Clearing	GSZZ	0501Δ		
Global Direct Equities, LLC	GDEQ	0103Δ			Goldman Sachs Execution & Clearing, L.P.	SILK	0501	0501	CNS
Global Financial & Leasing Services, LLC		3503			Goldman Sachs Execution & Clearing, L.P.	BZYE	0501Δ	0501+	CNS
Global Financial Services, Inc.	GFSI	0352Δ	0352+	CNS	Goldman Sachs Execution & Clearing, L.P.	BTGG	0501Δ		
Global Investor Services, L.C.	GISJ	0352Δ	0352+	CNS	Goldman Sachs Execution & Clearing, L.P.	BZWW	0501Δ		
Global Investor Services, LLC	HBCO	0443Δ	0443+	CNS	Goldman Sachs Execution & Clearing, L.P.	BZWX	0501Δ		
Global Maxfin Capital Inc./CDS	GMAX	5026●			Goldman Sachs Execution & Clearing, L.P.	BZYD	0501Δ		
Global Resource Investments, Ltd.	GRIL	0235Δ			Goldman Sachs Execution & Clearing, L.P.	BZYG	0501Δ		
Global Securities Corporation/CDS	GSCF	5069●			Goldman Sachs Execution & Clearing, L.P.	BZYH	0501Δ		
Global Strategic Investments, LLC	GSIL	0158Δ	0158+	CNS	Goldman Sachs Execution & Clearing, L.P.	BZYL	0501Δ		
Global Strategic Investments, LLC	GSRI		0443+	CNS	Goldman Sachs Execution & Clearing, L.P.	BZZK	0501Δ		
Global Strategic Investments, LLC	GSIC	0052Δ			Goldman Sachs Execution & Clearing, L.P.	BZZN	0501Δ		
Global Trust Company		5915			Goldman Sachs Execution & Clearing, L.P.	GSAA	0501Δ		
Global Trust Company/ACI		3015			Goldman Sachs Execution & Clearing, L.P.	GSBB	0501Δ		
Global Trust Company/BHMS		7039			Goldman Sachs Execution & Clearing, L.P.	GSCC	0501Δ		
Global Trust Company/BNY-TSW		7935			Goldman Sachs Execution & Clearing, L.P.	GSDD	0501Δ		
Global Trust Company/CITI-VCM		7945			Goldman Sachs Execution & Clearing, L.P.	GSEE	0501Δ		
Global Trust Company/IRM		3076			Goldman Sachs Execution & Clearing, L.P.	SGMA	0501Δ		
Global Trust Company/NADA		7075			Goldman Sachs International Ltd.		5208		
Global Trust Company/NRS		5311			Goldman, Sachs & Co.	GSCO	0005	0005	CNS
Global Trust Company/NTRS		5357			Goldman, Sachs & Co.	GSCS	0005Δ		
Global Trust Company/Standish		3048			Gordon Hasket & Co.	GHAS	0226Δ	0226+	CNS
Globalink Securities, Inc.	PSRI		0103+	CNS	Gordon, Haskett Capital Corporation	GHCC	0226Δ	0226+	CNS
Glynn (J.A.) & Co.	GLYN	0443Δ	0443+	CNS	Gorian Investment Group	GTRN		0141+	CNS
GMP Securities L.P./CDS	GMPS	5016●			Gotham Lawrence Corporation	GOLA	0750Δ		
GMP Securities, LLC	MITR	0352Δ	0352+	CNS	GP Feeder Fund Management, LLC		1849		
GMS Group (The), LLC	GMSG	0443Δ	0443+	CNS	GP Nurmenkari, Inc.	GPNI	0284Δ		
Gold Bullion International, LLC		1142			GPB Capital Holdings, LLC		1533		
Gold Coast Securities, Inc.		4083			Grace Financial Group LLC	GFMS	0050Δ		
Goldberg (Gary) & Co., Inc.	GRYG		0226+	CNS					
Goldman Sachs & Co.		5572							
Goldman Sachs & Co./Commerce Funds		5799							
Goldman Sachs & Co./Goldman Sachs International Funds		6570							
Goldman Sachs Execution & Clearing	BZZH	0501Δ							
Goldman Sachs Execution & Clearing	GSFF	0501Δ							
Goldman Sachs Execution & Clearing	GSGG	0501Δ							
Goldman Sachs Execution & Clearing	GSII	0501Δ							
Goldman Sachs Execution & Clearing	GSLI	0501Δ							
Goldman Sachs Execution & Clearing	GSMM	0501Δ							
Goldman Sachs Execution & Clearing	GSPP	0501Δ							
Goldman Sachs Execution & Clearing	GSQQ	0501Δ							
Goldman Sachs Execution & Clearing	GSRR	0501Δ							
Goldman Sachs Execution & Clearing	GSTT	0501Δ							
Goldman Sachs Execution & Clearing	GSUU	0501Δ							

Alphabetical Reference

November 2014

Grace Financial Group LLC	GFGO	0501A			Guggenheim Funds Distributors, LLC	GUGI	0526	0526	CNS
Grace Financial Group, LLC	GFGH	0501A	0501†	CNS	Guggenheim Funds Distributors, LLC		4912		
Grace Financial Group, LLC	MVPF	0501A			Guggenheim Investment Advisors, LLC		1792		
Gradient Securities, LLC	GRAD	0235A			Guggenheim Real Estate LLC		1663		
Graham (B.B.) & Company	BBGC	0235A	0235†	CNS	Guggenheim Securities LLC		0181		
Gramercy Securities, Inc.	SCRI	0750A			Guggenheim Securities, LLC	GUGG	0352A	0352†	CNS
Grant Williams, L.P.	GWLP	0309A	0309†	CNS	Guggenheim Securities, LLC	LNKS		0443†	CNS
GRB Financial LLC	GRBF	0750A	0750†	CNS	Guggenheim Securities, LLC	GUGS	0443A		
Great American Advisors, Inc.	AGSS		0443†	CNS	Gunnar (Joseph) & Co., LLC	JGUN	0226A	0226†	CNS
Great American Life Insurance Company		5949			Guzman & Company	GZML	0161A	0161†	CNS
Great Lakes Fund Solutions, Inc.		1780			GVC Capital LLC	BCPI	0309A	0309†	CNS
Great Lakes Fund Solutions, Inc.		1782			GWFS Equities Inc./Great West RPS		5978		
Great Nation Investment Group	GNTS	0309A	0309†	CNS	GWFS Equities, Inc.		0257		
Great Pacific Securities	GPSS	0161A	0161†	CNS	GWFS Equities, Inc.		5330		
Great Point Capital LLC	MAVB	0103A			GWFS Equities, Inc./Commission Product		3354		
Greater Community Financial LLC	GRCF		0443†	CNS	GWFS Equities, Inc./Orchard Trust Company LLC		3702		
Great-West Life & Annuity Insurance Company		4735			GWG Holdings, Inc.		1835		
Great-West Life & Annuity Insurance Company of New York		4736			GWM Group, Inc.	RLCC	0443A		
Great-West Life & Annuity Insurance Company of New York/American Funds Distributors Inc.		3334			H. Beck, Inc.	HBCK		0443†	CNS
Great-West Life & Annuity Insurance Company/American Funds Distributors Inc.		3332			H. G. Wellington & Co., Inc.	WELC	0702A	0702†	CNS
Green Street Advisors, Inc.	GNAV	0352A			H.C. Denison Co.	DENI	0279A	0279†	CNS
Greenberg Financial Group	NEHL	0235A	0235†	CNS	H.C. Wainwright & Co., Inc.	WAIN	0103A	0103†	CNS
Greenman, Parker, Connally, Greenman, Inc.	GPCG		0443†	CNS	H.D. Vest Investments Services	HDVS		0141†	CNS
Greentree Brokerage Services, Inc.	GBSI	0103A	0443†	CNS	Hahn Securities, Inc.	WMPB	0750A	0750†	CNS
Greenwich Prime Trading Group, LLC	GPTG	0161A			Halcyon Cabot Partners, Ltd.	HCBD	0052A		
Grey Wolf Execution Partners, Inc.	GWEP	0103A			Halen Capital Management, Inc	HACL	0235A	0235†	CNS
GRF Capital Investors Inc.	GRFC	0235A	0235†	CNS	Halen Capital, Inc.	HCPL	0052A	0052†	CNS
Griffin Capital Securities, Inc.		1939			Hallmark Investments, Inc.	HMRK	0052A	0052†	CNS
Griffin Financial Group, LLC	GRFN	0103A			Hampton Securities (USA), Inc.	HMPT	0235A	0226†	CNS
Griffin Securities, Inc.	GSEC	0100A	0100†	TFT	Hancock Investment Services, Inc.	HANK		0226†	CNS
Griffith (M.) Locke Investment Services, Inc.	GRIF		0141†	CNS	Hancock Securities Group, LLC	DHAN		0443†	CNS
Griffon May, Inc.	MACP		0443†	CNS	Hand Benefits & Trust Company		4866		
Grodsky Associates, Inc.	GROD		0226†	CNS	Hand Benefits & Trust Company		5950		
GRW Capital Corp.	GRWC		0443†	CNS	Hand Benefits & Trust Company/SSB		3010		
GSECLP/Equities Execution		0048			Hand Securities, Inc.	AIRS	0309A	0309†	CNS
GSECLP/Kellogg Capital		0399			Hanson McClain	HMRN		0226†	CNS
G-Trade Services LLC	ADRD	0161A			Hantz Financial Services, Inc.		0614		
GTS Securities, LLC	GTSY	0161A	0161†	CNS	Hantz Financial Services, Inc.	HAFS	0279A		
GTS Securities, LLC	GTSZ	0501A	0501†	CNS	Hapoalim Securities USA, Inc.	ITEC	0443A	0443†	CNS
GTS Securities, LLC	GTSX	0103A			Hapoalim Securities USA, Inc.	POLI	0443A	0443†	CNS
Guardian Insurance & Annuity Company, Inc. (The)		4533			Harbor Funds Distributors, Inc.		5471		
Guardian Insurance & Annuity Company, Inc. (The)/Berkshire		7959			Harbour Investments Inc.	HARB		0443†	CNS
Guardian Insurance & Annuity Company, Inc. (The)/GLIC		7960			Hardcastle Trading USA, LLC	HCTA	0501A	0501†	CNS
Guardian Insurance & Annuity Company, Inc./Fund Trading		4637			Harger and Company, Inc.	HRGR	0235A	0235†	CNS
Guardian Investor Services LLC		5573			Harris (Chester) & Co., Inc.	CHHS		0141†	CNS
					Harris Investors Services, Inc.	HRRS		0443†	CNS
					Hart (LJ) & Company	LJHT		0443†	CNS
					Hartfield, Titus & Donnelly, LLC	HFLD		0443†	CNS
					Hartfield, Titus & Donnelly, LLC	HFLD	0443A		
					Hartford Funds Distributors, LLC		4856		
					Hartford Funds Distributors, LLC/HIMCO Variable Insurance Trust		3130		

Alphabetical Reference

November 2014

Hartford Funds Distributors, LLC/Upromise		5892				HSBC Bank USA, N.A./IPB		2122			
Hartford Life Insurance Company (The)		4501				HSBC Bank USA, National Association		2165			
Hartford Life Insurance Company/Life Business		4658				HSBC Bank, USA, N.A./Buffalo IPS		2049			
Harvard Property Trust, LLC		1284				HSBC Securities (USA) Inc.	HSBK	0816	0816	CNS	
Harvard Property Trust, LLC		1622				HSBC Securities (USA), Inc./Fixed Income Securities	HSBM	0486	0486	CNS	
Harvard Property Trust, LLC		1628				HSBC Securities (USA), Inc./Stock Loan	HSBC	0816Δ			
Harvard Property Trust, LLC		1634				Hugo Marx & Co., Inc.	MARX		6741	TFT	
Harvard Property Trust, LLC		1636				Hunter Associates Inc.	HNTR	0443Δ	0443+	CNS	
Harvard Property Trust, LLC		3683				Hunter Scott Financial, LLC	PLCP	0750Δ			
Harvest Capital LLC	HACA	0701Δ	0701+	CNS		Hunter World Markets, Inc.	WRLD		0235+	CNS	
Harvest Financial Corporation	HVST	0235Δ	0235+	CNS		Huntington National Bank		2305			
Harvestons Securities, Inc.	HARS	0226Δ	0226+	CNS		Huntington Asset Services, Inc.		1838			
Haywood Securities (USA) Inc.	HAYV	0279Δ	0279+	CNS		Huntington Asset Services, Inc.		1839			
Haywood Securities Inc.	HASF	5058●				Huntington Asset Services, Inc.		1843			
Hazlett, Burt & Watson, Inc.	HAZL	0226Δ	0226+	CNS		Huntington Asset Services, Inc.		3581			
Hazlett, Burt & Watson, Inc.		0252				Huntington Asset Services, Inc.		3582			
HBK Finance, LP	HBKI		0352+	CNS		Huntington Investment Company	HUCO	0226Δ	0226+	CNS	
Headlands Global Markets, LLC	HEAD		0443+	CNS		Huntington National Bank/Traditional Insurance		5383			
Heartland Investment Associates	HIAI		0226+	CNS		Hutchinson, Shockey, Erley & Co.	HUTC		6963	TFT	
Hefren-Tillotson, Inc.	HEFR	0443Δ	0443+	CNS		HWJ Capital Partners II, LLC	HWJC	0052Δ			
Hefren-Tillotson/Shelby, Kern, Frederick and Shelby Div.	SKFS		0443+	CNS		I-Bankers Securities, Inc.	MILE	0052Δ			
Heidtke & Company, Inc.	BUZZ		0141+	CNS		IBERIA Capital Partners L.L.C.	IBER	0226Δ	0226+	CNS	
Height Securities, LLC	HITS	0443Δ				ICAP Corporates LLC	GARB	0148	0148	CNS	
Heim, Young & Associates, Inc.		6021				ICAP Corporates LLC	GARC	0501Δ			
Henley & Company LLC	HENY	0443Δ	0443+	CNS		ICAP Corporates, LLC	GARQ	0501Δ	0161+	CNS	
Hennig (Carl M.) Inc.	HENN	0235Δ	0235+	CNS		ICAP Corporates, LLC	GARL	0501Δ			
Hennion & Walsh, Inc.	NHWI		0141+	CNS		ICD Securities	ICDS	0750Δ			
Heptagon Fund PLC		7084				ICMA-RC Services, LLC		0282			
Heritage Financial Systems, Inc.	HFSB	0235Δ	0235+	CNS		ICMA-RC Services, LLC		4942			
Herndon Plant Oakley	HPOL		0141+	CNS		ICON Capital, LLC		3592			
Herold (Bernard) & Co.	HERO	0443Δ	0443+	CNS		Icon Distributors, Inc.		5549			
Hewitt Associates LLC		7107				ICP Securities LLC	ICPX		0443+	CNS	
Hexagon Securities, LLC	HXGN		0443+	CNS		IEX Services, LLC	IEXG	0161Δ			
HFI Securities, Inc.	HFIS		0141+	CNS		IFC Holding, Inc./Invest Financial Corporation		0566			
Higgins Capital Management, Inc.	HIGG	0235Δ	0235+	CNS		IFC Holdings, Inc.	ISFA		0226+	CNS	
High Point Capital Group, Inc.	COHI	0873Δ	0226+	CNS		IFC Holdings, Inc.		1062			
Highlander Capital Group, Inc.	HIGH		0443+	CNS		IFMG Securities, Inc.	LBSC		0226+	CNS	
Hightower Securities, LLC	HTWR		0226+	CNS		IFS Securities, Inc.	IFSG	0100Δ			
Hightower Securities, LLC	HTJP	0352Δ	0352+	CNS		IIG Horizons Securities LLC	IIGH		0226+	CNS	
HighTower Securities, LLC		6017				Imperial Capital, LLC	IMPC	0443Δ	0443+	CNS	
Hill Thompson Magid & Co Inc.	HILF		0443+	CNS		IMS Securities Inc.	IMSS	0279Δ			
Hines Securities, Inc.		3584				Incapital, LLC	INCP	0235Δ	0235+	CNS	
HM Capital Management LLC		3431				Incline Investment Management, LLC		1644			
Hold Brothers Capital LLC		0430				Independent Bankers' Bank of Florida	IBBF		6778	TFT	
Hollencrest Securities, LLC	HLLC	0352Δ	0352+	CNS		Independent Brokers LLC	INDE	0309Δ	0309+	CNS	
Home Financial Services, Inc.	VOLS		2447	TFT		Indiana Merchant Banking & Brokerage Co., Inc.	IMBB	0279Δ	0279+	CNS	
Homestead Funds, Inc.		6553				Industrial Alliance Securities Inc.	MGIS	5008Δ			
Horace Mann Life Insurance Company		3637				Industrial and Commerical Bank of China Financial Services LLC	ICBK	0388	0388	CNS	
Honor, Townsend & Kent, Inc.	HOTO		0443+	CNS		Industrial and Commerical Bank of China Financial Services LLC/Equity Clearance	IBFS	0824	0824	CNS	
Honor, Townsend & Kent, Inc.		0326									
Horwitz & Associates, Inc.	HORW	0352Δ									
Hovde Group, LLC	HOVD	0103Δ									
Howells (M.S.) & Co.	HWLS	0443Δ	0443+	CNS							
HRC Investment Services, Inc.	HRCS		0443+	CNS							

Alphabetical Reference

November 2014

Industrial Income Trust Inc.		3495				International Strategy & Investment Group LLC			5591			
Industrial Property Trust Inc.		1246				International Strategy & Investment Group, Inc.	ISIG	0352Δ	0352†	CNS		
Infinex Investments Inc.		0113				Interpacific Investors Services, Inc.	IPAC	0226Δ	0226†	CNS		
Infinex Investments, Inc.	CTAS	0443Δ				InterTrading USA Securities, Inc.	ITUS	0309Δ	0309†	CNS		
Infinity Financial Services	NFTY	0235Δ	0235†	CNS		Intervest International Equities Corporation	IVST		0443†	CNS		
ING Financial Markets LLC	INGG	0270Δ				Intl FC Stone Securities Inc.	FCST	0443Δ				
ING Financial Markets, LLC	INGF	0270				INTL Trading, Inc.	INTL	0161Δ	0161†	CNS		
ING Financial Partners, Inc.	WING		0443†	CNS		InTrade, LLC	ITLC	0238Δ				
ING Institutional Plan Services, LLC		7108				Invemed Associates, LLC	INVEM	0352Δ	0352†	CNS		
ING Investment Management Services LLC	FSFS	0352Δ	0352†	CNS		Invesco Capital Markets, Inc.	VKMI	0692	0692	CNS		
ING National Trust Company		2360				Invesco Distributors, Inc.		5540				
ING National Trust Company/IFS		5377				Invesco Distributors, Inc./Fund Management Co.		5450				
ING Private Wealth Management LLC	INGW		0443†	CNS		Invesco Distributors, Inc./Offshore		6592				
Ingalls & Snyder, LLC	INGS	0124	0124	CNS		Investacorp, Inc.	ARCH	0226Δ	0226†	CNS		
Inland American Real Estate Trust, Inc.		1756				Investacorp, Inc.	INVE	0352Δ	0352†	CNS		
Inland Real Estate Investment Corporation		1872				Investacorp, Inc.		0138				
Inland Real Estate Investment Corporation		3835				Investment Center (The)		0318				
Inlet Securities, LLC	LLSI	0750Δ	0750†	CNS		Investment Center, Inc. (The)	ICEN	0443Δ	0443†	CNS		
Instinet, LLC	ICBX	0067Δ				Investment Centers of America, Inc.		0565				
Instinet, LLC	INAT	0067Δ				Investment Centers of America, Inc. Investment Management Corporation	KCIM	0235Δ	0235†	CNS		
Instinet, LLC	INBA	0067Δ				Investment Network, Inc.	IVNT	0235Δ	0235†	CNS		
Instinet, LLC	INHC	0067Δ				Investment Partners Asset Management		3424				
Instinet, LLC	INMB	0067Δ				Investment Placement Group	IPGR		0443†	CNS		
Instinet, LLC	INML	0067Δ				Investment Planners Inc.	INPI	0235Δ	0235†	CNS		
Instinet, LLC	INMP	0067Δ				Investment Professionals, Inc.	INPR	0443Δ	0443†	CNS		
Instinet, LLC	INMU	0067Δ				Investment Professionals, Inc.	SBAM		0443†	CNS		
Instinet, LLC	INTU	0067Δ				Investment Professionals, Inc.		6052				
Instinet, LLC	INTW	0067Δ				Investors Capital Corporation	ICCP	0443Δ	0443†	CNS		
Instinet, LLC	XIST	0067Δ				Investors Capital Corporation		6016				
Instinet, LLC	INAR	0436Δ				Investors Securities Services, LLC	ISSC		0443†	CNS		
Instinet, LLC	INJX	0536Δ				Invex, Inc.	IVEX	0352Δ				
Instinet, LLC	INCA	0067				IPO Capital	IPOC	5039Δ				
Institutional Capital Management, Inc.	ICMH	0235Δ	0235†	CNS		Ironstone Securities Inc.	ISSB		0443†	CNS		
Institutional Investor Trust		3709				Isaak Bond Investment, Inc.	IAAK	0279Δ	0279†	CNS		
Institutional Securities Corporation	ISCN	0279Δ	0279†	CNS		ISERoute, LLC	SPDR	0100Δ				
Insurance Technologies, LLC		6407				ISI Capital, LLC	ISIL	0103Δ	0103†	CNS		
Integral Financial, LLC	INFI	0279Δ				Israel A. Englander & Co., LLC	IAEC	0551Δ				
Integrated Trading and Investments, Inc.	INII	0017Δ				Itau BBA USA Securities Inc.	ITAU	0443Δ				
Integrity Brokerage Services, Inc.	IBSH	0595Δ	0595†	CNS		Itau Europa Securities Inc.	IESI	0443Δ	0443†	CNS		
Integrity Brokerage Services, Inc.	IBSJ	0595Δ	0595†	CNS		ITB Capital Management, LLC		1455				
Integrity Funds Distributor, LLC		5657				ITB Securities, LLC	ITBS	0750Δ	0750†	CNS		
Integrity Life Insurance Company		4549				ITG Canada	ITGC	5059Δ				
Interactive Brokers Corp.	IBCO		0534†	CNS		ITG, Inc.	ITGI	0099				
Interactive Brokers LLC	IBKR	0017				ITradedirect.com Corp.	ITDC	0750Δ	0750†	CNS		
Interactive Brokers, LLC/Retail Clearance	IBKR	0534	0534	CNS		IVY Securities, Inc.	IVYS	0100Δ				
Intercarolina Financial Services, Inc.	ICFS		0226†	CNS		J&C Global Securities, LLC	MEAT	0052Δ				
Intercontinental Asset Management Group, Ltd.	ICON		0443†	CNS		J. Scott Securities Corp.	JSSC		0352†	CNS		
International Assets Advisory, LLC	INTX		0226†	CNS		J. W. Cole Financial, Inc.	JWCF		0226†	CNS		
International Assets Advisory, LLC	INTA		0226†	CNS		J.D. Nicholas & Associates, Inc.	FRIS	0052Δ	0052†	CNS		
International Correspondent Trading, Inc.	ICTI	0226Δ	0226†	CNS		J.J.B Hilliard, W.L.Lyons, LLC	HLHC		0768†	CNS		
						J.J.B. Hilliard, W.L. Lyons, LLC	HDLY	0768	0768	CNS		
						J.K. Chilton & Associates, Inc.	JKCA		0103†	CNS		

Alphabetical Reference

November 2014

J.K. Financial Services, Inc.	JKFS	0279Δ	0279†	CNS	Jefferies LLC/Jefferies Execution Services, Inc./Service Bureau	WDSB	0536		
J.K.R. & Co., Inc.	JKRC		0443†	CNS	Jefferson National Life Insurance Company		4573		
J.P. Morgan Clearing Corp.	BSSC	0352	0352	CNS	Jeffrey Matthews Financial Group, LLC	JEFM	0235Δ	0235†	CNS
J.P. Morgan Institutional Investments, Inc.		4871			Jeffries Partner Opportunity Fund II, LLC	JHYT	0019Δ	0019†	CNS
J.P. Morgan Securities LLC	CHSI	0187	0187	CNS	JH Darbie & Co. Inc.	JHDR	0052Δ	0052†	CNS
J.P. Morgan Securities LLC	JPMT	0352Δ	0352†	CNS	JK Securities, Inc.	JKSI		0750†	CNS
J.P. Morgan Securities LLC	JPMX	0352Δ			JMP Securities, LLC	JSSF	0352Δ	0352†	CNS
J.P. Morgan Securities LLC/Chase Insurance Group		0470			JNK Securities Corp.	JNKK	0161Δ		
J.P. Morgan Securities LLC/CISC		0432			John Hancock Funds, LLC		5582		
J.P. Morgan Securities LLC/Middle Markets		0686			John Hancock Funds, LLC/MGF Offshore Lux		5133		
J.P. Morgan Securities LLC/NYSE		0060			John Hancock Life & Health Insurance Company/ LTC		5910		
J.P. Morgan Securities LLC/Oppenheimer 401K		0758			John Hancock Life Insurance Company (U.S.A)		4513		
J.P. Morgan Securities LLC/Private Client Services Div		0406			John Hancock Life Insurance Company (U.S.A) /LTC		5994		
J.P. Morgan Securities LLC/Small Business		0693			John Hancock Life Insurance Company (U.S.A)/RPS LLC		3343		
J.P. Morgan Securities, Inc.	BEAR	0352Δ	0352†	CNS	John Hancock Life Insurance Company (USA)/Group Pension		4661		
J.P. Morgan Securities, Inc.	BEST	0352Δ	0352†	CNS	John Hancock Life Insurance Company (USA)/Insurance		4660		
J.P. Morgan Securities, Inc.	JPME	0352Δ			John Hancock Life Insurance Company (USA)/RPS Seg Funds & Accounting ET7		4704		
J.P. Morgan Securities, Inc.	JPMG	0352Δ			John Hancock Life Insurance Company of New York		4607		
J.P. Morgan Securities, Inc.	JPMP	0352Δ			John Hancock Life Insurance Company of New York/RPS SEG Funds & Accounting ET7		4705		
J.P. Morgan Securities, Inc.	JPMS	0352Δ			Johnson Investment Counsel, Inc.		3779		
J.V.B. Financial Group LLC	JVBG	0443Δ	0443†	CNS	Johnson, Rice & Company LLC	JRCO	0352Δ		
Jack V. Butterfield Investments Company	JVBF	0235Δ	0235†	CNS	Johnston, Lemon & Co. Incorporated	JOLE	0443Δ	0443†	CNS
Jackson National Life Insurance Company		4552			Jones (Edward D.) & Co.	EDJO	0057	0057	CNS
Jackson National Life Insurance Company of New York		4584			Jones Gable & Company LTD./CDS	JNGF	5070●		
Jackson National Life Insurance Company/Brooke Life		4581			JonesTrading	JONE	0161Δ	0161†	CNS
Jackson Partners & Associates Inc.	JPTR	0100Δ	0100†	TFT	Joseph Grace	JGRC	0103Δ		
Jackson Securities LLC	JACK		0443†	CNS	Joseph Stone Capital L.L.C.	JSCL	0052Δ		
James Baker & Associates, L.P.	BAKR		6069	TFT	JP Morgan Chase Bank/ADP Express Account		0409		
Janco Partners Inc.	JANC		0443†	CNS	JP Morgan Chase Bank/IA		2357		
Jane Street Capital, LLC	JASC		0352†	CNS	JP Morgan Retirement Plan Services LLC		7147		
Jane Street Execution Services, LLC	JSES	0352Δ	0352†	CNS	JPMorgan Chase Bank N.A./JPMorgan Chase Health Savings		0915		
Jane Street Markets, LLC	JANE	0352Δ	0352†	CNS	JPMorgan Chase Bank N.A./Worldwide Securities Services		0204		
Jane Street Markets, LLC	JANS	0352Δ			Hewitt Accounts				
Jane Street Markets, LLC	JSPT	0352Δ			JPMorgan Chase Bank, N.A. / Custodial Trust Company		2424		
Jane Street Markets, LLC	NASJ	0352Δ			JPMorgan Chase Bank, N.A./Winterflood Securities Limited		8120		
Jane Street Markets, LLC	JSOP	0551Δ			JPMorgan Chase Bank, National Association		0902		
Janney Montgomery Scott LLC	JANY	0374	0374	CNS					
Janney Montgomery Scott LLC	JMSI	0374Δ							
Janus Distributors LLC		5781							
Janus Distributors LLC/Janus Capital International Limited		5467							
Jaypee International, Inc.	JPII	0017Δ							
Jefferies & Co., Inc.	BDIR	0352Δ	0352†	CNS					
Jefferies Execution Services, Inc.	JEFX	0536Δ							
Jefferies LLC	JEFF	0019	0019	CNS					
Jefferies LLC	DEFA	0443Δ	0443†	CNS					
Jefferies LLC	PJEF	0443Δ	0443†	CNS					
Jefferies LLC	GJEF	0501Δ							

Alphabetical Reference

November 2014

JPMorgan Chase Bank/PB-PCS Shared Services		6652			KMS Financial Services	KMSF		0443†	CNS
JPMorgan Chase Bank/PCS Shared Services		2255			KMS Financial Services, Inc.		4835		
JPMorgan Chase Bank/TIAA-CREF		2006			Knight Capital Americas LLC	VABD		0295†	CNS
JPMorgan Distribution Services, Inc.		5599			Knight Capital Americas LLC	GFLO	0295Δ		
JPMorgan Distribution Services, Inc./JPM Off-Shore Funds		5798			Knight Capital Americas LLC	NITX	0295Δ		
JPMorgan Distribution Services, Inc./NY Advisor 529 Plan		3789			Knight Capital Americas, L.P.	KELG	0295Δ		
JRL Capital Corporation	JRLC	0279Δ	0279†	CNS	Knight Capital Americas, L.P.	KELL	0295Δ		
K.A. Associates Inc.	KALA	0352Δ	0352†	CNS	Knight Capital Markets, LLC	TRIM	0295Δ	0161†	CNS
K.R. Securities LLC	KRCO	0352Δ	0352†	CNS	Knight Capital Markets, LLC	KCMP	0295Δ		
Kabrik Trading	KBKF	0695Δ			Knight Equity Markets, L.P.	NITE	0295Δ	0161†	CNS
Kahn Brothers & Co., Inc.	KBCO	0443Δ			Knight Equity Markets, L.P.	NITP	0295Δ		
Kaiser and Company	WYOM		0443†	CNS	Knight Execution & Clearing Services LLC	DTTX	0295Δ		
Kalos Capital Incorporated	KALO		0226†	CNS	Knight Execution & Clearing Services LLC	NITD	0295Δ		
Kalos Capital, Inc		6926			Kohn (L.M.) & Company	LMKO	0235Δ	0235†	CNS
Kapitall Generation, LLC	KAPG	0158Δ			Kohn (L.M.) & Company		0194		
Kashner Davidson Securities Corporation	KASH	0750Δ	0750†	CNS	Koonce Securities Inc.	KOSE	0712	0712	CNS
KBS Capital Markets Group, LLC		1153			Korth (J.W.) & Company, Inc.	KRTH	0235Δ	0235†	CNS
KBS Capital Markets Group, LLC		1611			Kovack Securities Inc.	KOVP	0443Δ	0443†	CNS
KBS Capital Markets Group, LLC		1612			Kovack Securities, Inc.	KOVS	0226Δ	0226†	CNS
KBS Capital Markets Group, LLC		1613			Kovitz Securities, LLC	KVTZ		0443†	CNS
KBS Capital Markets Group, LLC		1617			Kramer Securities Corp.	KRAM		0141†	CNS
KBS Capital Markets Group, LLC		1621			Krueger Brokerage, Inc.	KRUG		0235†	CNS
KBS Capital Markets Group, LLC		3872			Kun-Lun Development Corporation	KLDC	0279Δ		
KCG Americas LLC	NITC	0295	0295	CNS	Kuykendall & Schneider, Inc.	KUYK	0309Δ	0309†	CNS
KCG Americas LLC	LIBE	0443Δ	0443†	CNS	KW Securities Corp.	LAKA		0352†	CNS
KCG Americas LLC	KCGM	0295Δ			KW Securities Corporation	KWSC	0235Δ	0235†	CNS
Kedem Capital Corp.	KEDM	0352Δ	0352†	CNS	Kyson & Co	KYSN	0103Δ		
Keefe, Bruyette & Woods, Inc.	KBWI	0793Δ	0793†	CNS	L&R Trading L.L.C.	LNRT	0501Δ	0501†	CNS
Keeley Investment Corp.	KEEL	0226Δ	0226†	CNS	L.S.Y., Inc.	AMIC		0226†	CNS
Keeley Investment Corp.		5661			LaBrunerie Financial Services	LABR		0188†	CNS
Kelley (D.M.) & Co.	DMKC	0141Δ	0141†	CNS	Ladenburg, Thalmann & Co. Inc.	LTCO	0226Δ	0226†	CNS
Kelt (The) Group, LLC	TKGA		0226†	CNS	Lafayette Investments Incorporated	LSPI		0141†	CNS
Kenneth, Jerome & Co., Inc.	KIER	0052Δ	0052†	CNS	Lafferty (R.F.) & Co., Inc.	LAFB	0235Δ	0235†	CNS
Kenny Securities Corp.	KENY		0443†	CNS	Laidlaw & Company (UK) Ltd.	LDLW	0750Δ	0750†	CNS
Kensington Capital Corp.	KENS	0309Δ			Lake Forest Securities, LLC	LAKE	0235Δ	0235†	CNS
Kercheville & Company	KERC	0443Δ			Lake Street Capital Markets, LLC	LSCM	0103Δ		
Kershner Securities, LLC	KRSH	0501Δ			LAM Securities	LMSE	0750Δ	0750†	CNS
Kevin Hart Kornfield & Co., Inc.	KHKC		0226†	CNS	Lamon & Stern Inc.	LAMS		0443†	CNS
Key Bank N.A.		5608			Lampert Capital Markets Inc.	LPCM	0103Δ	0103†	CNS
Key Investment Services LLC	KISL		0443†	CNS	Lamport Capital, L.C.	LAMP	0512Δ		
Key Investment Services LLC		0809			Lancaster Pollard & Co.	LANP	0309Δ	0309†	CNS
Key West Investments, LLC	KWIL	0052Δ	0052†	CNS	Landolt Securities, Inc.	LDOT		0226†	CNS
Key West Investments, LLC	KEYW	0017Δ			Landolt Securities, Inc.	FISN		0226†	CNS
KeyBanc Capital Markets Inc.	KEYB	0443Δ	0443†	CNS	Lantern Investments, Inc.	LATN		0443†	CNS
KeyBanc Capital Markets Inc.		0799			Lara, Shull & May, Ltd.	LAMA	0235Δ	0235†	CNS
Keybank National Association		2205			LaraDorbecker Securities Corporation	LDSC		0226†	CNS
KGS Alpha Capital Markets LLC	KGSA		0443†	CNS	Larimer Capital Corporation	LARC	0235Δ	0235†	CNS
Kildare Capital, Inc.	KCAP	0103Δ	0103†	CNS	Larkin (Emmett A.) Co., Inc.	LARK	0750Δ	0750†	CNS
Kildare Capital, Inc.	KILD		0103†	CNS	LaSalle Investment Management, Inc.		1461		
Kiley Partners, Inc.	KCIX	0309Δ	0309†	CNS	LaSalle St. Securities, LLC		0232		
Kimelman & Baird, LLC	KIML	0352Δ	0352†	CNS	LaSalle Street Securities, Inc.	LASS	0226Δ	0226†	CNS
King (C.L.) & Associates, Inc.	KING	0743	0743	CNS	LATAM Securities LLC	LATM	0501Δ		
KLR Group, LLC	KLRG	0100Δ			Latmark Asset Management, LLC		9092		
					Latour Trading LLC	XGWD	0695Δ		
					Latour Trading LLC	XGWX	0695Δ		



Alphabetical Reference

November 2014

Lauren & Merlin Inc.	LMFI	0235Δ	0235†	CNS	Lightspeed Trading, LLC	GMOR	0551Δ		
Laurential Bank of Canada/CDS		5001			Lightspeed Trading, LLC	LSTE	0873Δ		
LavaFlow, Inc.	FLOW	0641			Lime Brokerage LLC	LIJP	0352Δ	0352†	CNS
Lavaflow, Inc.	LAVA	0501Δ			Lime Brokerage LLC	LITB	0100Δ		
LavaFlow, Inc.	GOTO	0641Δ			Lime Brokerage LLC	LITE	0103Δ		
Lawson Financial Corporation	LWFL	0443Δ	0443†	CNS	Lime Brokerage LLC	LIWE	0103Δ		
Lazard Asset Management Securities LLC		4850			Lime Brokerage LLC	LMGP	0103Δ		
Lazard Asset Management Securities LLC/Lazard Global Active Funds		5417			Lime Brokerage LLC	LMGT	0103Δ		
Lazard Capital Markets LLC	LAZA	0443Δ	0443†	CNS	Lime Brokerage LLC	LBNN	0161Δ		
Lazard Freres & Co. LLC	LAZF	0443Δ	0443†	CNS	Lime Brokerage LLC	LIMA	0436Δ		
LCS Securities, LLC	LCSS	0352Δ	0352†	CNS	Lime Brokerage LLC	JXLI	0536Δ		
LDR Capital Management LLC		1865			Lime Brokerage LLC		8199Δ		
Leaders Group, Inc. (The)	LEAD		0226†	CNS	Lincoln Benefit Life Company/Administered by SE2 Technology Solutions		4689		
Lebanthal & Co., LLC	LBCO	0443Δ	0443†	CNS	Lincoln Benefit Life Company/Retained Annuitized Contracts		4771		
Lebenthal & Co., LLC.	LBWA	0235Δ			Lincoln Douglas Investments, LLC	LDIL		0226†	CNS
Ledgewood Capital Management, LLC	LEDG		0443†	CNS	Lincoln Financial Advisors	LFAC		0226†	CNS
Leede Financial Markets Inc./CDS	LEDE	5071●			Lincoln Financial Securities Corporation		0211		
Leerink Swann & Company	LEER	0443Δ	0443†	CNS	Lincoln Investment	LNCL	0443Δ		
Leerink Swann & Company	LESW	0443Δ	0443†	CNS	Lincoln Investment Planning Inc.		0145		
Legacy Asset Securities Inc.	LASE	0235Δ	0235†	CNS	Lincoln Life & Annuity Company of New York		4686		
Legend Securities, Inc.	LEGD	0052Δ	0052†	CNS	Lincoln National Life Insurance Co./Connecticut		4615		
Legg Mason Investor Services, LLC		5749			Lincoln National Life Insurance Company		4500		
Legg Mason Investor Services, LLC/529 Plans		5570			Lincoln National Life Insurance Company/For Annuities (The)		4633		
Legg Mason Investor Services, LLC/Citifunds		5834			Lincoln National Life Insurance Company/For Life		4634		
Legg Mason Investor Services, LLC/Legg Mason Global Funds PLC		5833			Lincoln National Life Insurance Company/II		4685		
Leigh Baldwin & Co., LLC		6013			Lincoln Variable Insurance Products Trust		7111		
LEK Securities Corporation	LSCI	0512	0512	CNS	Linkbrokers Derivatives Corporation	LINQ		0443†	CNS
Lek Securities Corporation	LCHX	0512Δ			Lipper Convertibles, L.P.	LPCO		0551†	CNS
Lemley, Yarling & Co.	LEYA	0235Δ	0235†	CNS	Liquidnet, Inc.	LQNA	0352Δ	0352†	CNS
Lenox Financial Services Inc.	LENX		0279†	CNS	Liquidnet, Inc.	LQNB	0352Δ	0352†	CNS
Leonard Securities, Inc.	LEON	0235Δ	0235†	CNS	Liquidnet, Inc.	LQNT	0352Δ	0352†	CNS
Lerner (David) Associates, Inc.	DLAE	5144	5144	CNS	Liquidnet, Inc.	LQNF		0443†	CNS
Lesko Securities Inc.	LSKO		0226†	CNS	Littlewood (L.P.) and Associates, Inc.	LTLI		0141†	CNS
Leumi Investment Services, Inc.	LISI		0443†	CNS	Livermore Trading Group, Inc.	LVMR	0100Δ		
Levco Securities, Inc.	LEVN		0418†	CNS	Livevol Securities, Inc.	LVLX	0017Δ		
Levinson (S.J.) & Sons LLC	SJLS	0501Δ			LLK Insurance Brokerage Services, LLC		6009		
Levy, Harkins & Co., Inc.	LEVY	0352Δ	0352†	CNS	Lloyds Securities Inc.	LYSI		0443†	CNS
Lexington Investment Co. Inc.	LEXI	0352Δ	0352†	CNS	Locust Street Securities, Inc.	LSSM		0443†	CNS
LF Rothschild, LLC	LFRO	0235Δ	0235†	CNS	Lodestar Securities Corp.	LSTR	0824Δ	0824†	CNS
Liberty Capital Investment Corp.	PURP	0309Δ	0309†	CNS	Loeb Partners Corporation/Retail	LOBR	0352Δ	0352†	CNS
Liberty Group, LLC	JACQ		0226†	CNS	Loewen, Ondaatje, McCutcheon USA Limited	LOMU	0235Δ	0235†	CNS
Liberty Life Assurance Company of Boston		4641			Lombard Odier Transatlantic, Limited Partnership	TRNS	0408		
Liberty Partners Financial Services, Inc.	LPFS	0235Δ	0235†	CNS	Lombard Securities Incorporated	LOMB	0279Δ	0279†	CNS
Liberum Capital Inc.	LINC	0352Δ	0352†	CNS	Long (S.G.) & Company	SGLC	0235Δ	0235†	CNS
Libucki & Co., LLC	LBKI	0100Δ							
Lieblong & Associates, Inc.	LASI		0141†	CNS					
Lifemark Securities Corp.	LMAR		0226†	CNS					
Lighthouse Financial Group, LLC	LFIN		0161†	CNS					
Lightspeed Trading, LLC	INTG	0158Δ	0158†	CNS					
Lightspeed Trading, LLC	LSPS	0158Δ	0158†	CNS					

Alphabetical Reference

November 2014

Long Island Financial Group, Inc	LIFG	0309A	0309†	CNS	Mainsail Group, LLC		5411		
Longbow Securities, LLC	LBOW	0443A			MAM Global Financial Services LLC		1205		
Loomis Sayles Trust Company, LLC		3755			Managed Account Services, LLC	MASE		0141†	CNS
Loop Capital Markets, LLC	LOOP	0443A	0443†	CNS	Manhattan Beach Trading Financial Services, Inc.	MBTS	0158A	0158†	CNS
Lord Abbett Distributor LLC/Lord Abbett Passport Portfolios PLC		1330			Manna Capital Management	MFPC	0750A	0750†	CNS
Lord Abbett Distributors		5500			Manning & Napier Investor Services, Inc.		5753		
Loring Ward Securities, Inc.		5672			Manning (V.M.) & Co., Inc.	MANI	0750A	0750†	CNS
Louis Capital Markets, L.P.	LOUI	0501A			Manufacturers & Traders Trust Company	MTSD		0922	TFT
Lowell & Company	LOWL	0309A	0309†	CNS	Manufacturers & Traders Trust Company/TPA		2128		
Loyal3 Securities Inc.	MKVA	0472			Manufacturers and Traders Trust Company		0990		
LPL Financial Corporation	YLPL	0075	0075	CNS	Manulife Securities Inc./CDS		5047		
LPL Financial Corporation/LPL Insurance		4747			Maple Securities USA, Inc.	MAPL	0269		
LPL Financial, LLC		3477			Maplewood Investment Advisors, Inc.	MPLW	0226A	0226†	CNS
LPS Partners Inc.	SILK	0501A	0279†	CNS	Marco Polo Securities Inc.	DVNE		0443†	CNS
LPS Partners Inc.	LPSP	0501A			Marco Polo Securities Inc.	MPSC	0873A		
LTC Investment Services, Inc.	AIAI		0226†	CNS	Mariva Capital Markets, LLC	BMSA		0443†	CNS
Lucia Securities, LLC	HLIX	0235A	0235†	CNS	Mark Boyar & Co., Inc.	BOYR		0443†	CNS
Lucia Securities, LLC		6900			Market Street Financial Group LLC		6901		
LXM Group	LXMG	0824A			MarketAxess Corporation	MKTX		0443†	CNS
M Fund Inc.		5425			Marsco Investment Corporation	MRSC	0287	0287	CNS
M Holdings Securities, Inc.		0757			Martinez-Ayme Securities	AYME	0052A	0052†	CNS
M&T Securities, Inc.	MTDB	0443A	0443†	CNS	Marv Capital Inc.	NTCP	0309A	0309†	CNS
M&T Securities, Inc.		0040			Mason Securities, Inc.	MSIE		0443†	CNS
M&T Securities, Inc.	BALE	0443A			Massachusetts Mutual Life Insurance Company		4545		
M. E. Allison & Co., Inc.	MEAL	0226A	0226†	CNS	Massachusetts Mutual Life Insurance Company		5844		
M. S. Howells & Co.	MSHI	0824A			Massachusetts Mutual Life Insurance Company/Administered by se2 Technology Solutions		3389		
M.J. Whitman, LLC / Third Avenue Capital PLC		5916			Massachusetts Mutual Life Insurance Company/First Mercantile Trust Company		7953		
M.M. Dillon & Co. LLC	PFFR	0750A			Massachusetts Mutual Life Insurance Company/Fund Operations		4534		
MacDougall, MacDougall & MacTier Ltd./CDS		5022			Massachusetts Mutual Life Insurance Company/Life Insurance Products		4768		
Mack Investments Securities, Inc.	MINV	0235A	0235†	CNS	Massachusetts Mutual Life Insurance Company/RS Plans Corporate		4662		
Mackie Research Capital Corporation/CDS	MREC	5029A			Massachusetts Mutual Life Insurance Company/RS Plans Mutual Funds		5919		
Mackie Research Capital Corporation/CDS	RECA	5029●			Massachusetts Mutual Life Insurance Company/RS Plans TEM & NFP		4663		
Macquarie Asset Management Inc.		3849			Massachusetts Mutual Life Insurance Company/Separate Investment Accounts		3697		
Macquarie Capital (USA) Inc.	MSUS	0114			Massachusetts Mutual Life Insurance Company/Tax Exempt and Not for Profit		7966		
Macquarie Capital (USA) Inc.	MACQ	0114A			Matrix Capital Group, Inc.		5681		
Macquarie Private Wealth/CDS	YKTN	5016A			Matrix Capital Group, Inc. / The Monteagle Funds		6697		
Macro Risk Advisors, LLC	MRAD	0501A							
Madison Avenue Securities	MAVS	0443A	0443†	CNS					
Madison Avenue Securities, Inc.		6428							
Madison Capital Markets, Inc.	MACM	0161A	0161†	CNS					
Madison Investment Advisors, LLC		6577							
Madison Investment Advisors, LLC/Madison Funds		4987							
Madison Investment Advisors, LLC/Ultra Series Fund		3765							
Madison Williams and Company	MWCO		0443†	CNS					
Magna Securities Corp.	MSCH		0443†	CNS					
Magnus (E.) Oppenheim & Co., Inc.	EMOC	0750A	0750†	CNS					
Maia Securities, Inc.	MAIA	0235A	0235†	CNS					
Main Street Management Company	MSMC		0188†	CNS					
Maine Securities Corporation	MSCB	0279A							
Mainline West Municipal Securities LLC	MLMS		0279†	CNS					

Alphabetical Reference

November 2014

Matrix Capital Group, Inc./Amidex		6606			Merrill Lynch Pierce Fenner & Smith Incorporated	WVBD	0161Δ	0161†	CNS
Matrix Capital Group, Inc./Foundry Partners		3025			Merrill Lynch Professional Clearing Corp.	PRST	0551	0551	CNS
Matrix Capital Group, Inc./Nest Egg Funds		5694			Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	0161	CNS
Matrix Capital Group, Inc./Shields & Company		5843			Merrill Lynch, Pierce, Fenner & Smith Inc.	MLTX	0161Δ		
Matrix Capital Group, Inc./Stringer Asset Management		7085			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLMA	0161Δ	0161†	CNS
Matrix Capital Group, Inc./WP		1320			Merrill Lynch, Pierce, Fenner & Smith Incorporated			3098	
Matthew 25 Fund, Inc.		6637			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLBC	0161Δ		
Matthews (Joseph) & Co.	JMAT	0750Δ			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLPK	0161Δ		
Maxim Group, LLC	MAXM	0443Δ	0443†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLRM	0161Δ		
Maxwell Simon Inc.	MXSI	0309Δ	0309†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLSE	0161Δ		
MBS Capital Markets, LLC	MBSL		0443†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLSK	0161Δ		
MBSC Securities Corporation	MBSC	0161Δ	0161†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLSL	0161Δ		
MBSC Securities Corporation		5523			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTA	0161Δ		
MBSC Securities Corporation/Mellon Bank N.A. (MCM)		6657			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTC	0161Δ		
MBSC Securities Corporation/Mellon Bank N.A. (SMAM)		6538			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTE	0161Δ		
MBSC Securities Corporation/Mellon Bank, NA (TBC)		6598			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTI	0161Δ		
MBSC Securities Corporation/Mellon Global Funds		6615			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTJ	0161Δ		
MBSC Securities Corporation/The Bank of New York Mellon		5913			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTK	0161Δ		
McCamish Systems, LLC		6403			Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLTL	0161Δ		
McClurg Capital Corporation	MCCL	0443Δ	0443†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLUA	0161Δ		
McCourtney-Breckenridge & Company	MCTY	0235Δ	0235†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLUB	0161Δ		
McGowan (J.P.) & Company, Inc.	JPMC		0443†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLUC	0161Δ		
McKelvey (George) Co., Inc.	GMCK	0226Δ	0226†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	PXCJ	0161Δ		
McKenna (D.B.) & Co., Inc.	DBMC		0725†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLBB	0651Δ		
McKim Capital, Inc.	ROND	0750Δ	0750†	CNS	Merrill Lynch, Pierce, Fenner & Smith Incorporated	BOFA	0773	0773	CNS
McLiney & Company	MCLI		8039	TFT	Merrill Lynch, Pierce, Fenner & Smith, Inc.	BCEX	0161Δ		
McMahan Securities Co. L.P.	MMAN		0443†	CNS	Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCA	0161Δ		
McMillion Securities, Inc.	MCME	0702Δ	0702†	CNS	Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCB	0161Δ		
McNicoll, Lewis & Vlask LLC	MLVM	0161Δ	0161†	CNS	Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCC	0161Δ		
MDB Capital Group, LLC	MDBC	0226Δ	0226†	CNS					
Means Investment Company, Inc.	MEAN		0226†	CNS					
MEB Options, LLC	MEBO	0695Δ							
Meeschaert Capital Markets, Inc.	WMEI	0279Δ	0279†	CNS					
Mell (W.H.) Associates, Inc.	MELL		0443†	CNS					
Melvin Securities, L.L.C.	MLVN		0443†	CNS					
Mercadien Securities	MERC	0235Δ	0235†	CNS					
Mercator Associates, LLC	MERQ		0161†	CNS					
Mercator Associates, LLC	MERQ	0052Δ							
Mercer Trust Company		0347							
Mercer Trust Company		7103							
Merchant Capital, LLC	MCLL		6733	TFT					
Mercor Securiteis LLC	MSLC	0017Δ							
Meredith (Robert R.) & Co.	MDTH		0443†	CNS					
Meridian Equity Partners Inc.	MERP	0824Δ							
Meritus Financial Group, Inc.	MEFG	0750Δ	0750†	CNS					
Merlin Securities, LLC	MERL	0352Δ	0352†	CNS					
Merlin Securities, LLC	RLIN	0501Δ							

Alphabetical Reference

November 2014

Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCD	0161Δ			Midland National Life Insurance Company				7248
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCG	0161Δ			Midland National Life Insurance Company/Sammons Retirement Solutions				4758
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLEL	0161Δ			Mid-Ohio Securities Corp.	MIOH		0226+	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLEX	0161Δ			Midwestern Securities Trading Company, LLC	MSTC		0226+	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLTQ	0161Δ			Milkie Ferguson Investments, Inc.	MIFI		0226+	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLTV	0161Δ			Millegan (J.W.), Inc.	JWML	0235Δ	0235+	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc.	BCEP	0551Δ			Millennium Advisors, LLC	MADV		0443+	CNS
Merrill Lynch, Pierce, Fenner & Smith, Inc./BAI		0424			Miller Tabak & Co., LLC	MTCN		0443+	CNS
Merrimac Corporate Securities, Inc.	MERX	0052Δ	0052+	CNS	Millington Securities, Inc.	MTON	0443Δ		
Merriman Curhan Ford & Company	MERI	0443Δ	0443+	CNS	Mills Value Adviser, Inc.		1208		
Merrion Securities, LLC	MERS	0352Δ	0352+	CNS	Ministry Partners Securities, LLC	MINP	0235Δ		
Mesirow Financial, Inc.	MRSW	0727	0727	CNS	Minnesota Life Insurance Company		4560		
Mesirow Financial, Inc.	MSRO	0226Δ	0226+	CNS	Minnesota Life Insurance Company/Securian Life Insurance Company		4745		
Mesirow Financial, Inc.	MESF	0443Δ	0443+	CNS	Minnesota Valley Investments	MVII		0235+	CNS
MetLife Insurance Company of Connecticut		4583			Mint Brokers	SEMT	0197Δ	0197+	CNS
MetLife Investors Insurance Company		4505			Mirae Asset Securities(USA) Inc.	MASU	0279Δ		
MetLife Investors USA Insurance Company		4602			Mischler Financial Group, Inc.	MISL	0161Δ	0161+	CNS
Metlife Securities, Inc.	MSII	0443Δ	0443+	CNS	Mismi, Inc.	MISM		0161+	CNS
MetLife Securities, Inc.		0484			Mission Securities Corporation	MSEC	0750Δ	0750+	CNS
Metlife Securities, Inc./Metlife Defined Contribution Group		0597			Mitchell Securities Corporation of Oregon	MORE	0361Δ		
Metlife Securities, Inc./TPA Metropolitan Life Insurance Company		7131			Mitsubishi UFJ Securities (USA), Inc.	MUFG	0076	0076	CNS
Meyers Associates, L.P.	MYLG	0052Δ	0052+	CNS	Mizuho Securities (USA) Inc./Fixed Income		2396		
Meyers Associates, L.P.	MYRS	0750Δ	0750+	CNS	Mizuho Securities USA Inc.	FUJI		0443+	CNS
MFR Securities, Inc.	MFRS		0443+	CNS	Mizuho Securities USA Inc.	MZHO	0892		
MFS Distributors Inc.		5516			MKM Partners LLC	MKMP	0161Δ		
MFS Heritage Trust Company		6605			MML Bay State Life Insurance Company		4546		
MFS International Funds		5840			MML Investors Services, LLC	GRPS		0226+	CNS
MG Trust Company, LLC		5954			MML Investors Services, LLC		0255		
MHA Financial Corp	MHAF	0750Δ			MML Investors Services, LLC/MML Distributors LLC		7975		
MICG Investment Management	MICG		0141+	CNS	MML Investors Services, LLC/MMLD Additional Revenue		7984		
Michael J. Liccar & Company, LLC		1280			MML Investors Services, LLC/MMLD Aviator		7989		
Michael J. Liccar & Company, LLC		1281			MML Investors Services, LLC/MMLD FMT Preferred		7982		
Michael J. Liccar & Company, LLC		1295			MML Investors Services, LLC/MMLD Legacy SA		7987		
Michigan Securities, Inc.	MSIM		0226+	CNS	MML Investors Services, LLC/MMLD PE		7983		
Mid Atlantic Capital Corp.	MACC	0226Δ	0226+	CNS	MML Investors Services, LLC/MMLD SMF-PL		7980		
Mid Atlantic Capital Corp.		0101			Mocho Trading LLC	MOKO	0695Δ		
Mid Atlantic Capital Corp./Sungard-Hinsdale		0102			Modern Woodmen of America		4760		
Mid Atlantic Trust Company		8150			Moloney Securities	MOLO	0235Δ	0235+	CNS
Mid Florida Equities, Inc.	MOFO	0750Δ			Momentum Trading Partners, LLC	MPLM	0651Δ	0651+	CNS
Midamerica Financial Services, Inc.	MFSI	0052Δ			Monarch Bay Associates, LLC	MBAY	0052Δ		
Midas Securities Group, Inc.		5890			Monarch Capital Group LLC	MNRC	0443Δ	0443+	CNS
Midlegate Securities Ltd.	MDGS	0226Δ	0226+	CNS	Monarch Financial Corporation of America	MFCA		0141+	CNS
Midland National Life Insurance Company		4709							

Alphabetical Reference

November 2014

Money Market One Institutional Investment Dealer	MYMK		0443†	CNS	Multitrade Securities LLC	MTRN		0443†	CNS
Monness, Crespi, Hardt & Co., Inc.	MWCC	0501Δ			Mundial Financial Group, LLC	MULA	0873Δ		
Monroe Securities Inc.	MONR	0352Δ	0352†	CNS	Mundoval Funds		4902		
Montag & Joselson	MOJO		0103†	CNS	Muniaxis Lebenthal LLC	MNXS		0443†	CNS
Montage Securities, LLC	MTSL		0226†	CNS	Municipal Capital Market Group	MCMG	0309Δ	0309†	CNS
Montecito Advisors, Inc.	MAWI	0103Δ	0103†	CNS	Municipal Partners	MUNP		0443†	CNS
Montrose Securities International	MSIT	0161Δ			Murphy & Durieu	MURF	0443Δ	0443†	CNS
Moors & Cabot, Inc.	MCBT	0141Δ	0141†	CNS	Murphy & Durieu	MURG	0103Δ		
Moors & Cabot, Inc.	MCIN	0161Δ	0161†	CNS	Mutual Money Investments, Inc.	TRSR		0279†	CNS
Mora WM Securities	MORA	0352Δ	0352†	CNS	Mutual of Omaha Investor Services, Inc.		0398		
Morgan Creek Capital Management, LLC		3681			Mutual Securities, Inc.	CBOL	0226Δ	0226†	CNS
Morgan Stanley & Co. Inc.	MSED	0050Δ			Mutual Service Corporation	MLPL	0075Δ		
Morgan Stanley & Co. Inc.	MSEK	0050Δ			Mutual Trust Co. of America Securities	MTCA	0279Δ		
Morgan Stanley & Co. Incorporated	MSEA	0050Δ			MV Securities Group, Inc.	MVSG	0226Δ	0226†	CNS
Morgan Stanley & Co. Incorporated	MSEB	0050Δ			MYD Market, Inc	MYDM	0595Δ	0595†	CNS
Morgan Stanley & Co. LLC	MSCO	0050	0050	CNS	Mystockfund Securities, Inc.	MSFS	0052Δ	0052†	CNS
Morgan Stanley & Co. LLC	MSPD	0050Δ	0050	CNS	N.A. Investments Services, Inc.	NAIS		0443†	CNS
Morgan Stanley & Co. LLC		5857			Nab Securities, LLC	NACM	0443Δ		
Morgan Stanley & Co. LLC	MSEL	0050Δ			NAFA Capital Markets, LLC	NAFA	0309Δ	0309†	CNS
Morgan Stanley & Co. LLC	MSEM	0050Δ			Nanes Delorme Capital Management, LLC	NDCM	0352Δ	0352†	CNS
Morgan Stanley & Co. LLC	MSET	0050Δ			NASDAQ Execution Services, LLC	BRUT	0568		
Morgan Stanley & Co. LLC	MSML	0050Δ			NASDAQ Execution Services, LLC	NQMR	0050Δ		
Morgan Stanley & Co. LLC	MSMP	0050Δ			NASDAQ Execution Services, LLC	ILND	0520Δ		
Morgan Stanley & Co. LLC	MSPL	0050Δ			NASDAQ Execution Services, LLC	PHLY	0520Δ		
Morgan Stanley & Co. LLC	MSRP	0050Δ			NASDAQ Execution Services, LLC	DARQ	0568Δ		
Morgan Stanley & Co. LLC	MSTX	0050Δ			NASDAQ Execution Services, LLC	INET	0568Δ		
Morgan Stanley & Co. LLC		0050Δ			NASDAQ Execution Services, LLC	NQRB	0568Δ		
Morgan Stanley & Co. LLC/Advisor Funds		4970			NASDAQ Execution Services, LLC/Options	NQOP	0520		
Morgan Stanley & Co. LLC/Dublin Liquidity		6646			NASDAQ OMX BX, INC	NQBX	0163	0163	CNS
Morgan Stanley & Co. LLC/Liquidity Funds		5767			NASDAQ OMX PHLX LLC	NQPX	0237		
Morgan Stanley & Co. LLC/Morgan Stanley Investment Funds		4944			NASDAQ Stock Market LLC/Omnibus Account	NSDQ	0759		
Morgan Stanley & Co. LLC/Universal Institutional Inc		5512			NASDAQ Stock Market, LLC. (The)	CAES	0734		
Morgan Stanley & Co., Inc.	MSNY	0015Δ	0015†	CNS	Nathan Hale Capital, LLC	TAFI		0443†	CNS
Morgan Stanley & Co., Inc.	MSOT	0050Δ			National Alliance Securities Corporation	NACL	0309Δ	0309†	CNS
Morgan Stanley & Co., Inc.	MSTW	0050Δ			National Alliance Securities Corporation	NASC	0100Δ		
Morgan Stanley Broker Dealer Services		5232			National Banc Financial Inc.	NBKT	5008Δ		
Morgan Stanley Smith Barney LLC	DEAN	0015	0015	CNS	National Bank Financial of Canada Inc.	PTLV	0443Δ	0443†	CNS
Morgan Stanley Smith Barney LLC	MSPW	0050Δ	0050	CNS	National Financial Services Corporation	NFSC	0226	0226	CNS
Morgan Stanley Smith Barney LLC		1287			National Financial Services LLC	XSTM	0226Δ		
Morgan Wilshire Securities, Inc.	MWIL	0235Δ	0235†	CNS	National Integrity Life Insurance Company		4550		
Morgenthau & Associates, Inc.	MORG	0750Δ	0750†	CNS	National Life Insurance Company of Vermont		4555		
Morton Clarke, Inc.	MCFM		0226†	CNS	National Planning Corp.		0668		
Motif Investing, Inc.	MOTF	0158Δ			National Planning Corporation		3422		
Mountainview Securities, LLC	MVSC	0443Δ			National Securities Corporation	NAPK	0052Δ	0052†	CNS
MS Securities Services, Inc.	MSSS		0050?	CNS	National Securities Corporation	NATL	0226Δ	0226†	CNS
MTG, LLC	MTGO	0158Δ			National Securities Corporation		6472		
MTL Equity Products, Inc.	MTLE	0235Δ	0235†	CNS	National Security Life and Annuity Co.		4656		
MUFG Union Bank NA/UBIS		3121			Nations Financial Group, Inc.	NFGR		0141†	CNS
MUFG Union Bank, N.A.		2145			Nationwide Fund Distributors, LLC		6559		
Multi-Bank Securities, Inc.	MTBK		0443†	CNS					
Multi-Financial Securities Group	MULT		0443†	CNS					

Alphabetical Reference

November 2014

Nationwide Investment Services Corp.		0263				New York Life Insurance and Annuity Corporation/Fixed Income		4571		
Nationwide Life & Annuity Insurance Company		4577				Newbridge Securities Corporation	BRGE	0052Δ	0052†	CNS
Nationwide Life Insurance Co./Income Products		4530				Newbury Street Capital Limited Partnership	NSCB	0443Δ	0443†	CNS
Nationwide Life Insurance Co./Variable Life		4650				Newcourt Securities, Ltd.	NWCT	0309Δ		
Nationwide Life Insurance Company		4514				Newedge Canada/CDS		5003		
Nationwide Life Insurance Company/Group Annuity		4515				Newedge USA LLC	PCAP	0608	0608	CNS
Nationwide Life Insurance Company/Group Trust		7092				Newedge USA LLC	FMAT	0608Δ	0608†	CNS
Nationwide Life Insurance Company/NLICA		4576				Newedge USA, LLC	FIMU	0608Δ		
Nationwide Securities, LLC		0605				Newedge USA, LLC	NEAT	0608Δ		
Natixis Securities Americas LLC	ABLE	0031	0031	CNS		Newedge USA, LLC	NEFO	0608Δ		
Navaid Financial Services	PHRS	0309Δ	0309†	CNS		Newedge USA, LLC	NEGB	0608Δ		
Navigate Advisors LLC	NVGT	0388Δ	0388†	CNS		Newedge USA, LLC	NELD	0608Δ		
NBCN, Inc./CDS	FMAF	5008●				Newedge USA, LLC	NENB	0608Δ		
NBF Securities (USA) Corp.	NBFI	5008Δ				Newedge USA, LLC	NESP	0608Δ		
Needham & Company, LLC	NEED	0352Δ	0352†	CNS		Newedge USA, LLC	NEWO		0443†	CNS
Needham & Company, LLC		5587				NewOak Capital Markets LLC				
Neidiger, Tucker, Bruner, Inc.	NTBC	0279Δ	0279†	CNS		Newport Coast Securities	NCIS	0052Δ	0052†	CNS
Neiman Funds		5738				Newport Coast Securities	NCSI	0103Δ	0103†	CNS
Nelnet Capital LLC	UFSM	0750Δ	0750†	CNS		Newport Group Securities, Inc.		7218		
Nelnet Capital LLC/College Savings Group		6583				Nexcore Capital, Inc.	NEXC	0750Δ		
Nelnet Capital, LLC		5880				Next Financial Group, Inc.	NEXT		0443†	CNS
Nelson (Martin) & Co., Inc.	MNCO	0279Δ	0279†	CNS		NFP Securities, Inc.	PSII		0226†	CNS
Nelson Securities, Inc.	NELS	0235Δ	0235†	CNS		NFP Securities, Inc.		0481		
Nelsonreid, Inc.	TIGC	0235Δ	0235†	CNS		NFSCO - Stock Loan		5157		
Nesbitt Thomson Securities, Inc.	NTSI		0443†	CNS		NGAM Distribution, L.P.		5542		
Nestlerode & Co., Inc.	NSRD	0235Δ	0235†	CNS		NGAM Distribution, L.P./Aurora Horizons Series		7080		
Network 1 Financial Securities Inc.	NTFN	0052Δ	0052†	CNS		NGAM Distribution, L.P./Loomis Sayles Funds		5714		
Neuberger Berman Management LLC		5810				NGAM Distribution, L.P./Natixis International funds (Dublin) I		6678		
Neuberger Berman Management LLC/AMT Funds		5665				NGAM Distribution, L.P./Natixis International funds (LUX) I		6677		
Neuberger Berman Management LLC/Neuberger Berman Collective Trusts		6591				Nicholas Company, Inc.		5590		
Neuberger Berman Management LLC/Neuberger Berman Investment Funds		6681				Nikoh Securities Corporation	NIKH	0750Δ	0750†	CNS
Neuberger Berman, LLC	NBLB	0352Δ	0352†	CNS		Noble Financial Capital Markets	NOBL	0100Δ	0443†	CNS
New Capital Fund Management Limited		7941				Nomura Securities International, Inc.	NMRA	0180		
New Castle Financial Group, Inc	NCFS	0052Δ	0052†	CNS		Nomura Securities International, Inc.	NMRB	0180Δ		
New England Securities Corp.		0707				Nomura Securities International, Inc./Fixed Income		5222		
New England Securities Corporation	NESS	0443Δ	0443†	CNS		Nordea Investment Funds S.A.		7089		
New Horizons Asset Management Group, LLC	NHMG		0226†	CNS		North Capital Private Securities Corporation		1088		
New Vernon Investment Management LLC		1642				North Capital Private Securities Corporation		3453		
New York Life Insurance and Annuity Corp.		4548				North Ridge Securities Corp.	NRSC		0443†	CNS
New York Life Insurance and Annuity Corporation/Eagle Strategies		7051				North South Capital LLC	NOSO	0443Δ		
						North Star Investment Services, Inc.	ABYL		0226†	CNS
						Northeast Investors Growth Fund		5821		
						Northeast Investors Trust		5778		
						Northeast Retirement Services, Inc		7104		
						Northeast Securities, Inc.	NESC	0443Δ	0443†	CNS
						Northeastern Financial Group Inc.	NFGI	0017Δ		
						Northern Capital Sec. Corp.	NORC	0235Δ	0235†	CNS
						Northern Lights Distributors, LLC		4915		
						Northern Lights Distributors, LLC/7Twelve Balanced Portfolio		5604		

Alphabetical Reference

November 2014

Northern Lights Distributors, LLC/Adaptive Allocation Fund	6694	Northern Lights Distributors, LLC/Crow Point Fund	3322
Northern Lights Distributors, LLC/AdvisorOne Funds	4904	Northern Lights Distributors, LLC/CWC Aggressive Value Small Cap Fund	5379
Northern Lights Distributors, LLC/Aftershock Strategies Fund	7018	Northern Lights Distributors, LLC/Day Hagan Funds	3317
Northern Lights Distributors, LLC/AIS Tactical Asset Allocation Portfolio	3325	Northern Lights Distributors, LLC/Discretionary Managed Futures Strategy Fund	7095
Northern Lights Distributors, LLC/AI Frank Funds	4993	Northern Lights Distributors, LLC/Dynamic Total Return Fund	3045
Northern Lights Distributors, LLC/AlphaCentric Funds	3100	Northern Lights Distributors, LLC/EAS Funds	5701
Northern Lights Distributors, LLC/Altegris Mutual Funds	5333	Northern Lights Distributors, LLC/Empiric Core Equity Fund	5561
Northern Lights Distributors, LLC/AmericaFirst Funds	3314	Northern Lights Distributors, LLC/Equinox Funds	7948
Northern Lights Distributors, LLC/Anfield Funds	3386	Northern Lights Distributors, LLC/Even Keel Funds	3006
Northern Lights Distributors, LLC/AR Capital Funds	7949	Northern Lights Distributors, LLC/Eventide Funds	3316
Northern Lights Distributors, LLC/Armor Funds	1306	Northern Lights Distributors, LLC/Footprints Discover Value Fund	7030
Northern Lights Distributors, LLC/Ascendant Funds	3743	Northern Lights Distributors, LLC/FVIT Portfolios	1375
Northern Lights Distributors, LLC/Astor Funds	5400	Northern Lights Distributors, LLC/Ginkgo Multi-Strategy Fund	3744
Northern Lights Distributors, LLC/Bandon Isolated Alpha Fixed Income Fund	5393	Northern Lights Distributors, LLC/GL Beyond Income Fund	3301
Northern Lights Distributors, LLC/Beech Hill Total Return Fund	5129	Northern Lights Distributors, LLC/GMG Defensive Beta Fund	5934
Northern Lights Distributors, LLC/Biondo Fund	5477	Northern Lights Distributors, LLC/Good Harbor Funds	7038
Northern Lights Distributors, LLC/Boyar Value Fund	5796	Northern Lights Distributors, LLC/Granite Harbor Funds	5396
Northern Lights Distributors, LLC/Braver Tactical Opportunity Fund	3339	Northern Lights Distributors, LLC/Grant Park Managed Futures Strategy Fund	5615
Northern Lights Distributors, LLC/BTS Funds	5401	Northern Lights Distributors, LLC/HCM Tactical Growth Fund	3103
Northern Lights Distributors, LLC/Camelot Funds	3320	Northern Lights Distributors, LLC/Horizon Active Asset Allocation Fund	3614
Northern Lights Distributors, LLC/Catalyst Funds	5527	Northern Lights Distributors, LLC/Hundredfold Funds	3767
Northern Lights Distributors, LLC/Chadwick & D'Amato Fund	5382	Northern Lights Distributors, LLC/Inflation Hedges Strategy Fund	3338
Northern Lights Distributors, LLC/CMG Funds	6541	Northern Lights Distributors, LLC/Innealta Funds	3795
Northern Lights Distributors, LLC/Compass EMP Funds	6607	Northern Lights Distributors, LLC/Investment Partners Opportunities Fund	5414
Northern Lights Distributors, LLC/Conductor Global Fund	7017	Northern Lights Distributors, LLC/Iron Horse Fund	3724
Northern Lights Distributors, LLC/Copeland Funds	5395	Northern Lights Distributors, LLC/Issachar Fund	3033
Northern Lights Distributors, LLC/Counterpoint Tactical Income Fund	3145	Northern Lights Distributors, LLC/JAG Funds	3603
Northern Lights Distributors, LLC/Cozad Small Cap Value Fund	3067		

Alphabetical Reference

November 2014

Northern Lights Distributors, LLC/JNF Portfolios	3701	Northern Lights Distributors, LLC/Princeton Futures Strategy Fund	5381
Northern Lights Distributors, LLC/KCM Macro Trends Fund	5041	Northern Lights Distributors, LLC/Probabilities Fund	7093
Northern Lights Distributors, LLC/KF Griffin Blue Chip and Covered Call Fund	1313	Northern Lights Distributors, LLC/PSI Funds	5335
Northern Lights Distributors, LLC/Ladenburg Thalmann Alternative Strategies Fund	5344	Northern Lights Distributors, LLC/Puerto Rico Growth Fund	6624
Northern Lights Distributors, LLC/Larkin Point Equity Preservation Fund	1370	Northern Lights Distributors, LLC/Quantified Funds	7939
Northern Lights Distributors, LLC/Lifetime Achievement Fund	6514	Northern Lights Distributors, LLC/Redwood Managed Volatility Fund	1365
Northern Lights Distributors, LLC/Linde Hansen Contrarian Value Fund	3616	Northern Lights Distributors, LLC/RESQ Funds	3019
Northern Lights Distributors, LLC/LJM Funds	7016	Northern Lights Distributors, LLC/Roge Partners Funds	4933
Northern Lights Distributors, LLC/Longboard Managed Futures Strategy Fund	3347	Northern Lights Distributors, LLC/SFG Futures Strategy Fund	3610
Northern Lights Distributors, LLC/Marathon Value Portfolio	5303	Northern Lights Distributors, LLC/Sierra Funds	5628
Northern Lights Distributors, LLC/Mariner Hyman Beck Fund	3794	Northern Lights Distributors, LLC/SignalPoint Global Alpha Fund	3397
Northern Lights Distributors, LLC/Miller Convertible Funds	5622	Northern Lights Distributors, LLC/SMH Funds	3321
Northern Lights Distributors, LLC/Modern Technology Fund	7015	Northern Lights Distributors, LLC/Spectrum Mutual Funds	3014
Northern Lights Distributors, LLC/Morgan Creek Global Funds	7970	Northern Lights Distributors, LLC/Superfund Managed Futures Strategy Fund	7951
Northern Lights Distributors, LLC/Navigator Funds	5394	Northern Lights Distributors, LLC/Sustainable Opportunities Fund	3326
Northern Lights Distributors, LLC/Newfound Funds	3068	Northern Lights Distributors, LLC/Swan Defined Risk Fund	3357
Northern Lights Distributors, LLC/Nile Funds	5359	Northern Lights Distributors, LLC/Tactical Asset Allocation Fund	7992
Northern Lights Distributors, LLC/North Country Funds	5433	Northern Lights Distributors, LLC/Taylor Xplor Managed Futures Strategy Fund	3384
Northern Lights Distributors, LLC/North Star Funds	3783	Northern Lights Distributors, LLC/Teberg Funds	4916
Northern Lights Distributors, LLC/OCM Gold Fund	6663	Northern Lights Distributors, LLC/Teton Valley Fund	3027
Northern Lights Distributors, LLC/OnTrack Core Fund	7050	Northern Lights Distributors, LLC/Texas 529	3112
Northern Lights Distributors, LLC/Pacific Financial Funds	5644	Northern Lights Distributors, LLC/The Covered Bridge Fund	7991
Northern Lights Distributors, LLC/PCS Commodity Strategy Fund	3126	Northern Lights Distributors, LLC/The FX Strategy Fund	3722
Northern Lights Distributors, LLC/Persimmon Long/Short Fund	3617	Northern Lights Distributors, LLC/The Giralda Fund	3716
Northern Lights Distributors, LLC/Pinnacle Tactical Allocation Fund	7094	Northern Lights Distributors, LLC/The Multi-Strategy Growth & Income Fund	3784
Northern Lights Distributors, LLC/Power Income Fund	5332	Northern Lights Distributors, LLC/The Saratoga Advantage Trust	4959
Northern Lights Distributors, LLC/PreDEX	7128	Northern Lights Distributors, LLC/Timothy Plan	6518



Alphabetical Reference

November 2014

Northern Lights Distributors, LLC/Toews Funds		5906			NW Capital Markets Inc.	NWCM	0279Δ	0279+	CNS
Northern Lights Distributors, LLC/TOPS Portfolios		3711			NY Life Securities, Inc.	NYLS		0226+	CNS
Northern Lights Distributors, LLC/Total Income + Real Estate Fund		3387			NYLIFE Securities, LLC		5539		
Northern Lights Distributors, LLC/Tributary Funds		5853			NYLIFE Securities, LLC/Collective Trust		5787		
Northern Lights Distributors, LLC/Two Oaks Fund		3751			NYLife Securities, LLC/New York Life Insurance Company Group Annuity Contracts		5363		
Northern Lights Distributors, LLC/Vertical Capital Income Fund		3769			NYPPEX, LLC	NYPP	0235Δ	0235+	CNS
Northern Lights Distributors, LLC/Vice Funds		7020			O N Equity Sales Co.	ONES		0443+	CNS
Northern Lights Distributors, LLC/VRM Funds		3315			O.N. Equity Sales Company (The)		0092		
Northern Lights Distributors, LLC/Wade Tactical L/S Fund		5939			O.N. Equity Sales Company (The)/Ohio National		4753		
Northern Lights Distributors, LLC/West Shore Real Return Income Fund		1366			Oakmark Funds (The)		4851		
Northern Lights Distributors, LLC/Witherspoon Managed Futures Strategy Fund		3304			OBD Securities LLC	OBDS	0695Δ		
Northern Lights Distributors, LLC/WOA All Asset I		3632			Oberweis Securites, Inc.	OBWS	0226Δ	0226+	CNS
Northern Lights Distributors, LLC/Zeo Strategic Income Fund		3715			Oberweis Securities, Inc.		5697		
Northern Trust Company (The)		2669			Obex Securities LLC	OBEX	0017Δ		
Northern Trust Company (The)		6625			O'Brien & Shepard, Inc.	OBSH	0279Δ	0279+	CNS
Northern Trust Company (The) - Trust Income Collections		0993			Obsidian Financial Group LLC	GSCL	0750Δ	0750+	CNS
Northern Trust Company (The)/Sub-Advised Collective Funds Trust-LSV		3698			Ocean Financial Services, LLC	OCEA	0052Δ		
Northern Trust Company/Fixed Income Investment Fund, a Fund of the Chicago Equity Partners Group Trust		3772			O'Connor & Company Securities Inc.	OCON		0103+	CNS
Northern Trust Company/Great Banc Collective Investment Trust I		6689			Octagon Capital Corp./CDS	OTGN	5042●		
Northern Trust Company/Mondrian Wal-Mart Focused International Equity Fund		4900			Octavus, LLC	STRT		0352+	CNS
Northern Trust Securities, Inc.	NTRC	0226Δ	0226+	CNS	OCTEG LLC	OCTG	0295Δ		
Northland Securities, Inc.	NORT	0443Δ	0443+	CNS	Odeon Capital Group LLC	ODNC	0443Δ	0443+	CNS
Northstar Financial Partners	NSFP	0235Δ	0235+	CNS	OFG Financial Services Inc.	OFGF	0235Δ	0235+	CNS
Northwestern Mutual Investment Services, LLC		0171			Ogilvie Security Advisors Corporation	OTSC		0443+	CNS
Northwestern Mutual Life Insurance Company		4590			Ohio National Life Insurance Company		4526		
Noyes (David A.) & Co.	NOYS		0141+	CNS	Old Mission Capital, LLC	OLDM	0501Δ	0501+	CNS
NRP Financial, Inc.	OFCC		0352+	CNS	Old Mutual Bermuda Business Services, Inc		6910		
NS AM Member, LLC		1489			Olivetree USA, LLC	OTUS	0443Δ		
NSM Securities, Inc.	NSMS	0750Δ	0750+	CNS	Olmsted & Mulhall, Inc.	OLMM	0750Δ	0750+	CNS
Nunami Services, LLC	NAMB	0330Δ			Olson, Cross & Alamo LLC	OCAC	0235Δ	0235+	CNS
Nunami Services, LLC	NAMI	0695Δ			Olstein Associates, Inc.		5775		
Nuveen Securities, LLC	NVEN	0448	0448	CNS	Olympia Asset Management, Ltd.	RCLF	0235Δ	0235+	CNS
Nuveen Securities, LLC		5520			Olympus Securities, LLC	OLMP	0052Δ	0052+	CNS
Nuveen Securities, LLC/Dublin Funds		4828			OM Securities, LLC	OMSL	0158Δ		
					Omega Research Corporation	DXSI	0279Δ		
					One America Securities, Inc		5315		
					OneAmerica Funds, Inc.		5689		
					O'Neil (William) & Co. Inc.	ONEL	0161Δ	0161+	CNS
					Online Brokerage Services, Inc.	GLBZ		0443+	CNS
					Oppenheimer & Close Inc.	POPP		0443+	CNS
					Oppenheimer & Co., Inc.	OPCO	0571	0571	CNS
					Oppenheimer Trust Company		0303		
					OppenheimerFunds Distributor, Inc.		5511		
					OppenheimerFunds Distributor, Inc./New Mexico 529 Plan		4941		
					OppenheimerFunds Distributor, Inc./Oregon 529 Product		5470		
					Optionshouse Corporation	EZOP	0158Δ		
					OptionsXpress, Inc.	OXPS	0338	0338	CNS
					Optiver US, LLC	OPTU	0695Δ		
					Opus Fund Services (USA) LLC		1143		
					Opus Fund Services (USA) LLC		1144		

Alphabetical Reference

November 2014

Opus Fund Services (USA) LLC		1149			Paradigm Funds			5476		
Opus Fund Services (USA) LLC		1152			Pareto Securities Inc	NORP	0443Δ	0443†	CNS	
Opus Fund Services (USA) LLC		1164			Pariter Securities, LLC	FJRF		0226†	CNS	
Opus Fund Services (USA) LLC		1165			Park Avenue Securities LLC	PASC		0443†	CNS	
Opus Fund Services (USA) LLC		1167			Park Avenue Securities, LLC		0496			
Opus Fund Services (USA) LLC		1171			Parker (S.C.) & Co., Inc.	PARK		0443†	CNS	
Opus Fund Services (USA) LLC		1172			Parkland Securities, LLC	SMNS		0226†	CNS	
Opus Fund Services (USA) LLC		1173			Parkland Securities, LLC		5347			
Opus Fund Services (USA) LLC		1176			Parnassus Investments		5783			
Opus Fund Services (USA) LLC		1177			Paulson Investment Company, Inc.	PAUL	0235Δ	0235†	CNS	
Opus Fund Services (USA) LLC		1179			Pavilion Global Markets Ltd	BROC	0443Δ			
Opus Fund Services (USA) LLC		1182			Payden & Rygel Distributors		5535			
Opus Fund Services (USA) LLC		1183			PCBB Capital Markets, LLC	BIGS	0352Δ	0352†	CNS	
Opus Fund Services (USA) LLC		1243			PDQ ATS	PDQM	0161Δ			
Opus Fund Services (USA) LLC		1285			PDQ ATS, Inc.	PDQX	0161Δ			
Opus Fund Services (USA) LLC		1424			Peachtree Capital Corporation	PCCA		0226†	CNS	
Opus Fund Services (USA) LLC		1457			Pembroke Capital Management, LLC		1884			
Opus Fund Services (USA) LLC		1470			Penates Group Inc.	BOBO	0235Δ	0235†	CNS	
Opus Fund Services (USA) LLC		1471			Pencal Administrators, Inc.		6150			
Opus Fund Services (USA) LLC		1498			Penn Investment Group, Inc. (The)	PIGS		0443†	CNS	
Opus Fund Services (USA) LLC		1685			Penn Mutual Life Insurance Company		4572			
Opus Fund Services (USA) LLC		1748			Pennaluna & Company Inc.	PENA	0226Δ	0226†	CNS	
Opus Fund Services (USA) LLC		1752			Pennsylvania Group Incorporated (The)	PENG		0443†	CNS	
Opus Fund Services (USA) LLC		2737			Penrod Financial Group	PENC	0052Δ	0052†	CNS	
Oriental Financial Services	ORTL		0443†	CNS	PENSCO Trust Company LLC		0579			
Orion Trading, LLC	OREO	0052Δ			Penserra Securities, LLC	PNSA	0161Δ	0161†	CNS	
Oscar Gruss & Son, Incorporated	OGRU	0161Δ	0161†	CNS	Penserra Securities, LLC	PNSR	0161Δ	0161†	CNS	
Oscar Gruss & Son, Incorporated		0420			Pension Planners Securities, Inc.	PPSI	0235Δ	0235†	CNS	
Oshima & Associates	OSHM		0226†	CNS	Person Financial Services, Inc.	PFAR	0099Δ			
OTA Limited Partnership	OTAA	0551Δ			Person Financial Services, Inc.	PITG	0099Δ			
OTA, LLC	OTAM	0050Δ			Person Financial Services, Inc.	PFCM	0158Δ			
OTA, LLC	OTAS	0551Δ			Person Financial Services, Inc.	PEAR	0436Δ			
Otkritie Inc.	OTKR	0352Δ	0352†	CNS	People's Securities, Inc.	PEOP	0220			
OTR Global Trading LLC	OTRT	0551Δ			Peraza Capital and Investment, LLC	PECA	0279Δ	0279†	CNS	
P.J. Robb Variable Corporation		6906			Percival Financial Partners, Ltd.	PERC	0279Δ	0279†	CNS	
Pace (A.J.) & Co., Inc.	AJAY	0352Δ			Perdiue Securities, LLC	PERD	0100Δ			
Pacific American Securities, LLC	PAMS		0443†	CNS	Perennial Fund Services, LLC		1238			
Pacific Commonwealth Corporation	PCMC	0750Δ			Perennial Fund Services, LLC		3489			
Pacific Crest Securities	PACS	0226Δ			Performance Trust Capital Partners, Inc.	BBNI		0443†	CNS	
Pacific Financial Associates, Inc.	PFAI	0750Δ			Perkins, Smart & Boyd, Inc.	PERK	0309Δ			
Pacific Global Fund, Inc.		4860			Permac Securities	PMAC	0158Δ			
Pacific Investment Securities Corp.	PISC	0750Δ			Pershing Advisor Solutions, LLC	PASL	0443Δ	0443†	CNS	
Pacific Life & Annuity Company		4589			Pershing LLC	PERS	0443	0443	CNS	
Pacific Life Insurance Company		4532			Pershing LLC	PERB	0443Δ			
Pacific Life Insurance Company/ Life Division		6545			Pershing LLC	PERX	0443Δ			
Pacific Life Insurance Company/Life Division		4616			Pershing LLC, Principal Trading	PERT	0443Δ			
Pacific Select Distributors, Inc.		5478			Pershing LLC/BNYM I.S. Trust FBO Health Savings Accounts Customers		0592			
Pactical Capital Corp.	PCCN		0443†	CNS	Pershing LLC/BNYM I.S. Trust FBO Managers Funds Wrap Program		0657			
Palmer Square Capital Management LLC		1899			Pershing LLC/BNYM I.S. Trust FBO Morningstar Wrap Program		0474			
Palmieri (Angnardo) & Co., Inc.	DPAA	0235Δ	0235†	CNS	Pershing LLC/Primerica Financial Services		0689			
Paloma Securities	PLMA	0352Δ	0352†	CNS	Peters & Co. Limited/CDS		5014			
Panamerica Securities	PANA		0443†	CNS	Petrie Parkman & Company, Inc.	PTRI		0443†	CNS	
Pan-American Financial Advisors	PAFA		0443†	CNS						
Pangburn Company, The		7145								
Papamarkou Wellner & Co.	PAPA	0352Δ								

Alphabetical Reference

November 2014

PFS Funds		6683			Pond Equities	POND		0141†	CNS
PFS Investment Inc.		0468			Popular Securities, Inc.	POPI		6779	TFT
PGR Securities, LLC	PGRS		0443†	CNS	Popular Securities, Inc.	POPS		0226†	CNS
Philadelphia Investors, Ltd.	PHIN		0443†	CNS	Popular Securities, Inc.		5687		
Phillips & Company Securities, Inc.	PHCO	0443Δ	0443†	CNS	Portales Partners, LLC	TANA	0443Δ		
PHL Variable Life Insurance Company		4582			Porter Christie Partners, L.P.	PCCM	0352Δ		
PHL Variable Life Insurance Company/Part Advisor		4711			Portfolio Advisors A	PAAI	0235Δ	0235†	CNS
Phoenix Life and Annuity Company		4759			Portfolio Brokerage Services Inc.	PBSI	8052		
Phoenix Life Insurance Company		4579			Portsmouth Financial Services	PMFS	0443Δ	0443†	CNS
Phoenix Life Insurance Company/Single Premium Deferred Annuities		4538			Potamus Trading, LLC	HPPO	0161Δ		
PI Financial Corp.	USLF	5075Δ			Powell (Elmer E.) Company	POWL	0443Δ	0443†	CNS
PI Financial Corp./CDS	PCFF	5075●			Powell Capital Markets, Inc.	POCM		0443†	CNS
Pickering Energy Partners, Inc.	PICK	0161Δ	0161†	CNS	PPB Advisors, LLC		1833		
Pictet Canada L.P./CDS	PICF	5027●			Prager, Sealy & Co., LLC	PMLC	0443Δ	0443†	CNS
Pictet Overseas, Inc.	PICT	5027Δ			Pragma Securities LLC	PRAG	0161Δ		
Piedmont Fund Services, Inc.		1485			Prebon Financial Products Inc.	PFPI	0161Δ	0443†	CNS
Piedmont Fund Services, Inc.		1948			Prebon Financial Products Inc.	PBON	0501Δ	0501†	CNS
PIMCO Investments LLC		4991			Prebon Financial Products Inc.	PREB	0501Δ		
PIMCO Investments LLC		9234			Precision Capital Advisors, LLC		1161		
Pimco Investments LLC/Fish		5784			Precision Securities LLC	PREC	0100Δ		
PIMCO Investments LLC/Global Investor Series		4836			Precision Securities, LLC	PINT	0873Δ		
Pine Securities USA LLC	PSUS		0443†	CNS	Precision Securities, LLC	CNTR	0103Δ		
Pinnacle Capital Markets, LLC	FRWY	0017Δ			Preferred Client Group, Inc.	PFCG	0279Δ	0279†	CNS
Pinnacle Capital Markets, LLC	PCMT	0052Δ			Preferred Product Network, Inc.		4744		
Pinnacle Investments LLC/PCM Funds		3075			Presidential Bank, FSB		5987		
Pinnacle Investments, LLC	PINA		0226†	CNS	Presidential Brokerage, Inc.	PRSB		0141†	CNS
Pinnacle Investments, LLC		4925			Presidential Brokerage, Inc.		6904		
Pinney Insurance Center, Inc.		6028			Pressprich (R.W.) & Company Inc.	RWPS	0352Δ	0352†	CNS
Pioneer Investment Management USA Inc.		5502			Preste Capital Partners S.A.		1156		
Pioneer Investment Management USA Inc./Pioneer Funds International		5743			Primary Capital, LLC	PMRY	8072Δ		
Piper Jaffray & Co.	PIPR	0311	0311	CNS	Prime Executions, Inc.	SIBO	0100Δ		
Piper Jaffray & Co.	HPWD	0311Δ	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			Princeton Securities Group, LLC	PRSG	0824Δ		
Pirrone & Co., Inc.	PIRR		0443†	CNS	Principal Life Insurance Company		4592		
Planmember Securities Corporation		0489			Principal Life Insurance Company/Pension Division		4665		
Planned Investment Co., Inc.	PICC	0235Δ	0235†	CNS	Principal Life Insurance Company/Principal National Life Insurance Company		4752		
Planner Securities LLC	CASH	0158Δ			Princor Financial Securities, Inc.	PFSM	0188Δ		
Plymouth Industrial REIT, Inc.		1867			Princor Financial Services		0375		
PMK Securities & Research, Inc.	PMKS		0141†	CNS	Princor Financial Services Corporation		5546		
PNC Bank N.A.	PNCM		2835	TFT	Princor Financial Services Corporation/Principal Life Insurance Company		5607		
PNC Bank, N.A.		2616			Princor Financial Services Corporation/PGI		5212		
PNC Bank, N.A./IPS		2317			Princor Financial Services Corporation/Principal Funds		5836		
PNC Funds Distributor, LLC		5151			Princor Financial Services Corporation/Union Bond & Trust		4811		
PNC Funds Distributor, LLC/PNC Funds		5879			Princor Financial Services, Inc./M		0175		
PNC Investments	PNCC	0226Δ	0226†	CNS	Private Client Services, LLC		6011		
PNC Investments	PNCI	0768Δ	0768†	CNS	Private Portfolio, Inc.	PRPO		0443†	CNS
Podesta & Co.	PODE	0235Δ	0235†	CNS	Pro Securities, L.L.C.	PROS	0873Δ		
Pointe Capital, LLC	PRBC	0235Δ	0235†	CNS	ProEquities	PROE	0443Δ	0443†	CNS
Polar Investment Counsel, Inc.	PCI	0279Δ	0279†	CNS	ProEquities, Inc.		6326		

Alphabetical Reference

November 2014

ProEquities, Inc./Insurance Processing Division		7007			Prudential Investment Management Services, LLC		0450		
Professional Asset Management, Inc.	PAMI		0141†	CNS	Prudential Investment Management Services, LLC		5805		
Professional Investments Services, Inc.	PFFI	0279Δ	0279†	CNS	Prudential Investment Management Services, LLC/Worldwide Inv. Portfolio Funds		5746		
Profinancial Inc.	PFFI		0279†	CNS	PSA Equities, Inc.	PSAE		0141†	CNS
ProFunds Distributors, Inc.		4969			PSG Executions, Inc.	PSGX	0501Δ		
Progressive Asset Management	PAMC		0226†	CNS	PTI Securities & Futures L.P.	PTIS	0235Δ	0235†	CNS
Prospera Financial Services	ADSO		0141†	CNS	PTI Securities & Futures L.P.	PTIX	0017Δ		
Protected Investors of America	PIAC	0226Δ	0226†	CNS	Pulaski Bank	PULB		0052†	CNS
Protective Life and Annuity Insurance Company		4540			Puma Capital, LLC	PUMA	0158Δ		
Protective Life Insurance Company		4503			Puplava Securities, Inc.	PUPL	0226Δ	0226†	CNS
Protective Life Insurance Company of New York		4629			Purshe Kaplan Sterling Investments	SARG		0226†	CNS
Provident Trust Group, LLC		1237			Putnam Retail Management	PROG		0226†	CNS
PRS International Investment Advisory Services Inc.		3408			Putnam Retail Management Limited Partnership		5505		
PRUCO Life Insurance Company		4597			Putnam Retail Management Limited Partnership/Embassy Funds		5893		
Pruco Life Insurance Company of New Jersey/SA VAR Annuity		1341			PWMCO, LLC	MPWA	0467		
Pruco Life Insurance Company of New Jersey/SA VAR Life		1346			QTrade Securities Inc./CDS		5009		
PRUCO Life Insurance Company of NJ		4598			Quad Securities LLC	QSEC	0551Δ		
Pruco Life Insurance Company/SA VAR Annuity		1339			Quantex Clearing, LLC	QNTX	0294		
Pruco Life Insurance Company/SA VAR Life		1338			Quantlab Securities LP	FQLB	0396Δ		
Pruco Securities, LLC	PRUC		0226†	CNS	Quantlab Securities LP	FQLS	0396Δ		
Prudential Annuities Life Assurance Corporation		4504			Quantlab Securities LP	ETAI	0873Δ		
Prudential Annuities Life Assurance Corporation/SA VAR Annuity		1319			Quantlab Securities LP	QETC	0873Δ		
Prudential Annuities Life Assurance Corporation/SA VAR Life		1314			QuantRiver Financial, LLC	QRQR	0017Δ		
Prudential Equity Group, LLC	PRGL		0141†	CNS	Quantum Edge Derivatives Trading LLC	QEDA	0695Δ		
Prudential Insurance Co. (The)		4596			Quasar Distributors LLC/BlueBay Funds		3074		
Prudential Insurance Company of America		4968			Quasar Distributors LLC/Henderson Gartmore Offshore Funds		3083		
Prudential Insurance Company of America (The)/Pruco Securities LLC 2		3071			Quasar Distributors LLC/Henderson Horizon Offshore Funds		5866		
Prudential Insurance Company Of America/Product Administration By Se2		1378			Quasar Distributors LLC/Longbow Capital Funds		3115		
Prudential Insurance Company of America/Prudential Insurance Co. of America		4733			Quasar Distributors LLC/Sound Point Funds		3079		
Prudential Insurance Company of America/Prudential Ret. Insurance & Annuity Corp.		6525			Quasar Distributors LLC/Ivaldi Funds		3124		
Prudential Insurance Company of America/Prudential Trust Company, Inc.		6526			Quasar Distributors LLC/Welton Partners		3044		
Prudential Insurance Company of America/SA VAR Life		1388			Quasar Distributors, LLC		5368		
Prudential Investment Management Services, LLC	PIMS		0226†	CNS	Quasar Distributors, LLC / CAN Slim Funds		6567		
					Quasar Distributors, LLC/Aberdeen Offshore Funds		4957		
					Quasar Distributors, LLC/AC One Funds		3639		
					Quasar Distributors, LLC/Academy Fund Trust		5612		
					Quasar Distributors, LLC/Advantus Funds		3364		
					Quasar Distributors, LLC/Aegis Funds		6612		
					Quasar Distributors, LLC/Akre Funds		5937		

Alphabetical Reference

November 2014

Quasar Distributors, LLC/Alpha Capital Funds	5365	Quasar Distributors, LLC/Davidson Funds	5945
Quasar Distributors, LLC/Alpine Funds	5896	Quasar Distributors, LLC/Dearborn Partners Funds	7060
Quasar Distributors, LLC/America Trust Allegiance Fund	6638	Quasar Distributors, LLC/Doubleline Funds	5353
Quasar Distributors, LLC/Angel Oak Funds	3117	Quasar Distributors, LLC/Dow Jones Islamic Index Fund	5566
Quasar Distributors, LLC/Appleton Group Funds	4935	Quasar Distributors, LLC/DSM Funds	5952
Quasar Distributors, LLC/Balter Capital Funds	3021	Quasar Distributors, LLC/Edgar Lomas Fund	5727
Quasar Distributors, LLC/Barrett Growth Fund	5480	Quasar Distributors, LLC/Evermore Value Trust	5407
Quasar Distributors, LLC/Becker Value Funds	5291	Quasar Distributors, LLC/Fort Pitt Capital Funds	5887
Quasar Distributors, LLC/Boston Common Funds	5350	Quasar Distributors, LLC/Frontegra Small Cap Core Fund	3736
Quasar Distributors, LLC/Brandes Dublin Offshore	5911	Quasar Distributors, LLC/Fund * X Upgrader Fund	5666
Quasar Distributors, LLC/Brandes Investment Trust	5693	Quasar Distributors, LLC/Geneva Advisors All Cap Growth Fund	6527
Quasar Distributors, LLC/Bridge Builder Trust	7057	Quasar Distributors, LLC/Genworth Funds	5864
Quasar Distributors, LLC/Bridges Investment Fund	5531	Quasar Distributors, LLC/Gerstein Fisher Funds	5938
Quasar Distributors, LLC/Bright Rock Funds	5355	Quasar Distributors, LLC/Glenmede Fund, Inc.	4955
Quasar Distributors, LLC/Brookfield Investment Funds	3734	Quasar Distributors, LLC/Goodhaven Fund	3700
Quasar Distributors, LLC/Brown Advisory Funds	5437	Quasar Distributors, LLC/GPS Funds I	5495
Quasar Distributors, LLC/Buffalo Funds	4931	Quasar Distributors, LLC/GPS Funds II	5977
Quasar Distributors, LLC/Bushido Funds	3360	Quasar Distributors, LLC/Great Lakes Funds	3366
Quasar Distributors, LLC/Capital Advisor Growth Fund	5691	Quasar Distributors, LLC/Greenspring Fund	6513
Quasar Distributors, LLC/Capital Guardian Funds	3002	Quasar Distributors, LLC/Guinness Atkinson Funds	5754
Quasar Distributors, LLC/Chase Growth Funds	5626	Quasar Distributors, LLC/Harding Loevner Funds, Inc.	4981
Quasar Distributors, LLC/COHO Partners Funds	7087	Quasar Distributors, LLC/Hatteras Funds	5449
Quasar Distributors, LLC/Coldstream Dividend Growth Fund	5327	Quasar Distributors, LLC/HCIM Trust	7113
Quasar Distributors, LLC/Collins Capital Funds	3306	Quasar Distributors, LLC/Hennessy Mutual Funds, Inc.	4869
Quasar Distributors, LLC/Congress Asset Management	5741	Quasar Distributors, LLC/Hilton Capital Funds	7928
Quasar Distributors, LLC/Consilium Emerging & Frontier Markets Fund	3003	Quasar Distributors, LLC/Hodges Fund	5792
Quasar Distributors, LLC/Contravisory Funds	5797	Quasar Distributors, LLC/Hotchkis & Wiley Funds	4984
Quasar Distributors, LLC/Convergence Funds	5406	Quasar Distributors, LLC/Huber Capital Funds	6530
Quasar Distributors, LLC/Cove Street Funds	3749	Quasar Distributors, LLC/Infinity Q Funds	3085
		Quasar Distributors, LLC/Intrepid Capital Funds	4815

Alphabetical Reference

November 2014

Quasar Distributors, LLC/Investec Global Strategy Funds	5057	Quasar Distributors, LLC/Orinda Long Short Equity Fund	5931
Quasar Distributors, LLC/Investec Offshore Funds	5755	Quasar Distributors, LLC/O'Shaughnessy Funds	5318
Quasar Distributors, LLC/IronBridge Funds	5321	Quasar Distributors, LLC/Osterweis Fund	4840
Quasar Distributors, LLC/Jacob Internet Fund	4960	Quasar Distributors, LLC/Otter Creek Funds	3020
Quasar Distributors, LLC/Jensen Portfolio, Inc.	5491	Quasar Distributors, LLC/Pension Partners Fund	3367
Quasar Distributors, LLC/Jordan Opportunity Fund	5917	Quasar Distributors, LLC/Permanent Portfolio	6627
Quasar Distributors, LLC/Julius Baer Offshore Funds	5698	Quasar Distributors, LLC/Perritt Funds	5602
Quasar Distributors, LLC/Julius Baer Offshore SSB Funds	7958	Quasar Distributors, LLC/Pictet Funds	5793
Quasar Distributors, LLC/Kellner Funds	3644	Quasar Distributors, LLC/Poplar Forest Partners Fund	5404
Quasar Distributors, LLC/Kinetics Mutual funds	6608	Quasar Distributors, LLC/Port Street Funds	1377
Quasar Distributors, LLC/Kirr Marbach Partners Fund, Inc.	6685	Quasar Distributors, LLC/Portfolio 21	4929
Quasar Distributors, LLC/Lawson Kroeker Funds	3345	Quasar Distributors, LLC/Primary Trend Fund	5858
Quasar Distributors, LLC/LKCM Funds	4883	Quasar Distributors, LLC/PRIMECAP Odyssey Funds	4895
Quasar Distributors, LLC/LoCorr Investment Trust	5569	Quasar Distributors, LLC/Prospector Funds	5901
Quasar Distributors, LLC/Loeb Capital Funds	7927	Quasar Distributors, LLC/Provident Trust	3371
Quasar Distributors, LLC/Logan Funds	3305	Quasar Distributors, LLC/Purisma Funds	6643
Quasar Distributors, LLC/Lotsoff Capital Mgt	5841	Quasar Distributors, LLC/Pzena Funds	3041
Quasar Distributors, LLC/MainGate MLP Funds	5366	Quasar Distributors, LLC/Rainier Funds	4876
Quasar Distributors, LLC/Marketfield Dublin	1333	Quasar Distributors, LLC/RBC Funds Trust	5413
Quasar Distributors, LLC/Matrix Advisors Value Fund, Inc.	4908	Quasar Distributors, LLC/Reinhart Funds	3307
Quasar Distributors, LLC/McKinley Capital Equity Income Fund	7056	Quasar Distributors, LLC/Rockefeller Funds	3016
Quasar Distributors, LLC/MD Sass Funds	5918	Quasar Distributors, LLC/Salem Trust	7010
Quasar Distributors, LLC/Merger Fund	6601	Quasar Distributors, LLC/Samson Funds	3346
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/Semper Funds	7088
Quasar Distributors, LLC/Muzinich Funds	3646	Quasar Distributors, LLC/Shenkman Funds	3374
Quasar Distributors, LLC/Muzinich Offshore Funds	3058	Quasar Distributors, LLC/Shenkman Offshore Funds	7059
Quasar Distributors, LLC/New Path Funds	3770	Quasar Distributors, LLC/Smead Value Fund	6686
Quasar Distributors, LLC/Nuance Funds	5369	Quasar Distributors, LLC/Smith Group	1376

Alphabetical Reference

November 2014

Quasar Distributors, LLC/Standard Insurance		3719			Rafferty Capital Markets, LLC / Sparrow Funds				5908		
Quasar Distributors, LLC/Stone Ridge Funds		7055			Rafferty Capital Markets, LLC/Berkshire Funds				5899		
Quasar Distributors, LLC/Stone Ridge Trust II		3004			Rafferty Capital Markets, LLC/Chou America Mutual Fund				5323		
Quasar Distributors, LLC/Strategic Income Management Funds		5905			Rafferty Capital Markets, LLC/Entrepreneur Shares				5367		
Quasar Distributors, LLC/TCM Small Cap Growth Fund		4898			Rafferty Capital Markets, LLC/Epiphany Funds				6634		
Quasar Distributors, LLC/The Snow Capital Family of Funds		4976			Rafferty Capital Markets, LLC/Hagin Keystone Market Neutral Fund				3313		
Quasar Distributors, LLC/Thomas White Funds		6636			Rafferty Capital Markets, LLC/Leuthold Funds				5656		
Quasar Distributors, LLC/Thompson IM Funds		5557			Rafferty Capital Markets, LLC/Marketocracy Funds				6682		
Quasar Distributors, LLC/Tiedemann Funds		5731			Rafferty Capital Markets, LLC/PIP New Generation Fund				3723		
Quasar Distributors, LLC/Tortoise Core Infrastructure Fund		5168			Rafferty Capital Markets, LLC/Ranger Funds Investment Trust				3775		
Quasar Distributors, LLC/US Bank Institutional Collective Funds		4695			Rafferty Capital Markets, LLC/Tanaka Funds				5771		
Quasar Distributors, LLC/Villere Balanced Fund		4886			Rainier Securities, LLC	RAIN		0226+		CNS	
Quasar Distributors, LLC/Visium Funds		7054			RAIT Securities	RAIT		0161+		CNS	
Quasar Distributors, LLC/Wall Street Fund		6626			Ramat Securities Ltd.	RMAT	0352Δ	0352+		CNS	
Quasar Distributors, LLC/Wasmer Schroeder		3043			Ramirez Tradetrek Securities, LLC	TREK		0226+		CNS	
Quasar Distributors, LLC/WBI Funds		5326			Ramius Securities, LLC	RSCO		0443+		CNS	
Quasar Distributors, LLC/WisCap Funds		6674			Ramsey (M.) King Securities, Inc.	MRKS	0443Δ				
Quasar Distributors, LLC/YCG Funds		7008			Range Global LLC	NAVX	0443Δ				
Quattro M Securities Inc.	QMSR	0100Δ			Raven Securities Corp.	RACX	0100Δ				
Queens Road Securities, LLC		4884			Raymond C. Forbes & Co., Inc.	RAYF	0161Δ	0161+		CNS	
Quest Capital Strategies, Inc.	QUET	0235Δ	0235+	CNS	Raymond James & Associates, Inc.	RAJA	0725	0725		CNS	
Questar Capital Corp./Secondary		0527			Raymond James & Associates, Inc./FI	RJFI	0390	0390		CNS	
Questar Capital Corporation	POOH		0443+	CNS	Raymond James & Associates, Inc./Raymond James Trust Company			5179			
Questrade Inc./CDS		5084			Raymond James Ltd./CDS	MCMF	5076●				
Quoin Capital LLC	QUOI	0309Δ	0309+	CNS	RBC Capital Markets Corporation	DAIN	0235	0235		CNS	
R H Investment Corporation	RHIC	0279Δ	0279+	CNS	RBC Capital Markets Corporation	RBCD	0235Δ	0235+		CNS	
R.F. Lafferty & Co., Inc.	LAFC	0443Δ	0443+	CNS	RBC Capital Markets Corporation	RBCX	0235Δ	0235+		CNS	
R.F. Lafferty & Co., Inc.	LAFF	0443Δ	0443+	CNS	RBC Capital Markets Corporation	RBCM	0235Δ				
R.W. Pressprich & Co, Inc	RWPC	0443Δ			RBC Capital Markets Corporation/Retail			0071			
R.W. Towt & Associates	TOWT	0750Δ	0750+	CNS	RBC Capital Markets, LLC	GELP	0235Δ				
Rabo Securities USA, Inc.	RABO	0443Δ			RBC Capital Markets Arbitrage, S.A.	RCMA	0235Δ				
Radnor Research & Trading Company, LLC	RRTC	0052Δ			RBC Centura Securities, Inc.	CSIB		0443+		CNS	
Rafferty Capital Markets LLC/Clifford Capital Partners Fund		3050			RBC Dominion Securities Corporation	RYDS	0235Δ				
Rafferty Capital Markets LLC/PSP Family of Funds		5637			RBC Dominion Securities Inc./CDS	RBCF	5002●				
Rafferty Capital Markets, LLC	JJKS	0161Δ	0161+	CNS	RBS Securities Inc./Equities	RBSG	0425				
Rafferty Capital Markets, LLC		5726			RBS Securities, Inc.		0248				
Rafferty Capital Markets, LLC	RAFF	0161Δ			RDM Investment Services, Inc.	RDMI		0226+		CNS	
Rafferty Capital Markets, LLC / Satuit Funds		5867			RDSC, LLC	RDSS		0141+		CNS	
					Realty Capital Securities, LLC		1042				
					Realty Capital Securities, LLC		1046				
					Realty Capital Securities, LLC		1053				
					Realty Capital Securities, LLC		1093				
					Realty Capital Securities, LLC		1476				
					Realty Capital Securities, LLC		1478				

Alphabetical Reference

November 2014

Realty Capital Securities, LLC		1649			Renaissance Capital Greenwich Funds			5454		
Realty Capital Securities, LLC		1650			Renaissance Macro Securities, LLC.	RMAC		0161Δ		
Realty Capital Securities, LLC		1682			Rencap Securities, Inc.	RENC		0352Δ	0352†	CNS
Realty Capital Securities, LLC		1688			Rensselaer Securities Corporation	RENS			0279†	CNS
Realty Capital Securities, LLC		1690			Replex & Co., Inc.	RPEX		0352Δ	0352†	CNS
Realty Capital Securities, LLC		1692			Resource Horizons Group, LLC	RHGL			0226†	CNS
Realty Capital Securities, LLC		1694			Resource Horizons Group, LLC			0676		
Realty Capital Securities, LLC		1732			Resource Real Estate, Inc.			1525		
Realty Capital Securities, LLC		1734			Retirement Resources Investment Corp.	RRIC		0235Δ		
Realty Capital Securities, LLC		1758			Reuters Transaction Services LLC	AUTX		0100Δ		
Realty Capital Securities, LLC		1759			Revere Securities Corp.	KART		0750Δ	0750†	CNS
Realty Capital Securities, LLC		1761			Revere Securities Corp.	REVR		0100Δ		
Realty Capital Securities, LLC		1763			Reynolds Funds, Inc.			6573		
Realty Capital Securities, LLC		1859			RFS Partners			4989		
Realty Capital Securities, LLC		1860			R-G Investment Corporation	RGIC			0443†	CNS
Realty Capital Securities, LLC		2700			RGM Securities, LLC	HBIF		0695Δ		
Realty Capital Securities, LLC		3833			Rhino Trading Partners, LLC	RINO		0443Δ	0443†	CNS
Realty Capital Securities, LLC		3834			Rhodes Securities, Inc.	RHDS			0141†	CNS
Reassure Life Insurance Company		4608			Rice Financial Products Company	APEX			0443†	CNS
Red Capital Markets, Inc.	PSIN		0443†	CNS	Rice, Voelker LLC	CEON		0512Δ	0352†	CNS
Redburn Partners (USA) LP	RDBN	2154Δ			Richards, Merrill & Peterson, Inc.	RMPI			0141†	CNS
Redsky Financial, LLC	REDG	0099Δ			Rideau (I.C.) Lyons and Co.	ICRL			0443†	CNS
RedSky Financial, LLC	RSKY	0279Δ			Ridgeway & Conger, Inc.	RWCI		0052Δ	0052†	CNS
Redsky Financial, LLC	RSFO	0695Δ			Ridgewood Associates Inc. NJ	RGWD			0141†	CNS
Redwine & Company, Inc.	REWI		0443†	CNS	Riedl, First Securities Company of Kansas	RIED		0235Δ	0235†	CNS
Reed (S.L.) & Company	SLRD	0352Δ	0352†	CNS	Riley (B.) & Co., Inc.	RILY		0226Δ		
Regal Securities, Inc.	RGLS	0235Δ	0235†	CNS	Riley (E.K.) Investments, LLC	EKRI			0141†	CNS
Regal Securities, Inc.	RGEL	0309Δ	0309†	CNS	RIM Securities LLC	ROCM		0443Δ		
Regional Brokers, Inc.	RBII		0279†	CNS	River Cross Securities, LLLP	PRRX		0100Δ		
Regions Bank		6760			River Cross Securities, LLLP	RCSL		0100Δ		
Regions Investment Services, Inc.		6359			Rivernorth Securities, LLC	RNSI		0017Δ		
Regions Securities LLC	REGN		0226†	CNS	Riverstone Wealth Management, Inc.	RSWM			0141†	CNS
Reich & Tang Distributors Inc.		5845			Riviere Securities Inc.	BCLT		0309Δ		
Reid & Rudiger, LLC	RRUD	0235Δ	0235†	CNS	RJJ Pasadena Securities, Inc.	RJJZ		0443Δ		
Reid and Associates	REID		0141†	CNS	RJL Capital Group, LLC	RJLB		0161Δ	0161†	CNS
Reinoso & Company, Incorporated	ROPK		0443†	CNS	RJL Capital Group, LLC	RJLC		0824Δ		
Reliance Standard Life Insurance Company		4756			Robeco Trust Company			5325		
Reliance Trust Company		4896			Robert B. Ausdal & Co., Inc.	RBAC		0235Δ	0235†	CNS
Reliance Trust Company		5962			Robert Van Securities, Inc.	RVSI			0103†	CNS
Reliance Trust Company/MetLife Stable Value Fund		5312			Robert W. Baird & Co.			4905		
Reliance Trust Company/RSG Separate Account		7955			Roberts & Ryan Investments, Inc.	RRII			0443†	CNS
Reliance Trust Company/SSB&T		3636			Robertson Stephens Securities	SFRS			0226†	CNS
Reliance Trust Company/SWMS1		2042			Robinhood Financial, LLC.	CRFN		0158Δ		
Reliance Trust Company/SWMS2		2085			Robinson & Lukens, Inc.	RLUK		7607	7607	CNS
Reliance Worldwide Investments, LLC	RWWI	0279Δ	0279†	CNS	Robinson & Robinson, Inc.	ROBI		0235Δ	0235†	CNS
Reliastar Life Insurance Company		4568			Robotti & Company, LLC	ROBT		0443Δ	0443†	CNS
Reliastar Life Insurance Company of New York		4653			Rochdale Securities, LLC	ROCH			0443†	CNS
Reliastar Life Insurance Company/Life & Annuity Product Investment Trading		4652			Rockfleet Financial Services, Inc.	RCKF		0309Δ	0309†	CNS
Reliastar Life Insurance Company/Reliastar New York		4606			Rockwell Global Capital, LLC	ROCK		0235Δ	0443†	CNS
Reliastar Life Insurance Company/Reliastar Retirement Plans		4603			Rockwell Securities LLC	RKWS		0235Δ	0235†	CNS
					Rodecker & Co. Investment Brokers, Inc.	RODE			0443†	CNS
					Rodgers Brothers, Inc.	ROBO		0235Δ	0235†	CNS
					Rogo Capital LLC	ROGO		0750Δ	0750†	CNS
					Romano Brothers and Company	ROMO			0141†	CNS
					Ronin Capital, LLC	RONI		0501Δ		



Alphabetical Reference

November 2014

Roosevelt & Cross, Incorporated	RCRS	0352Δ	0352†	CNS	Saperston Asset Management, Inc.	SAPA		0141†	CNS
Rosenblatt Securities Inc.		0233			Saturna Brokerage Services, Inc.		4983		
Rosenblatt Securities Inc.	RBLT	0501Δ			Saudi American Bank	SABF		0161†	CNS
Rosenblatt Securities Inc.	ROSN	0501Δ			Sauer Dazey Investments Co.	SDIC	0235Δ	0235†	CNS
Ross Sinclair & Associates, LLC	RSAL	0443Δ	0443†	CNS	Savoy Capital Management, Inc.	SAVY	0235Δ	0235†	CNS
Roth Capital Partners, LLC	ROTH	0161Δ	0161†	CNS	Saxis Group, Inc.	CADG	0501Δ		
Rothschild Investment Corporation	RTHS	0443Δ			Saxony Securities Inc./Saxony Insurance, LLC		3129		
Rowe (T.) Price Investment Services, Inc.		5586			Saxony Securities, Inc.		3358		
Royal Alliance Associates, Inc.	RAAI		0226†	CNS	Saybrook Capital Corporation	SAYB		0103†	CNS
Royal Alliance Associates, Inc.	ROYL	0443Δ	0443†	CNS	Scarsdale Equities, LLC	SCAR	0443Δ		
Royal Alliance Associates, Inc.		0089			SCF Securities, Inc.	SCFA		0226†	CNS
Royal American Investment Services, Inc.	RAIS		0443†	CNS	Schottenfeld Group LLC	SHOT	0501Δ		
Royal Securities Company	RYAL	0235Δ	0235†	CNS	Schroder Fund Advisors LLC		4956		
Royce Fund Services Inc.		5663			Schroder Fund Advisors LLC/Schroder Fund Advisors International Division		4853		
RP Capital LLC	RPCP		0052†	CNS	Schwab Retirement Plan Services Company		7119		
RREEF America L.L.C.		3513			Schwartz, Gregory J. & Co. Inc.	GJSS	0235Δ	0235†	CNS
RS Platou Markets, Inc.	PLAT	0443Δ			Scotia Capital (USA) Inc.	SCMC	0096		
RSG Capital Corp.	RAFI	0750Δ			Scotia Capital Inc./CDS	SCMF	5011●		
Ruane, Cunniff & Goldbarb LLC	RCSK	0443Δ	0642†	CNS	Scotia Capital Inc./Hollis Wealth/CDS	DCAF	5039●		
Ruane, Cunniff & Goldbarb LLC		3726			Scottrade, Inc.	SCTO	0158Δ	0158†	CNS
Russell Financial Services, Inc.		5762			Scottrade, Inc.	SSIC	0705		
Russell Implementation Svcs., Inc. Pt of Russell Inv.	RSSE	0443Δ	0443†	CNS	Scottsdale Capital Advisors	JOHN	8072Δ		
Russell Trust Company		4832			Seaboard Securities, Inc.	SEAI	0100Δ	0100†	TFT
Russell Trust Company		5964			Seaboard Securities, Inc.	SEAB	0052Δ		
Ryan, Beck & Co.	RYAN		0443†	CNS	Seapine Securities, LLC	SEPN		0161†	CNS
S. Goldman Capital LLC	SGCM	0161Δ	0161†	CNS	Seaport Global Securities LLC	SPGS	0161Δ	0161†	CNS
S.F. Investments, Inc.	SFPS	0443Δ	0443†	CNS	Seaport Securities Corp.	SEAP	0352Δ	0352†	CNS
Sabadell Securities USA, Inc.	SABS	0443Δ	0443†	CNS	Searle & Co.	SERL	0443Δ	0443†	CNS
Safian Investment Research Inc.	SIRI		0352†	CNS	Second Street Securities, Inc.	SECS		0161†	CNS
Safra Securities Corp.	SSCO	0443Δ			SecondMarket, Inc.	GRDK	0443Δ	0443†	CNS
Sage, Ruty & Co., Inc.	SAGE		0141†	CNS	Securevest Financial Group	MAMA	0352Δ	0352†	CNS
Sagepoint Financial, Inc		0144			Securities America, Inc.	SAIN	0226Δ	0226†	CNS
Sagepoint Financial, Inc.	AIGN		0226†	CNS	Securities America, Inc.		0590		
Sagepoint Financial, Inc.	AIGF	0443Δ	0443†	CNS	Securities Equity Group	DOVE		0226†	CNS
Sagepoint Financial, Inc./FAB		0522			Securities Industry Management Corp.	SIMC		0443†	CNS
Sagepoint Financial, Inc./FAI		0182			Securities Management & Research, Inc.	SMRI	0226Δ	0226†	CNS
Sagepoint Financial, Inc/ FA2		0556			Securities Research, Inc.	SRFL	0443Δ	0443†	CNS
SageTrader, LLC	SAGW	0103Δ			Securities Service Network, Inc		0247		
Sagetradar, LLC	BIAD	0551Δ			Securities Service Network, Inc.	SSNI	0226Δ	0226†	CNS
Samco Capital Markets, Inc.	SRAM		0443†	CNS	Security Benefit Life Insurance Company		4527		
Sammons Financial Network LLC		3608			Security Capital Brokerage, Inc.	SCTI		0443†	CNS
Samsung Securities Services, Inc.	SSNY	0651Δ			Security Life of Denver/Mutual Funds		4668		
Samuel A. Ramirez & Company, Inc.	RREZ	0352Δ	0352†	CNS	Security Research Associates Inc.	SRES	0103Δ		
Samuel A. Ramirez & Company, Inc.	RRPR		0443†	CNS	Seelaus (R.) & Co., Inc.	SEEL		0141†	CNS
Samurai Trading, LLC	SAMU	0103Δ			Segerdahl and Company	SEGE		0443†	CNS
Sanderlin Securities, LLC	SSLC	0309Δ	0309†	CNS	SEI Investments Distribution	SEIC	0352Δ	0352†	CNS
Sanders Morris Harris Inc.	SMHJ		0141†	CNS	SEI Investments Distribution Co./Advisors Inner Circle Fund		5763		
Sanders Morris Harris Inc.	SMHI	0443Δ	0443†	CNS	SEI Investments Distribution Co./Advisors Inner Circle Fund II		7052		
Sandgrain Securities, Inc.	GRIN		0443†	CNS	SEI Investments Distribution Co./Bishop Street Funds		5606		
Sandler, O'Neill & Partners, L.P.	SDLR	0352Δ	0352†	CNS					
Sanford C. Bernstein & Co., LLC	BIRM	0013Δ							
Sanford C. Bernstein & Co., LLC	BLAV	0013Δ							
Sanford C. Bernstein & Co., LLC	SCBO	0013Δ							
Santander Investment Securities Inc.	SANT	0443Δ							
Santander Securities Corporation	SSPR		0443†	CNS					

Alphabetical Reference

November 2014

SEI Investments Distribution Co./Causeway Capital Management Trust		4913			Siebert Brandford Shank & Co., LLC	SBSC	0226Δ	0226†	CNS
SEI Investments Distribution Co./City National Rochdale Funds		4990			Sierra Equity Group Ltd.	BBII	0235Δ	0235†	CNS
SEI Investments Distribution Co./Community Capital Trust		5748			Sierra Income Corporation		1834		
SEI Investments Distribution Co./FMB Funds		5565			Sierra Pacific Securities, LLC	SPAC	0309Δ	0309†	CNS
SEI Investments Distribution Co./Hancock Horizon Family of Funds		6691			Sigma Financial Corporation	SGFC		0226†	CNS
SEI Investments Distribution Co./RiverPark Funds Trust		5343			Sigma Financial Corporation		5346		
SEI Investments Distribution Co./SEI Institutional Funds		5717			Signal Securities, Inc.	SGNL	0279Δ	0279†	CNS
SEI Investments Distribution Co./TD Asset Management USA Funds Inc.		6539			Signator Financial Services, Inc.	SFCO	0427	0443†	CNS
SEI Investments Distribution Co./Wilshire Funds		4875			Signator Investors, Inc.	JHDI		0226†	CNS
SEI Investments Distribution Co./New Covenant Funds		6536			Signature Securities	SSGC	0226Δ	0226†	CNS
SEI Investments Distribution Company/KraneShares Trust		3102			SignatureFD, LLC		3456		
SEI Investments Distribution Company/The KP Funds		1393			SII Investments		0640		
SEI Private Trust Company		2039			SII Investments, Inc.	SIIW		0443†	CNS
SEI Private Trust Company		7110			SII Investments, Inc.		1081		
SEI Private Trust Company/C/O/ GWP		2663			Silver Leaf Partners, LLC	LEAF	0443Δ		
SEI Trust Company		4952			Simmons & Company International	SIMM	0443Δ	0443†	CNS
Seibert (J.D.) & Company, Inc.	SEIB	0158Δ	0158†	CNS	Simmons First Investment Group, Inc.				
Seidel & Shaw LLC	SEID	0388Δ			Inc.	SIGI	0309Δ	0309†	CNS
Seidel & Shaw, LLC	DAVW		0309†	CNS	Sims (Herbert J.) & Co., Inc.	HJSC		0443†	CNS
Selkirk Investments, Inc.	EMPR	0279Δ	0279†	CNS	Sisung Securities Corp.	SSNG	0443Δ	0443†	CNS
Sendero Securities, LLC	SEND	0352Δ			Sky Capital LLC	SKYC	0750Δ	0750†	CNS
Sentinel Brokers Company	SEBR	0279Δ	0279†	CNS	Skyebanc Inc.	SKYE		0226†	CNS
Sentinel Financial Services Company		5873			SL Hare Capital, Inc.	SLHC	0103Δ	0103†	CNS
Sequoia Investments, Inc.	SEQU	0309Δ	0309†	CNS	SMBC Nikko Securities America, Inc.		6700		
Seslia Securities	SESL	0099Δ			SMBC Nikko Securities America, Inc.	SUMI	0443Δ		
Seslia Securities, Inc.	SESL		0158†	CNS	Smith (E.H.) Jacobs & Co., Inc.	EHSC	0161Δ	0161†	CNS
Sethi Financial Investments	SSFG	0750Δ			Smith (R.W.) & Associates, Inc.	RWSM	0279Δ	0279†	CNS
Seton Securiteis Group, Inc.	SSGI	0052Δ	0443†	CNS	Smith Hayes Financial Services Corp./Colorado Bondshares		5708		
Seven Points Capital, LLC	SPTC	0052Δ	0052†	CNS	Smith Hayes Financial Services Corporation	SHFS	0226Δ	0226†	CNS
Seven Points Capital, LLC	SPNT	0100Δ			Smith Hayes Financial Services Corporation		3705		
Seven Points Capital, LLC	SEVP	0158Δ			Smith Hayes Financial Services Corporation		5575		
Seven Points Capital, LLC	SPTS	2154Δ			Smith, Brown & Groover, Inc.	SGBI		0226†	CNS
SF Sentry Securities, Inc.	SFSS	0352Δ	0352†	CNS	Smith, Moore & Co.	SMCO	0235Δ	0235†	CNS
SG Americas Securities, LLC	SGAS	0286	0286	CNS	SNC Capital Management Corp.	SNCC	0017Δ		
SG Americas Securities, LLC	SGOV	0286Δ	0286†	CNS	Snowden Account Services, Inc.	SNWS		0443†	CNS
Shareholders Services Group Inc.	SSGR	0443Δ	0443†	CNS	Solium Financial Services LLC	SOLM	0352Δ	0352†	CNS
Shay Financial Services, Inc.	SHAY	0443Δ	0443†	CNS	Solowey & Co.	SLWY	0226Δ	0226†	CNS
Shearman, Ralston, Inc.	RACO	0158Δ	0158†	CNS	Solowey & Co.	SOLO	8006		
Shelby Cullom Davis & Co., LP	DAVI		0226†	CNS	Sorrento Pacific Financial, LLC		0346		
Shufro, Rose & Company, LLC	SHRE	0352Δ	0352†	CNS	Sorsby Financial Corp.	SORS	0235Δ	0235†	CNS
SIA Securities Corp.		5779			Source Capital Group, Inc.	SORE	0750Δ	0750†	CNS
Sidoti & Company, LLC	SIDC	0100Δ			Southeast Investments N.A., Inc.	SEIN		0226†	CNS
Siebert (Muriel) & Co., Inc.	SBRT	0226Δ	0226†	CNS	Southern Trust Securities, Inc.	STSE	0052Δ	0052†	CNS
					Southlake Capital LLC	SLAK	0279Δ	0279†	CNS
					Southwest Securities, Inc.	SWST	0279	0279	CNS
					Southwest Securities, Inc.		1956		
					Southwest Value Partners Enterprise, LLC		1686		
					Southwestern Capital Market, Inc.	SCMT		0279†	CNS
					Souza Barros Securities, Inc.	SOUZ	0443Δ		
					Sovereign Wealth Management Group, Inc.		6940		
					Spartan Securities Group, Ltd.	MICA	0052Δ		
					Spectrum Asset Management Inc.	SAMI	0352Δ	0352†	CNS

Alphabetical Reference

November 2014

Spectrum Capital, Inc.	SPCA	0188†	CNS	State Street Bank & Trust Co./Inst'l Custody	2132	
Spencer Clarke LLC	SPEN	0443†	CNS	State Street Bank & Trust Co./JP Morgan Retirement Plan Services/Deluxe Cp	5435	
Spencer Edwards, Inc.	SPIN	0750Δ	0750†	CNS	State Street Bank & Trust Co./JP Morgan Retirement Plan Services/Hallmark Cards Inc.	2547
Spencer Edwards, Inc.	SEDS	0052Δ			State Street Bank & Trust Co./Lincoln Retirement Services	3752
Spencer Edwards, Inc.	SEII	8072Δ			State Street Bank & Trust Co./Mainstay	0487
Spencer Trask Ventures, Inc.	STSI	0235Δ	0235†	CNS	State Street Bank & Trust Co./NYLIM/SIP	5953
Spencer Winston Securities Corporation	SPWI	0279Δ	0279†	CNS	State Street Bank & Trust Co./Sanford Bernstein Alliance Capital	6519
SpiderRock EXS LLC	SREX	0100Δ			State Street Bank & Trust Co./T. Rowe Price Retirement Plan Services	5968
Spire Securities, LLC	SPLC		0226†	CNS	State Street Bank & Trust Co./Wealth Management Services 2	2955
Spot Trading	SPOT	0501Δ			State Street Bank & Trust Company	2950
SQN Capital Management, LLC		1089			State Street Bank & Trust Company/Hewitt Associates LLC/Wellington Trust Company	3099
SQT Trading, LLC	SQTF	0695Δ			State Street Bank & Trust Company/Hewitt Associates/AHRP	7097
SS&C Technologies, Inc.		1283			State Street Bank & Trust Company/Hewitt Associates/Estee Lauder	7037
SS&C Technologies, Inc.		1286			State Street Bank & Trust Company/Hewitt/Ally	7004
SS&C Technologies, Inc.		1513			State Street Bank & Trust Company/ING/State of Minnesota	3689
SS&C Technologies, Inc.		1623			State Street Bank & Trust Company/JPM Retirement Plan Services/Bechtel	3629
SS&C Technologies, Inc.		1624			State Street Bank & Trust Company/JPMorgan/Celanese Americas LLC	7022
SS&C Technologies, Inc.		1626			State Street Bank & Trust Company/JPMorgan/Pacificorp Plus Employees Savings Plan	3686
SS&C Technologies, Inc.		1627			State Street Bank & Trust Company/NRS Inc./Hanesbrands Inc.	3087
SS&C Technologies, Inc.		1629			State Street Bank & Trust Company/NRS/Bechtel NR Program DC Master Trust	3647
SS&C Technologies, Inc.		1670			State Street Bank & Trust Company/NRS/Halliburton Company	7086
SS&C Technologies, Inc.		1754			State Street Bank & Trust Company/NRS/Intel	5197
SS&C Technologies, Inc.		1755			State Street Bank & Trust Company/NRS/Lilly	7954
SS&C Technologies, Inc.		2516			State Street Bank & Trust Company/NRS/NADART	7078
SS&C Technologies, Inc.		2649			State Street Bank & Trust Company/NRS/SBERA	3353
SS&C Technologies, Inc.		2696				
SSB - Bank Portfolio	STBK		2436	TFT		
SSB-Trust Custody		2319				
St Bernard Financial Services, Inc	KEEN	0309Δ				
STAAR Investment Trust		6736				
Stanchart Securities International, Inc.	SCFL		0443†	CNS		
Standard Chartered Securities (North America) Inc.	SCBS	0443Δ				
Standard Credit Securities	SCSI	0370Δ	0370†	CNS		
Standard Insurance Company		4701				
Standard Investment Chartered, Inc.	STVT	0103Δ				
Stark (R.M.) & Co., Inc.	RMST	0443Δ	0443†	CNS		
Stark Municipal Brokers	SPSR		0279†	CNS		
State Farm VP Management Corp.		4971				
State Street /ACH HR Solutions LLC/Ford Motor Company		2524				
State Street Bank & Trust Co./ACS HR Solutions, LLC/DTCC		5966				
State Street Bank & Trust Co./ACS HR Solutions/Rio Tinto		5329				
State Street Bank & Trust Co./ACS/Glaxosmithkline		5623				
State Street Bank & Trust Co./ADP-Morgan Stanley		5991				
State Street Bank & Trust Co./AXA Equitable Life Insurance Company		0228				
State Street Bank & Trust Co./Blackrock Institutional Trust		2767				
State Street Bank & Trust Co./FBO Qualified Plans		5165				
State Street Bank & Trust Co./IBT		4946				

Alphabetical Reference

November 2014

State Street Bank & Trust Company/NRS/The Hartford		7940			Stockcross Financial Services, Inc.	STXG	0445Δ		
State Street Bank & Trust Company/NRS/The KP Funds		3026			Stockpile Investments, Inc.	STKP	0158Δ		
State Street Bank & Trust Company/NRS/Wichita Retirement Systems		7066			Stoeber, Glass & Company Inc.	STOV	0443Δ	0443†	CNS
State Street Bank & Trust Company/Xerox HR Solutions/Xerox Corp		7965			Stofan, Agazzi & Company, Inc.	SZZI		0141†	CNS
State Street Global Markets, LLC	SSBS	0189	0189	CNS	Stone & Youngberg LLC	STYO		0443†	CNS
State Street Global Markets, LLC	SSLL	0189Δ	0189†	CNS	Stone Coast Fund Services LLC		1647		
State Street Global Markets, LLC	SSGM	0226Δ	0226†	CNS	Stone Coast Fund Services LLC		1775		
State Street Global Markets, LLC		5641			Stone Coast Fund Services LLC		1776		
State Street Global Markets, LLC	PULX	0189Δ			Stone Coast Fund Services LLC		1786		
State Street Global Markets, LLC/State Street Collective Fund		6511			Stone Coast Fund Services LLC		1787		
State Street/ACS/ConAgra Foods		5100			Stone Coast Fund Services LLC		1788		
State Trust Capital, LLC		6576			Stone Coast Fund Services LLC		1791		
State Trust Investments, Inc.	STTR		0443†	CNS	Stonecastle Securities, LLC	SCSS	0161Δ	0161†	CNS
StateTrust Investments Inc.	STTT	0052Δ	0052†	CNS	StormHarbour Securities LP	STHR	0352Δ	0352†	CNS
Steadfast Capital Markets Group, LLC		1432			Strand Atkinson Williams & York, Inc.	ATKC		0141†	CNS
Steadfast Capital Markets Group, LLC		1464			Strategas Research Partners, LLC	STRS	0161Δ	0161†	CNS
Steadfast Capital Markets Group, LLC		1469			Strategic Capital Investments, LLC	SCIL	0052Δ	0052†	CNS
Steben & Company, Inc.		3841			Strategic Financial Alliance (The)	TSFA		0443†	CNS
SteelPoint Securities, LLC	SHIV		0226†	CNS	Stuart Frankel & Co., Inc.	STFC	0443Δ		
Stephen A. Kohn & Associates, Ltd.	SAKL		0226†	CNS	Sturdivant & Co	STUR	0100Δ		
Stephens, Inc.	SPHN	0419	0419	CNS	Sturges Company (The)	TSCD	0235Δ	0235†	CNS
Sterling Enterprise Group, Inc.	SEGI	0750Δ	0750†	CNS	Success Trade Securities, Inc	STJT	0052Δ		
Sterling Grace Municipal Securities Co.	STGC	0279Δ	0279†	CNS	Success Trade Securities, Inc.	STSS	0052Δ		
Sterling Investments	SLIN		0052†	CNS	Success Trade Securities, Inc.	VERN	0052Δ		
Sterling Trader Execution Services, Inc.	STHL	0873Δ			Summer Street Research Partners	SUMM	0443Δ		
Sterling Trader Execution Services, Inc.	STRL	0873Δ			Summit Brokerage Services, Inc.	SUMT	0141Δ	0141†	CNS
Stern Brothers & Co.	SBRO		0443†	CNS	Summit Brokerage Services, Inc.	SMPR		0443†	CNS
Stern Fisher Edwards, Inc.	SFEI		0226†	CNS	Summit Equities, Inc.	SEMQ		0226†	CNS
Sterne Agee & Leach, Inc	SALC	0443Δ	0443†	CNS	Sumridge Partners, LLC	SMRD	0352Δ	0352†	CNS
Sterne Agee Capital Markets, Inc.	FGIS	0750Δ			Sun Life Assurance Company Of Canada (U.S. Branch)		4649		
Sterne Agee Capital Markets, Inc.	SACM	0750Δ			Sun Life Assurance Company Of Canada (U.S. Branch)/Sun Life Assurance Company Of Canada (Bermuda Branch)		4522		
Sterne Agee Financial Services	SAFS	0750Δ	0750†	CNS	Sun Life Assurance Company Of Canada (U.S. Branch)/Sun Life Financial Investments (Bermuda) Ltd.		4647		
Sterne Agee Financial Services, Inc.	ITCC	0750Δ	0750†	CNS	Sun Trading, LLC	SUNI	0396Δ		
Sterne, Agee & Leach, Inc.	SALI	0750	0750	CNS	Sun Trading, LLC	SUNF	0695Δ		
Steven L. Falk & Associates	FALK	0235Δ	0235†	CNS	SunAmerica Capital Services, Inc./Valic	SBLT	0226Δ	0226†	CNS
Steward Securities Group LLC	SSGT	0309Δ			SunGard Brokerage & Securities Services LLC		3108		
Stewart (W.P.) Securities Limited	WPST		0443†	CNS	Sungard Brokerage & Securities Services LLC		6485		
Stifel, Nicolaus & Company Incorporated	STFL	0793	0793	CNS	SunGard Brokerage & Securities Services, LLC	ANDZ	0050Δ		
Stifel, Nicolaus & Company, Incorporated	TWPL	0161Δ	0793†	CNS	SunGard Brokerage & Securities Services, LLC	ASSD	0050Δ		
Stillpoint Wealth Management, LLC	SPWM		0443†	CNS	SunGard Brokerage & Securities Services, LLC	FREX	0050Δ		
Stinson Securities, LLC	STIN		0103†	CNS	SunGard Brokerage & Securities Services, LLC	FRET	0501Δ		
Stock Traders	SKTR	0279Δ	0279†	CNS	SunGard Brokerage & Securities Services, LLC	SUNB	0501Δ		
Stock USA Execution Services, Inc	ALGO	0873Δ			Sungard Institutional Brokerage Inc.	SIBI		0573†	CNS
Stock USA Execution Services, Inc.	SPTD	0052Δ	0052†	CNS					
Stockcross Financial Services, Inc.	STOX	0445	0445	CNS					
Stockcross Financial Services, Inc.	STOS	0226Δ	0226†	CNS					

Alphabetical Reference

November 2014

Sunrise Brokers LLC	SUBR	0100A			Securities/CDS				
Sunset Financial Services, Inc.	SSET		0226†	CNS	TD Waterhouse Canada Inc. #2/CDS	GLII	5005●		
Sunstreet Securities, LLC	SUST	0235A	0235†	CNS	TD Waterhouse Canada Inc. #3		5033		
SunTrust Capital Markets, Inc.	RHCO	0226A	0418†	CNS	TD Waterhouse Canada Inc. #5/CDS	GLIR	5021●		
SunTrust Investment Services, Inc.	SSIN	0226A	0226†	CNS	TD Waterhouse Canada Inc. #6/ATP	GLIP	5062●		
SunTrust Robinson Humphrey Inc.	STCM	2095	2095	CNS	TD Waterhouse Canada Inc./CDS	GLIS	5036●		
SunTrust Securities, Inc.		0153			TD Waterhouse-ITG Canada/CDS		5035		
Superior Financial Services, Inc.	SFSI	0235A	0235†	CNS	Teachers Advisors, Inc.		5668		
Surety Financial Services	MESI		0226†	CNS	Teachers Advisors, Inc./Life Funds		5392		
Surge Trading Inc.	SURG	0100A			Teachers Insurance and Annuity Association of America		3017		
Susquehanna Capital Group	SUSQ	0551A	0551†	CNS	Teachers Insurance and Annuity Association of America		4693		
Susquehanna Financial Group, LLC	SUFI	0551A	0551†	CNS	Teachers Insurance And Annuity Association Of America/Account 2		3110		
Susquehanna Financial Group, LLP	SFGB	0161A	0161†	CNS	Teachers Insurance and Annuity Association of America/TIAA-CREF Life		5683		
Susquehanna Fixed Income, L.P.	SUSF		0551†	CNS	Teckmeyer Financial Services	TFSL	0235A	0235†	CNS
Sutter Securities Incorporated	SUTT	0443A	0443†	CNS	Tejas Securities Group, Inc.	TEJS	0158A	0158†	CNS
SVB Securities, Inc./A Non-Bank Affiliate of Silicon Valley Bank	SVBS	0158A	0158†	CNS	Tejas Securities Group, Inc.	TSGI	0158A	0158†	CNS
SW Asset Management, LLC		1132			Telemus Investment Brokers, LLC	TIBS		0443†	CNS
SWBC Investment Services, LLC	SWBC		0226†	CNS	Telsey Advisory Group LLC	TAGC	0161A	0161†	CNS
SWBT Securities, Inc.	SWTX		0443†	CNS	Templeton Sicav				
Swedbank First Securities, LLC	SWFS	0443A			Funds/Franklin/Templeton Distributors Inc.		5690		
Sweney, Cartwright & Company	SWEN	7027	7027	CNS	TFS Derivatives Corporation	TFSV	0595A		
Symetra Life Insurance Company		4609			TGH Securities, Inc.	TGHS		0443†	CNS
Symetra Life Insurance Company		5161			The Bank of New York Mellon		0901		
Symetra Life Insurance Company/Symetra Fee Based		3618			The Bank of New York Mellon		1292		
Symphonic Securities LLC	SYMP		0443†	CNS	The Bank of New York Mellon /MIDCAP SPDRS		2209		
Syndicated Capital, Inc.	SYCA	0443A	0443†	CNS	The Bank of New York Mellon/ Mellon Trust of New England, National Association		0954		
Syndicated Capital, Inc.		4881			The Bank of New York Mellon/BNYM ETF - UIT DTC/NSCC 0963		0963		
Synovus Securities Inc.	CBTD	0226A	0226†	CNS	The Bank of New York Mellon/Mellon Securities Trust Co.		0904		
T. Rowe Price Investment Services, Inc./SICAV Funds SICAV		4911			The Bank of New York Mellon/RRZ Public Markets, Inc.	RRZP		6033	TFT
T. Rowe Price Retirement Plan Services, Inc.		7117			The Bank of New York Mellon/Southtrust Bank of Alabama	SALA		6523	TFT
T.R. Winston & Company, LLC	TRWN	0443A	0443†	CNS	The Bank of New York Mellon/Wealth Management		8275		
T.Rowe Price Investment Services Inc./ T.Rowe Price Trust Company		5907			The Bond House	BHSE	0309A	0309†	CNS
T.S Phillips Investments	TSPI		0141†	CNS	The Eudora Fund		7096		
Taglich Brothers, Inc.	TAGS	0443A	0443†	CNS	The Fig Group, LLC	FIGG	0750A		
Take Charge Financial	TCFF	0750A			The Guardian Insurance & Annuity Company Inc./GIAC 401(K)		4770		
TCA Global Credit Master Fund LP		1293			The Northern Trust Company/GreatBanc Collective Investment Trust IV		3142		
TCAdvisors Network, Inc.	TCAN		0443†	CNS	The Northern Trust Company/Jacobs Levy Small/Mid Value Fund, A Fund Of The Jacobs Levy Group Trust		7127		
TCFG Wealth Management, LLC	TCFG		0226†	CNS					
TCM Capital, Inc.	TCMU		0443†	CNS					
TCT Securities & Derivatives, LLC	TCTD	0750A							
TCW Funds Distributors		6563							
TCW Funds Distributors/TCW Funds (Luxembourg)		3359							
TD Ameritrade Clearing, Inc.	FOMA	0188	0188	CNS					
TD Ameritrade Clearing, Inc.		3867							
TD Ameritrade Trust Company		5982							
TD Ameritrade Trust Company		6566							
TD Ameritrade, Inc.	TDAR	0188A	0188†	CNS					
TD Ameritrade, Inc.	SWIM	0158A							
TD Securities (USA) LLC	TDPA		0226†	CNS					
TD Securities (USA) LLC	TDSI	0352A	0352†	CNS					
TD Securities (USA) LLC	TDNY	0551A							
TD Waterhouse - Norstar	NSIF	5061●							

Alphabetical Reference

November 2014

The Northern Trust Company/Sub Advised Collective Fund Trust - First State		7126			TJM Investments, LLC	TJMI	0551Δ		
					TMC Bonds, L.L.C.	TMCC		0443†	CNS
The Northern Trust Company/Sub Advised Collective Fund Trust - Globeflex		7125			Tocqueville Securities L.P.		5862		
The Northern Trust Company/Sub Advised Collective Fund Trust - Presima		7118			Tocqueville Securities, L.P.	TOCQ	0443Δ	0443†	CNS
The Northern Trust Company/Sub- Advised Collective Funds Trust- Pzena		3147			Tonge (R.M.) Company	TONG		0443†	CNS
The Oak Ridge Financial Services Group, Inc.	OAKR	0235Δ	0235†	CNS	Topeka Capital Markets, Inc.	TOPK	0161Δ		
The Prudential Insurance Company of America/Hartford SA Var Life		3088			Tora Trading Services	TORR	0501Δ		
The Prudential Insurance Company of America/Pru Retirement Non-Reg Trading		3077			Torc Investments and Research LLC	TORX	0284Δ		
The Rockwell Financial Group, Inc.	RFRC	0309Δ	0309†	CNS	Torc Investments and Research LLC	TORA	0695Δ		
The Street, Inc.	TSIB	0750Δ			Torc Investments and Research LLC	TORQ	0695Δ		
The US Life Ins Co in the City of NY/AIG Annuities - Fixed and Index		4664			Torino Capital LLC	TORI		0235†	CNS
The US Life Ins Co in the City of NY/AIG Annuities - Variable		4517			Touchstone Securities Inc.		5711		
The US Life Ins Co in the City of NY/AIG Annuities (SE2)		4536			Tourmaline Partners, LLC	TOUR	0501Δ		
The Vertical Trading Group, LLC	VGRP	8072Δ			Toussaint Capital Partners, LLC	TCPX	0443Δ	0443†	CNS
Themis Trading LLC	THEM	0161Δ			TOV Capital Markets, Inc.	TOVC	0235Δ	0235†	CNS
Thomas McDonald Partners, LLC	TMCD		0141†	CNS	Tower Fund Services, LLC		1158		
Thomas P. Reynolds Securities Ltd	REYN	0352Δ	0352†	CNS	Tower Fund Services, LLC		1159		
Thompson Davis & Co., Inc.	TDCO	0443Δ	0443†	CNS	Tower Fund Services, LLC		1631		
Thompson Davis & Co., Inc.		3836			Tower Square Securities, Inc.	TRSQ		0443†	CNS
Thornburg Securities Corporation		5541			Tower Square Securities, Inc.	TRSQ	0443Δ		
Thornburg Securities Corporation/Thornburg Global Investment PLC		3352			Towerhill Long/Short Equity, LLC		3583		
Thornton, Farish & Gauntt	THFA		6806	TFT	Track Data Securities Corporation	TDSC	0158Δ		
Thoroughbred Financial Services, LLC	TBRD		0226†	CNS	Trade Manage Capital, Inc.	YAMN	0443Δ	0443†	CNS
Thoroughbred Financial Services, LLC		6903			Tradebot Systems, Inc.	TRBT	0083		
Thrasher & Company	TRSH	0309Δ	0309†	CNS	Tradeking	TKNG	0158Δ		
Thrivent Investment Management, Inc.	AALC		0226†	CNS	Tradelink Securities, LLC	TRLN	0551Δ		
Thrivent Investment Management, Inc.		7243			Trade-PMR, Inc.	TPMR		0141†	CNS
Thrivent Mutual Funds		5106			Traderfield Securities Inc.	TDFS	0052Δ		
Thurston, Springer, Miller, Herd & Titak, Inc.	TMBI	0235Δ	0235†	CNS	TradeStar Investments, Inc.	TSII	0226Δ	0226†	CNS
TIAA-CREF Individual and Institutional Services, LLC	CREF		0443†	CNS	TradeStation Securities, Inc.	TRAD	0271	0271	CNS
TIAA-CREF Trust Company, FSB		3107			Tradestation Securities, Inc.	FILL	0352Δ	0352†	CNS
TIB The Independent Bankers Bank	TIBD		6412	TFT	Tradier Brokerage, Inc.	TBIS	0309Δ		
Tibra Trading America LLC	TTAL	0695Δ			Trading Block	AOSD	0158Δ		
Ticonderoga Securities LLC	REND		0226†	CNS	Trading Block	BLOC	0158Δ		
Ticonderoga Securities LLC	FORT		0443†	CNS	Tradition Aisel	TFAS	0443Δ	0443†	CNS
Timber Hill LLC	TMBR	0549	0549	CNS	Tradition Asiel Securities Inc.	TMBS		0443†	CNS
Title Securities, Inc.	DIRA	0103Δ			Tradition Asiel Securities, Inc.	ASEL	0370	0370	CNS
Title Securities, Inc.	DIRL	0103Δ			Tradition Asiel Securities, Inc.	TASE		0443†	CNS
TJM Investments, LLC	MNDX	0161Δ			Tradition Asiel Securities, Inc.	ASLB	0370Δ		
					Tradition Asiel Securities, Inc.	TRAS	0443Δ		
					Transamerica Advisors Life Insurance Company		4728		
					Transamerica Capital, Inc.		5580		
					Transamerica Capital, Inc./Diversified Funds		6739		
					Transamerica Capital, Inc./Series Trust Funds		6738		
					Transamerica Financial Advisors, Inc.		0285		
					Transamerica Financial Advisors, Inc./II		0224		
					Transamerica Financial Advisors, Inc./World Group Securities, Inc.		0729		
					Transamerica Financial Life Insurance Company		4561		
					Transamerica Financial Life Insurance Company / FL, NY Annuity Business		4718		

Alphabetical Reference

November 2014

Transamerica Financial Life Insurance Company / FL, NY Life Business		4719			U.S. Bancorp Fund Services, LLC		1967		
Transamerica Financial Life Insurance Company/KC NY Life Business		4683			U.S. Bancorp Fund Services, LLC		2766		
Transamerica Financial Life Insurance Company/Retirement Division		4680			U.S. Bancorp Investments Inc.	FBSB	0280	0280	TFT
Transamerica Life Insurance Company		4566			U.S. Bank N.A.		2803		
Transamerica Life Insurance Company /Life Business		4642			U.S. Boston Capital Corp.		4919		
Transamerica Life Insurance Company/Diversified Investors Securities Corp		4738			U.S. Brokerage, Inc.	USDB	0279Δ	0279†	CNS
Transamerica Life Insurance Company/Diversified Investors Securities Corp		4739			U.S. CA Securities LLC	USCA	0226Δ	0226†	CNS
Transamerica Life Insurance Company/Retirement Division		5768			U.S. Financial Investments, Inc	USFB	0595Δ	0595†	CNS
Transamerica Life Insurance Company/TLIAC		4543			U.S. Global Investors Funds		5442		
Transamerica Premier Life Insurance Company		4564			U.S. Sterling Securities, Inc.	USSI	0309Δ	0309†	CNS
Transamerica Premier Life Insurance Company/People Benefit Life Insurance Company		4565			UBS Financial Services INC of Puerto Rico	PWPR		0221†	CNS
Transcend Capital, LP	TRSC	0052Δ	0052†	CNS	UBS Financial Services Inc.	PWJC	0221	0221	CNS
Treasure Financial Corp.	TREA	0279Δ			UBS Financial Services Inc.		1896		
Triad Advisors, Inc.	TRID		0226†	CNS	UBS Financial Services Inc.	PTFI	0221Δ		
Triad Advisors, Inc.		6430			UBS Global Asset Management (US) Inc.		5795		
Triad Securities Corp	TIAN	0226Δ	0226†	CNS	UBS Global Asset Management (US), Inc./Offshore Funds		6510		
Triad Securities Corp	TIAB	2154Δ			UBS Global Asset Management (US), Inc./Puerto Rico Fund		5593		
Triangle Securities, LLC	TRIN		0141†	CNS	UBS Global Asset Management/Group Trust Funds		5603		
Tricor Financial, LLC	TCOR		0226†	CNS	UBS International, Inc.	UBII	0221Δ	0221†	CNS
T Trident Partners Ltd.	TRIP	0235Δ	0235†	CNS	UBS Securities Canada Inc./CDS	BUNT	5017●		
TriLinc Advisors, LLC		1092			UBS Securities LLC	UBSW	0642	0642	CNS
TriPoint Global Equities, LLC	TGEQ	0052Δ	0052†	CNS	UBS Securities LLC	UBSB	0642Δ		
Triune Capital Advisors, LLC	TRUN	0750Δ			UBS Securities, LLC	UBSC	0642Δ		
Troika Dialog USA, Inc.	TRKA	0443Δ	0443†	CNS	UBS Securities, LLC	UBSG	0642Δ		
Trubee, Collins & Co., Inc.	TRUB		0141†	CNS	UBS Securities, LLC	UBSS	0642Δ		
Trust Company of America		5981			UBS Securities, LLC	UBST	0642Δ		
Trustcore Investments, Inc.	TMII		0226†	CNS	UBS Securities, LLC	UBSX	0642Δ		
Trustmark National Bank		2852			Uhlmann Price Securities, LLC	UHLM	0235Δ		
Trustmont Financial Group, Inc.	CFGM	0235Δ	0235†	CNS	Ultimus Fund Distributors LLC/BPV Family of Funds				3768
Tryco Securities, Inc.	TRCO	0279Δ	0279†	CNS	Ultimus Fund Distributors LLC/EBS Funds				3094
Tullett Liberty Securities Inc.	PATR	0624	0624	CNS	Ultimus Fund Distributors LLC/Wavelength Funds				3052
Tullett Prebon Financial Services LLC	CHPP	0624Δ	0624†	CNS	Ultimus Fund Distributors, LLC				5837
Tuohy Brothers Investment Research, Inc.	TBRO	0103Δ			Ultimus Fund Distributors, LLC/Alphamark Investment Trust				5653
Turner (J.P.) & Co. LLC	JPTC	0158Δ	0158†	CNS	Ultimus Fund Distributors, LLC/Apex Funds				3342
Turner (J.P.) & Company, LLC	JPTS	0158Δ	0158†	CNS	Ultimus Fund Distributors, LLC/Barrow Street Funds				7974
21st Century Financial Services	TWFS		0188†	CNS	Ultimus Fund Distributors, LLC/Berwyn Funds				5605
Twenty-First Securities Corporation	TFSC	0235Δ	0235†	CNS	Ultimus Fund Distributors, LLC/Cincinnati Asset Management Funds				3395
Two Sigma Securities, LLC	SOHO	0161Δ			Ultimus Fund Distributors, LLC/CM Advisors Family Of Funds				5730
U.S Bank N.A./U.S. Bank Municipal Securities Group	CMMB	2781	2781	CNS	Ultimus Fund Distributors, LLC/Davenport & Company				5567
U.S. Bancorp Fund Services, LLC		1869			Ultimus Fund Distributors, LLC/Edge Funds				3120
					Ultimus Fund Distributors, LLC/Flippin Bruce & Porter Funds				5733

Alphabetical Reference

November 2014

Ultimus Fund Distributors, LLC/Gardner Lewis Investment Trust	5888				UMB Distribution Services, LLC/Wasatch Advisors Fund Inc.				5773
Ultimus Fund Distributors, LLC/Government Street Funds	5732				UMB Distribution Services, LLC/Westport Funds				5598
Ultimus Fund Distributors, LLC/Hussman Strategic Growth Fund	5479				UMB Financial Services, Inc.	UMBF	0226Δ	0226+	CNS
Ultimus Fund Distributors, LLC/Jamestown Funds	5490				UMB Fund Services, Inc.				1036
Ultimus Fund Distributors, LLC/Lyrical Funds	7069				UMB Fund Services, Inc.				1155
Ultimus Fund Distributors, LLC/Papp Investment Trust	5114				UMB Fund Services, Inc.				1239
Ultimus Fund Distributors, LLC/Piedmont Investment Trust	6595				UMB Fund Services, Inc.				1442
Ultimus Fund Distributors, LLC/Profit Funds Investment Trust	6593				UMB Fund Services, Inc.				1460
Ultimus Fund Distributors, LLC/Schwartz Investment Trust	5830				UMB Fund Services, Inc.				1463
Ultimus Fund Distributors, LLC/Stadion Investment Trust	6692				UMB Fund Services, Inc.				1472
Ultimus Fund Distributors, LLC/Stralem Funds	5639				UMB Fund Services, Inc.				1486
Ultimus Fund Distributors, LLC/TFS Capital Investment Trust	5430				UMB Fund Services, Inc.				1534
Ultimus Fund Distributors, LLC/The Cutler Trust	3335				UMB Fund Services, Inc.				1793
Ultimus Fund Distributors, LLC/The First Western Funds	7003				UMB Fund Services, Inc.				1794
Ultimus Fund Distributors, LLC/The Investment House Funds	5558				UMB Fund Services, Inc.				1855
Ultimus Fund Distributors, LLC/WST Investment Trust	1325				UMB Fund Services, Inc.				1857
Ultralat Corporation		ULAT		0443+ CNS	UMB Fund Services, Inc.				1864
UMB Bank National Association	2451	UMBI	2451	TFT	UMB Fund Services, Inc.				1887
UMB Bank National Association/UMB Financial Services, Inc.	5988				UMB Fund Services, Inc.				1966
UMB Bank, N.A.	2450				UMB Fund Services, Inc.				1984
UMB Distribution Services LLC/Aspiriant Funds	3369				UMB Fund Services, Inc.				2853
UMB Distribution Services LLC/FPA Funds	5851				UMB Fund Services, Inc.				3132
UMB Distribution Services, LLC	4854				UMB Fund Services, Inc.				3134
UMB Distribution Services, LLC/Comerica Collective Investment Funds	5943				UMB Fund Services, Inc.				3410
UMB Distribution Services, LLC/Commonwealth International Series Trust	4878				UMB Fund Services, Inc.				3436
UMB Distribution Services, LLC/Giant 5 Funds	6534				UMB Fund Services, Inc.				3447
UMB Distribution Services, LLC/Green Century Funds	6676				UMB Fund Services, Inc.				3504
UMB Distribution Services, LLC/Marsico Investment Funds	5728				UMB Fund Services, Inc.				3868
UMB Distribution Services, LLC/Stewart Capital Advisors	6599				UMB Fund Services, Inc.				3869
UMB Distribution Services, LLC/Vericimetry	3761				Underhill Securities Corp	USCO	0052Δ	0052+	CNS
					Unibanco Securities Inc	UNIB		0443+	CNS
					Unicredit Capital Markets, Inc.	BVCM	0443Δ	0443+	CNS
					Unified Financial Securities, Inc.				4965
					Unified Financial Securities, Inc./1492 Funds				3797
					Unified Financial Securities, Inc./Angel Oak Family of Funds				5147
					Unified Financial Securities, Inc./API Trust Fund				4972
					Unified Financial Securities, Inc./Appleseed Fund				5286
					Unified Financial Securities, Inc./Auer Growth Funds				5290
					Unified Financial Securities, Inc./BFS Funds				7990
					Unified Financial Securities, Inc./BRC Funds				7028
					Unified Financial Securities, Inc./Cloud Capital Funds				3729
					Unified Financial Securities, Inc./Crawford Funds				5296
					Unified Financial Securities, Inc./Dana Funds				7995
					Unified Financial Securities, Inc./Dean Family of Funds				4927



Alphabetical Reference

November 2014

Unified Financial Securities, Inc./Dreman Fund		5418			(The)				
Unified Financial Securities, Inc./Epicurus Mexico Fixed Income Fund		3039			Universal Life Insurance Company		6497		
Unified Financial Securities, Inc./FBO Alta Trust		5287			UOB Global Capital (Dublin) Limited		3393		
Unified Financial Securities, Inc./FBO Roosevelt Funds		4725			Upromise Investments, Inc.		5704		
Unified Financial Securities, Inc./Golub Group		5306			Upromise Investments, Inc./Envision		3031		
Unified Financial Securities, Inc./Granite Funds		3790			Upromise Investments, Inc./Phoenix Platform Account		5670		
Unified Financial Securities, Inc./Green Owl Funds		3774			US Bancorp Fund Services LLC		1038		
Unified Financial Securities, Inc./Hirtle Callaghan Trust		6574			US Bancorp Fund Services LLC		1449		
Unified Financial Securities, Inc./Huntington Fund		5832			US Bancorp Fund Services LLC		1451		
Unified Financial Securities, Inc./Huntington National Bank		3712			US Bancorp Fund Services LLC		1452		
Unified Financial Securities, Inc./Iron Funds		5301			US Bancorp Fund Services LLC		1737		
Unified Financial Securities, Inc./LS Opportunity Fund		5380			US Bancorp Fund Services LLC		1757		
Unified Financial Securities, Inc./Martin Funds		3303			US Bancorp Fund Services LLC		1873		
Unified Financial Securities, Inc./Meritage Funds		1391			US Bancorp Fund Services LLC		1874		
Unified Financial Securities, Inc./Spouting Rock Funds		3141			US Bancorp Fund Services LLC		1880		
Unified Financial Securities, Inc./Symons Funds		5307			US Bancorp Fund Services LLC		1942		
Unified Financial Securities, Inc./Toreador Funds		5308			US Bancorp Fund Services LLC		1945		
Unified Trust Company, National Association		5983			US Bancorp Fund Services LLC		3427		
Union Bank and Trust Company Nebraska		2067			US Bancorp Fund Services LLC		3462		
Union Bank N.A.	UBOC		2851	TFT	US Securities International Corp.	USIC		0226+	CNS
Union Capital Company	IVOL	0235Δ	0235+	CNS	USAA Financial Advisors, Inc.	LIIS		0226+	CNS
Union Gaming Advisors, LLC	UGAM	0443Δ			USAA Investment Management Co.		0367		
UnionBanc Investment Services, LLC			0226+	CNS	USAA Investment Management Company	USAA	0226Δ	0226+	CNS
United Bankers Bank	UBKR		6732	TFT	USAA Investment Management Company		5935		
United Brokerage Services, Inc.	UBSI		0141+	CNS	USI Securities, Inc.	USIS		0226+	CNS
United Capital Markets, Inc.	UCMI	0443Δ	0443+	CNS	Uvest Financial Services Group, Inc.	UVST		0443+	CNS
United Capital Markets, Inc.	UCML	0052Δ			Valdes & Moreno, Inc.	TORO	0309Δ	0309+	CNS
United Equity Securities, LLC	PFML		0226+	CNS	Valic Financial Advisors, Inc.		0542		
United First Partners, LLC	UFPA	0501Δ			Valic Financial Advisors, Inc./Account 2		0681		
United of Omaha Life Insurance Company		6027			Valley Forge Asset Management Corporation	VLYF		0443+	CNS
United Planners Financial Services of America	UPLN	0443Δ	0443+	CNS	Valley Forge Fund, Inc.		3611		
United Planners Financial Services of America		6008			Valley National Investments, Inc.	VALI		0226+	CNS
United Realty Trust Incorporated		1773			Valmark Securities, Inc.	VALM	0235Δ	0235+	CNS
United States Life Insurance Company in the City of New York		4531			Valmark Securities, Inc.		0121		
					Valores Finamax International, Inc.	FINA	0352Δ		
					Valueworks Limited Partners, LP		1163		
					Van Clemens & Co., Inc.	VCLM	0279Δ	0279+	CNS
					Van Eck Sec Corp/VIP Trust		4977		
					Van Eck Securities Corporation		5524		
					Van Eck Securities Corporation/Van Eck Switzerland AG		7070		
					Van Kampen Funds, Inc.	ZEDD	0099Δ		
					Vanderbilt Securities, LLC	VBLT		0226+	CNS
					Vandham Securities Corp.	VNDM	0161Δ	0161+	CNS
					Vandham Securities Corp.	VNDS	0161Δ	0161+	CNS
					Vanguard Capital	VCAP	0443Δ	0443+	CNS
					Vanguard Fiduciary Trust Company		5972		
					Vanguard Fiduciary Trust Company/Investment Program Accounting		1390		
					Vanguard Marketing Corp./Vanguard Investments Series PLC Funds		4996		
					Vanguard Marketing Corporation	VGRD	0062	0062	CNS

Alphabetical Reference

November 2014

Vanguard Marketing Corporation		5772			Voya Retirement Insurance and Annuity Company/VOYAVA		4635		
Variable Annuity Life Insurance Company (The)		6455			VP Distributors, LLC		5517		
Variant Research Corporation	VARI	0352Δ	0352†	CNS	VP Distributors, LLC/Virtus Global Funds PLC		3766		
Vasilou & Company Inc.	VASL	0352Δ	0352†	CNS	VP Distributors, LLC/VVIT Series		3764		
Vaughan & Co. Securities, Inc.	VCSI		0443†	CNS	VPE Wertpapierhandelsbank AG	VPEW	0158Δ	0158†	CNS
VBC Securities	VBCS		0279†	CNS	VSR Financial Servcies, Inc.		2615		
VCA Securities, LP	VCAS	0352Δ	0352†	CNS	VSR Financial Services, Inc.	VSRF	0141Δ	0141†	CNS
VCM Securities, LLC	VCMS		0443†	CNS	VTB Capital Inc.	VTBI	0443Δ		
Vectormex WMG, Inc.	VMEX	0352Δ	0352†	CNS	W.D. Latimer Company LTD./CDS	WDLF	5078●		
Vega-Chi US Limited	VEGA		0443†	CNS	W.H. Reaves & Co., Inc	REAV	0443Δ	0443†	CNS
Veritas Securities Corp.	VRTS	0100Δ			W.P. Carey & Co. LLC		1035		
Vertical Management Systems, Inc./TPA		7122			W.P. Carey & Co. LLC		3663		
Vertical Trading Group, LLC (The)	VERT	2154Δ	0161†	CNS	W.P. Carey & Co. LLC		3667		
Vest (H.D.) Investment Securities, Inc.		0268			W.P. Carey & Co. LLC		3672		
VFG Securities, LLC	VFGS	0750Δ	0750†	CNS	W.P. Carey & Co. LLC		3678		
vFinance Investments, Inc.	VFIN	0226Δ	0226†	CNS	W.P. Carey & Co. LLC		3679		
Victor Securities, Inc.	PEMA	0551Δ			W.R. Hambrecht + Co., LLC	HAMR	0235Δ	0235†	CNS
ViewTrade Securities, Inc.	VTDT	0158Δ	0158†	CNS	W.R. Hambrecht + Co., LLC	HMRB		0235†	CNS
Viewtrade Securities, Inc.	VIEW	0595Δ	0595†	CNS	W.R. Taylor & Company, LLC	WRTC	0750Δ	0750†	CNS
ViewTrade Securities, Inc.	VTSB	2154Δ			Wachovia Securities Financial Network, LLC	FNET	0141Δ	0141†	CNS
Vining-Sparks IBG, L.P.	VSLP		6043	TFT	Wachtel & Co., Inc.	WACL	0709	0709	TFT
Virtu Financial BD LLC	VRTU	0063			Waddell & Reed, Inc.		0687		
Virtu Financial BD LLC	VIRT	0063Δ			Waddell & Reed, Inc.		4879		
Virtu Financial Capital Markets LLC	EWTT	0749			Wade (G.W.) Asset Management Company, Inc.	GWWD		0226†	CNS
Virtus Real Estate, LLC		1799			Wall Street Access	WABR	0443Δ	0443†	CNS
Vision Brokerage Services, LLC	VBSL	0595Δ			Wall Street Access	WSAG	0824Δ		
Vision Financial Markets LLC	VSIN	0595	0595	CNS	Wall Street Financial Group	WSFG		0226†	CNS
Vision Investment Services, Inc.	VISI		0443†	CNS	Wall Street Management Corporation	WSMC		0443†	CNS
Vista Securities, Inc.	VSTS	0279Δ	0279†	CNS	Wall Street Money Center Corp.	WAMC	0750Δ		
Volant Liquidity, LLC	BZXL	0695Δ			Wallach Beth Capital LLC	WBET	0161Δ		
Voya Financial Advisors, Inc.		0492			Wallstreet E Financial Services Inc.		0052Δ		
Voya Financial Advisors, Inc./LSSI		0465			Walnut Street Securities	WNUT		0443†	CNS
Voya Insurance and Annuity Company		4506			Walnut Street Securities, Inc.	WNUT	0443Δ		
Voya Insurance and Annuity Company/Mutual Funds Trading		4510			Walthausen Funds		5595		
Voya Insurance and Annuity Company/Voya Annuity and Asset		4675			Walton International Group (USA), Inc.		3472		
Voya Investments Distributor, LLC		5734			Wang Investment Associates, Inc.	WANG	0279Δ	0279†	CNS
Voya Investments Distributor, LLC/Iowa Advisor 529 Plan		7065			Wang Investment Associates, Inc.	SOGO	0158Δ		
Voya Investments Distributor, LLC/Voya IODC		5859			Ward (K.C.) Financial	KCWF	0052Δ	0052†	CNS
Voya Investments Distributor, LLC/Wisconsin Tomorrow's Scholar 529 Plan		3379			Ward's Financial Services, Inc.	WARF		0235†	CNS
Voya Retirement Advisors, LLC		0291			Warner Group Inc. (The)	WRGR	0235Δ	0235†	CNS
Voya Retirement Insurance and Annuity Company		4508			Warren D. Nadel & Company	NADL	0235Δ	0235†	CNS
Voya Retirement Insurance and Annuity Company/Fund SERV/Trading		4575			Washington Securities Corporation	WSCC	0235Δ	0235†	CNS
Voya Retirement Insurance and Annuity Company/Retirement (Sub)		7026			Waterford Investors Services, Inc.	WTRI	0235Δ	0235†	CNS
Voya Retirement Insurance and Annuity Company/Voya Annuity		4740			Watermill Institutional Trading, LLC	WMLL	0501Δ		
					Waterstone Financial Group, Inc	WFGP	0075Δ		
					Watkins Financial Services, Inc.	SALT	0750Δ		
					Wayne Hummer Investments LLC	WAYN	0141Δ	0141†	CNS
					Wayne Hummer Investments LLC		0196		
					Waypoint Residential, LLC		1482		
					WBB Securities, LLC	WBBC	0226Δ	0226†	CNS
					Wealthfront Brokerage Corporation	KCBC	0017Δ		
					Wealthfront Brokerage Corporation	WFBC	0158Δ		
					Weckstein (D.) & Co., Inc.	WECK	0595Δ	0595†	CNS

Alphabetical Reference

November 2014

Wedbush Morgan Securities, Inc.	IBKW	0017Δ			Wells Nelson & Associates, LLC	WELL	0309Δ	0309†	CNS
Wedbush Morgan Securities, Inc.	HBIQ	0103Δ			Wentworth Securities, Inc.	WWTH	0750Δ		
Wedbush Morgan Securities, Inc.	WEDP	0103Δ			Wesbanco Securities, Inc.	CBII		0443†	CNS
Wedbush Morgan Securities, Inc.	WMGT	0103Δ			Wescorp Investment Services, LLC	WCIS		0443†	CNS
Wedbush Morgan Securities, Inc.	WMMO	0103Δ			West America Securities Corp.	WUSA	0750Δ		
Wedbush Morgan Securities, Inc.	WMRA	0103Δ			Western Equity Group, Inc.	WEGP	0235Δ	0235†	CNS
Wedbush Morgan Securities, Inc.	WMSR	0103Δ			Western Financial Corporation	WEFI	0103Δ	0103†	CNS
Wedbush Morgan Securities, Inc.	WMLF	0330Δ			Western International Securities, Inc.	WISW	0103Δ	0103†	CNS
Wedbush Morgan Securities, Inc.	WEDE	0355Δ			Western International Securities, Inc.	WISI	0352Δ	0352†	CNS
Wedbush Morgan Securities, Inc.	LIFW	0695Δ			Western International Securities, Inc.		0635		
Wedbush Morgan Securities, Inc.	WMSS	0695Δ			Western Pacific Securities, Inc.	WEPA	0750Δ		
Wedbush Securities Inc.	WEDB	0103	0103	CNS	Western Reserve Life Assurance Company of Ohio		4567		
Wedbush Securities Inc.	WMIT	0099Δ			Western-Southern Life Assurance		4542		
Wedbush Securities Inc.	WBJB	0103Δ			Western-Southern Life Assurance Co/Columbus Life Insurance Co		4614		
Wedbush Securities Inc.	WBLL	0103Δ			Western-Southern Life Assurance Co/Variable Annuity Business		5993		
Wedbush Securities Inc.	WETF	0103Δ			Westhoff Cone & Holmstedt	WCAH		0309†	CNS
Wedbush Securities Inc.	WMEU	0103Δ			Westminster Securities Corporation	WSWW		0443†	CNS
Wedbush Securities Inc.	WMLP	0103Δ			Weston Securities Corporation		5737		
Wedbush Securities Inc.	WMSF	0103Δ			Westpark Capital, Inc.	WPCC	0052Δ	0052†	CNS
Wedbush Securities Inc.	WMLT	0158Δ			Westport Capital Markets, LLC	WCMS	0352Δ	0352†	CNS
Wedbush Securities Inc.	WABN	0396Δ			Westport Resources Investment Services, Inc.	WRIS	0443Δ	0443†	CNS
Wedbush Securities Inc.	WLSC	0396Δ			Westrock Capital Management, Inc.	WSRK	0750Δ	0750†	CNS
Wedbush Securities Inc.	WMLK	0512Δ			WFG Investments, Inc.	WMBU	0226Δ	0226†	CNS
Wedbush Securities Inc.	WSLT	0695Δ			WFG Investments, Inc.		6014		
Wedbush Securities Inc./P3	WSGD	8199	8199	CNS	Wharton Equity Corporation	WHAE		0158†	CNS
Wedbush Securities Inc./Stock Loan		5166			Whipple (J.N.) Inc.	JNWS		0443†	CNS
Wedgewood Partners, Inc.	WGWD		0158†	CNS	Whitaker Securities, LLC	WHCG	0443Δ	0443†	CNS
Weeden & Co. L.P.	WEED	0161Δ	0161†	CNS	Whitaker Securities, LLC	WTKR	0443Δ	0443†	CNS
Weeden Prime Services, LLC.	WPSX	0824Δ			White Mountain Capital, LLC	WMCL	0352Δ	0352†	CNS
Weil Company, Inc. (The)	WEIL		0226†	CNS	White, Weld & Co. Securities, LLC	WELD	0443Δ	0443†	CNS
Weitz Investment Management, Inc.		5769			Whitehall-Parker Securities, Inc.	QWER		0443†	CNS
Weller, Anderson & Co., Ltd.	WACC		0279†	CNS	Whiteweld Trading, LLC	WWLD	0647Δ		
Wellington Shields & Co., LLC	WESC	0141Δ	0141†	CNS	Whitman (M.J.) & Co., Inc.	MJWH	0352Δ	0352†	CNS
Wellington Shields & Co., LLC	MDWD	0750Δ	0750†	CNS	Whitman (M.J.), LLC		5829		
Wellington Trust Company, N.A.		6517			Whitney National Bank	WTNY		6414	TFT
Wells Fargo Advisors, LLC	WRET	0141Δ	0141†	CNS	Whotrades, Inc.	WHOT	0595Δ	0595†	CNS
Wells Fargo Advisors, LLC		7360			WIC Corp.	WHIT		0279†	CNS
Wells Fargo Bank N.A./Wells Fargo Collective Funds		5186			Wilbanks Securities, Inc.	WILB	0235Δ	0235†	CNS
Wells Fargo Bank, N.A.		6766			Wiley Bros.-Aintree Capital, LLC	WBRO	0443Δ	0443†	CNS
Wells Fargo Bank, N.A.		7115			William Blair & Company LLC/William Blair Investment Funds		3131		
Wells Fargo Bank, N.A./SIG	WBNA	2072	2072	CNS	William Penn Life Insurance Company Of New York		7977		
Wells Fargo Bank, N.A./Wachovia		0929			Williams Capital Group, L.P. (The)	WLMS	0443Δ		
Wells Fargo Bank, NA TR Recordkeeping Group		2195			Williams Trading, LLC	WTCO	0501Δ	0050?	CNS
Wells Fargo Bank, National Association		2027			Willis Securities, Inc.	WSEC		0443†	CNS
Wells Fargo Brokerage Services, LLC	NORW	0250Δ	0250†	CNS	Willow Cove Investment Group, Inc.	WCIG	0750Δ	0750†	CNS
Wells Fargo Funds Distributor, LLC		5576			Wilmington Capital Securities, LLC	WCSC	0235Δ	0235†	CNS
Wells Fargo Funds Distributor, LLC/Wells Fargo(Lux) Worldwide		5936			Wilmington Trust Company		2215		
Wells Fargo Institutional Securities, LLC	WFIS	0250Δ	0250†	CNS	Wilmington Trust Company		4894		
Wells Fargo Prime Services, LLC	WFPB	0250Δ	0250†	CNS	Wilmington Trust Company/Wilmington Trust Retirement & Institutional Services Company		0068		
Wells Fargo Securities, LLC	WCHV	0250	0250	CNS	Wilmington Trust Company/WTRIS		3311		
Wells Fargo Securities, LLC	WELX	0250Δ							
Wells Fargo Securities, LLC	WEMM	0250Δ							
Wells Fargo Securities, LLC	WFGO	0352Δ							

Alphabetical Reference

November 2014

TPS					YieldQuest Securities, LLC	YQST		0279+	CNS
Wilson-Davis & Co., Inc.	WDCO	0283			Young Stovall & Company	YOST	0235Δ	0235+	CNS
Wilson-Davis & Company, Inc.	WDAC	0279Δ	0279+	CNS	Zacks & Company	ZACK	0352Δ	0352+	CNS
Windham Financial Services Inc.	WFSI	0352Δ	0352+	CNS	Zeus Securities, Inc	ZEUS	0309Δ		
Windsor, Sheffield & Company, Inc.	WISC	0235Δ	0226+	CNS	Ziegler (B.C.) & Company	BCZC	0443Δ	0443+	CNS
Winslow, Evans & Crocker Inc.	WYNS	0443Δ	0443+	CNS	Ziegler (B.C.) & Company		0753		
Winslow, Evans & Crocker Inc.		0332			Zions Direct, Inc.	ZION		0065	CNS
Wisconsin Discount Securities Corp.	WIDS	0279Δ	0279+	CNS	Zions Direct, Inc.	ZDNF		0226+	CNS
WM Financial Services, Inc.	MRPH		0226+	CNS	Zions First National Bank	ZFNB	2104	2104	TFT
WM Financial Services, Inc.		4310			ZIV Investment Co.	ZIVI	8082	8082	CNS
WM Smith & Co.	WSSS	0443Δ			Zoullas (N.B.) Securities, Inc.	ZOUL	0352Δ		
WNJ Capital, Inc	WNJC	0309Δ	0309+	CNS	Zurich American Life Insurance Company		4529		
Wolfe Research Securities	WOLF	0100Δ			Zurich American Life Insurance Company/Destinations		4578		
Wolverine Execution Services LLC	WEXM	0161Δ							
Wolverine Execution Services LLC	WEXI	0501Δ							
Wolverine Execution Services LLC	WEXX	0501Δ							
Wolverine Execution Services, LLC	WEXL	0501Δ							
Wolverine Execution Services, LLC	XXEW	0501Δ							
Wolverine Execution Services, LLC	WEXA	0695Δ							
Wolverton Securities (USA), Ltd.	WTOU	0052Δ	0052+	CNS					
Wolverton Securities Ltd./CDS	WTOF	5079●							
Woodbury Financial Services, Inc.		0510							
Woodfield Fund Administration, LLC		1651							
Woodfield Fund Administration, LLC		1795							
Woodfield Fund Administration, LLC		1848							
Woodfield Fund Administration, LLC		1851							
Woodfield Fund Administration, LLC		2968							
Woodlands Securities Corp.	WODL		0279+	CNS					
Woodmen Financial Services, Inc.		6004							
Woodstock Financial Group Inc.	RDNK	0279Δ	0279+	CNS					
Woori Investment & Securities America, Inc.	LGSA	0158Δ	0443+	CNS					
Worden Capital Management, LLC	WORD	0052Δ							
Wordentrade, Inc.	WRDN	0017Δ							
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 Equity Group, Inc.	WEGE	0443Δ							
World First Financial Services, Inc.	MDEB		0141+	CNS					
World Trade Financial Corporation	WORL	0052Δ	0052+	CNS					
World Trade Financial Corporation	WORX	0052Δ	0052+	CNS					
WR Rice Financial Services, Inc.	WRRF	0750Δ	0750+	CNS					
WRP Investments, Inc.	WRPI	0750Δ	0750+	CNS					
WRP Investments, Inc.		4312							
Wulff Hansen & Co.	WHCO		0443+	CNS					
Wunderlich Securities, Inc.	WUND	0141Δ	0141+	CNS					
Wunderlich Securities, Inc.	WNDR	0161Δ	0161+	CNS					
Wunderlich Securities, Inc.	FUND	0226Δ	0226+	CNS					
Wunderlich Securities, Inc.	WUNT		0226+	CNS					
Wunderlich Securities, Inc.		0926							
Wynston Hill Capital, LLC	EXTF	0235Δ	0235+	CNS					
Xambala Capital, LLC	XBLA	0103Δ							
XCU Capital Corp.	EXCU	0443Δ	0443+	CNS					
XEROX HR Solutions, LLC		7102							
XP Securities, LLC	XPUS	0443Δ							
Yankee Advisers LLC		1885							