

Broker/Dealer Name
1ST DISCOUNT BROKERAGE, INC
AARON CAPITAL, INC
ACCELERATED CAPITAL GROUP
ADVANTAGE CAPITAL CORPORATION
ADVISORY GROUP EQUITY SERVICES
AFS Brokerage, Inc.
AIG FINANCIAL ADVISORS, INC.
ALEXANDER CAPITAL, L.P.
ALEXANDER INVESTMENT SERVICES CO.
Allegiant Financial
American Portfolios Financial Services, Inc.
Ameritas Investment Corp*
AMVEST SECURITIES, INCORPORATED
Andrew Garrett, Inc.
Aon Securities Corporation
ARVEST ASSET MANAGEMENT
Askar Corporation
Assist Investment Management Co, Inc.
AUSDALE FINANCIAL PARTNERS, INC.
Avalon Investments
AXA ADVISORS, LLC
AXA NETWORK, LLC
BANCNORTH INVESTMENT GROUP, INC
BANKERS & INVESTORS CO.
BERTHEL FISHER & COMPANY FINANCIAL SVCS INC.
Bozarth, Newton & Murphy Securities, Inc.
BPU Investment Management, Inc.
Broker Dealer Financial Services Corp
Brokers International Financial Services, LLC
BROOKSTONE SECURITIES, INC.
Cadaret Grant and Company
CALDWELL INTERNATIONAL SECURITIES
Calton & Associates, Inc.
CAMBRIDGE INVESTMENT RESEARCH, INC.
CapFinancial Partners LLC
Capital Analysts Incorporated
CAPITAL FINANCIAL SERVICES
CAPITAL GUARDIAN, LLC
Capital Strategies LTD
Capital Synergy Partners, Inc.
Carter, Terry & Company, Inc.
CARTY & COMPANY, INC.
CBIZ Financial Solutions, Inc.
CENTAURUS FINANCIAL, INC.
CENTER STREET SECURITIES
COMMONWEALTH EQUITY SERVICES
Comprehensive Asset Management Company
Coordinated Capital Securities, Inc.
CORRELL CO. INVESTMENT SERVICES
CROWN CAPITAL SECURITIES
CUTTER AND COMPANY

DAVINCI CAPITAL MANAGEMENT
Delta Trust Investments
DEMPSEY LORD SMITH, LLC
DFC Investor Services
D.A. DAVIDSON & CO.
EAGLE ONE INVESTMENTS, LLC
ENSEMBLE FINANCIAL SERVICES
Equity Services, Inc.
ESSEX SECURITIES LLC
FEDERATED SECURITIES, INC
FELTL & COMPANY
FINANCIAL ADVISERS OF AMERICA LLC
Financial Network Investment Corporation
Financial Telesis, Inc.
FINANCIAL WEST GROUP
FIRST ALLIED SECURITIES INC
FIRST CITIZENS FINANCIAL PLUS, INC.
FIRST CITIZENS INVESTOR SERVICES, INC.
FIRST FINANCIAL EQUITY CORPORATION
First Heartland Capital
FIRST MIDAMERICA INVESTMENT CORPORATION
First St. Louis Securities, Inc.
First Union Securities (Wheat First Union)
Fitzmaurice Investment Management Services, LLC
FMN CAPITAL CORPORATION
FORTUNE FINANCIAL SERVICES, INC.
Foster Financial Group (Planned Benefits, Inc.)
FSC Securities Corp.
Gardner Financial Services, Inc.
GENEOS WEALTH MANAGEMENT, INC.
Girard Securities
GOLD COAST SECURITIES, INC.
Granite Securities, LLC
Greystone Securities
GUARANTY BROKERAGE SERVICES
GUNNALLEN FINANCIAL, INC
GWN Securities, Inc.
GWR Investments
G.A. Repple & Company
G.L.S. & Associates, Inc.
HANCOCK SECURITIES GROUP
HARBOR FINANCIAL SERVICES, LLC
HARBOR LIGHT SECURITIES, LLC
Harbour Investments, Inc.
HARVEST CAPITAL LLC
HAZARD & SIEGEL, INC.
Honor, Townsend & Kent*
Hub International Midwest Limited
HUNTLEIGH SECURITIES CORPORATION
H. Beck
INDEPENDENCE CAPITAL COMPANY INC
INDEPENDENT FINANCIAL GROUP, LLC

INFINEX INVESTMENTS, INC.
ING FINANCIAL ADVISERS
ING Financial Partners
INSPHERE SECURITIES, INC.
INSTITUTIONAL SECURITIES CORPORATION
Intercarolina Financial Srvcs, Inc.
Intersecurities, Inc
Intervest International
INVERNESS SECURITIES LLC
Invest Financial Corporation
INVESTACORP, INC.
Investment Centers of America*
Investment Network, Inc.
INVESTMENT PLANNERS, INC
INVESTORS BROKERAGE OF TEXAS
INVESTORS CAPITAL CORP
Investors Security Co., Inc.
Iron Street Securities
Janney Montgomery Scott LLC
JEFFERSON PILOT SECURITIES CORPORATION*
JHS CAPITAL ADVISORS INC
J.W. COLE FINANCIAL, INC
Kalos Capital Incorporated
KCD Financial, Inc.
KENAI INVESTMENTS, INC.
Kirkpatrick Pettis Smith
Kirkpatrick Pettis Trust Company
KMS FINANCIAL SERVICES
Kovack Securities
L & M SECURITIES COMPANY, INC.
LASALLE ST SECURITIES LLC
LEGEND EQUITIES CORPORATION
LEONARD AND COMPANY
LF FINANCIAL, LLC
LIBERTY PARTNERS FINANCIAL SERVICES
Lifemark Securities, Inc.
Lincoln Financial Advisors Corporation
LINCOLN FINANCIAL SECURITIES CORPORATION
LINCOLN INVESTMENT PLANNING, INC.
LOCKTON FINANCIAL ADVISORS
LPL Financial Services (Linsco Private Ledger)
L.M. Kohn & Co
M Holdings Securities, Inc.
MADISON AVENUE SECURITIES, INC.
MAIN STREET SECURITIES, LLC
Marsh & McLennan Securities Corporation
Merrimac Corporate Securities, Inc.
METLIFE SECURITIES, INC..
Metropolitan Life Insurance Company
MHA Financial Corp
Michigan Securities, Inc.
Midwestern Securities Trading Company

MMC Securities Corp/Marsh
MOLONEY SECURITIES CO., INC.
MONY Securities Corporation
MORGAN KEEGAN & COMPANY, INC
MORGAN PEABODY, INC.
Multi Financial Securities Corp
Mutual of Omaha Investor Services
Mutual Service Corp
Nathan Lewis Securities
National Planning Corp
NATIONAL SECURITIES CORPORATION
New England Securities, Inc.
New York Life
Newbridge Securities Corp.
Next Financial Group, Inc.
NFP Securities
NORTHSTAR FINANCIAL PARTNERS, INC
NRP FINANCIAL
Nutmeg Securities, Ltd.
OAK RIDGE FINANCIAL SERVICES GROUP, INC
OFG FINANCIAL SERVICES, INC.
Ogilvie Security Advisors Corp
Oppenheimer & Co
PACIFIC WEST SECURITIES INC
Packerland Brokerage Services, Inc.
Palmer & Cay Securities Corp.
Pan-American Financial Services
PARK AVENUE SECURITIES (SERVICE ONLY)
Pension Planners Securities, Inc.
Piper Jaffray
Premier Financial Services, Inc.
Primevest Financial Services
Princor Financial Services Corp
Pro-Equities, Inc.
PURSHE KAPLAN STERLING INVESTMENTS
QA3 FINANCIAL CORPORATION
QUEST CAPITAL STRATEGIES, INC.
Questar Capital Corp
R F LAFFERTY & CO, INC.
Rampart Financial Services, Inc.
Raymond James & Associates, Inc.
Raymond James & Associates, Inc.
RBC DAIN RAUSCHER INC. (RBC CAPITAL MARKETS CORP)
Regis Securities Corporation
REGISTER FINANCIAL ASSOCIATES, INC
Resource Horizons Group, LLC
RIDGEWAY & CONGER, INC
RMIN SECURITIES, INC.
ROBERT W. BAIRD AND COMPANY
Royal Alliance Association
R. F. LAFFERTY & CO, INC
SAGEPOINT FINANCIAL

Sammons Securities Co LLC
SANDERS MORRIS HARRIS INC
SCOTT & STRINGFELLOW, INC.
SECURE PLANNING, INC.
SECURIAN FINANCIAL SERVICES, INC.
Securities America
Securities Service Network Inc.
SHEARSON FINANCIAL SERVICES, LLC
SIGMA Financial Corporation
SII Investments, Inc. affiliated agency Jackson National Life
SII Investments, Inc. affiliated agency National Planning Corporation
Smith Hayes
Source Capital Group
SPECTRUM CAPITAL, INC.
Strand, Atkinson, Williams & York
SUMMIT BROKERAGE SERVICES, INC.
SUMMIT EQUITIES, INC
Sunset Financial Services (Division of KC Life)
SYMETRA INVESTMENT SERVICES
SYMPHONIC SECURITIES LLC
TFS SECURITIES, INC.
The Advisor's Group
THE ENTERPRISE SECURITIES COMPANY
THE LEADERS GROUP
The O.N. Equity Sales Company
THE STRATEGIC FINANCIAL ALLIANCE, INC.
THOMAS MCDONALD PARTNERS, LLC
Thurston Springer Miller Herd & Titak, Inc.
Tower Square Securities, Inc
TPP Retirement Plan Specialist, LLC
TRANSAM SECURITIES, INC.
TRANSAMERICA FINANCIAL ADVISORS
Triad Advisors, Inc.
UNITED EQUITY SECURITIES LLC
United Planners Services of America
USA ADVANCED PLANNERS INC.
USI Securities, Inc.
UVEST Financial Services
U.S. WEALTH ADVISORS, LLC.
Valmark Securities
VISION INVESTMENT SERVICES INC
VSR Financial Services
Walnut Street Securities
WARNER GROUP, INC.
Waterstone Financial Group
WESPORT RESOURCES
WESTERN INTERNATIONAL SECURITIES, INC.
WESTMINSTER FINANCIAL SECURITIES
Windward Securities Corp.
WOODBURY FINANCIAL SERVICES
WOODMEN FINANCIAL SERVICES, INC.
WOODSTOCK FINANCIAL GROUP, INC.

Workman Securities
WORLD CAPITAL BROKERAGE, INC.
World Choice Securities, Inc.
WORLD EQUITY GROUP, INC.
WRP Investments
WUNDERLICH SECURITIES, INC.
W.S. Griffith

Status	Secured Date	Companion
Secured	11/19/09	Yes
Secured	05/05/11	Yes
Secured	04/07/11	Yes
Secured	05/27/08	Yes
Secured	06/09/08	Yes
Secured	01/11/07	No
Secured	07/24/07	Yes
Secured	06/16/08	Yes
Secured	08/20/07	Yes
Secured	03/29/07	No
Secured	06/07/07	Yes
Secured	02/07/02	No
Secured	03/26/07	No
Secured	08/01/07	Yes
Secured	01/01/99	No
Secured	08/14/09	Yes
Secured	01/31/02	No
Secured	11/23/01	No
Secured	10/28/09	Yes
Secured	11/02/01	No
Secured	03/03/09	Yes
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Secured	03/12/08	Yes

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