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Dated: October 19, 2012.

Kevin M. O'Neill,
Deputy Secretary.

[FR Doc. 2012-26254 Filed 10-24-12; 8:45 am]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

[Release No. IA-3490; October 19, 2012]

Notice of Intention To Cancel Registrations of Certain Investment Advisers Pursuant to the Investment Advisers Act of 1940

Notice is given that the Securities and Exchange Commission (the "Commission") intends to issue an order or orders, pursuant to Section 203(h) of the Investment Advisers Act of 1940 (the "Act"), cancelling the registrations of the investment advisers whose names appear in the attached Appendix, hereinafter referred to as the registrants.

Background

On July 21, 2010, President Obama signed into law the Dodd-Frank Wall Street Reform and Consumer Protection Act ("Dodd-Frank Act") which, among other things, amended certain provisions of the Act.¹ These amendments included provisions that delegate generally to the states regulatory responsibility over certain mid-sized advisers—i.e., those that have between \$25 million and \$100 million of assets under management.² These provisions and related rule amendments required a significant number of advisers registered with the Commission to withdraw their registrations with the Commission and to switch to registration with one or more state securities authorities.³

To implement the division of regulatory responsibility mandated by the Dodd-Frank Act, the Commission

adopted rule 203A-5 under the Act.⁴ Rule 203A-5 required each investment adviser registered with the Commission to file an amended Form ADV in the first quarter of 2012 indicating whether it remained eligible for registration by the Commission. The rule also extended until June 28, 2012 the deadline for advisers no longer eligible for Commission registration to register with the states and withdraw registration with the Commission.⁵ In conjunction with adopting rule 203A-5 and other rules to implement the Dodd-Frank Act, the Commission stated that it expected to cancel the registration of advisers no longer eligible to register with the Commission that failed to file an amendment or withdraw their registrations in accordance with rule 203A-5.⁶

Discussion

Section 203(h) of the Act provides, in pertinent part, that if the Commission finds that any person registered under Section 203, or who has pending an application for registration filed under that section, is no longer in existence, is not engaged in business as an investment adviser, or is prohibited from registering as an investment adviser under section 203A, the Commission shall by order, cancel the registration of such person.⁷

Commission staff, in coordination with state securities regulators, contacted SEC-registered investment advisers before and after the filing deadlines to remind them of their filing obligations under rule 203A-5 and to withdraw from Commission registration by filing Form ADV-W if no longer eligible. The registrants listed in the Appendix either have not filed a Form ADV amendment with the Commission in 2012, or have indicated on Form ADV that they are no longer eligible to remain registered with the Commission as investment advisers but have not filed Form ADV-W to withdraw their registration. Accordingly, the Commission believes that reasonable grounds exist for a finding that these registrants are no longer in existence, are not engaged in business as investment advisers, or are prohibited from registering as investment advisers under section 203A, and that their registrations should be cancelled pursuant to section 203(h) of the Act.

Any registrant listed in the Appendix that wishes to file a Form ADV amendment indicating that it is eligible for registration or a Form ADV-W to withdraw its registration with the Commission may do so by December 17, 2012. The registrations of registrants whose amended Form ADVs are received by the Commission by December 17, 2012 will not be cancelled, and the registrations of registrants that file Form ADV-W will be withdrawn and will not be cancelled by a Commission order or orders. For more information or for questions about the inclusion of a registrant on this list, contact: Jennifer Porter, Senior Counsel or Melissa Rovers, Branch Chief at (202) 551-6787 (Division of Investment Management, Office of Investment Adviser Regulation).

Notice is also given that any interested person may, by December 17, 2012, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the cancellation of a registrant, accompanied by a statement as to the nature of his interest, the reason for such request, and the issues, if any, of fact or law proposed to be controverted, and he may request that he be notified if the Commission should order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, 100 F Street NE., Washington, DC 20549.

At any time after December 17, 2012, the Commission may issue an order or orders cancelling the registrations of any or all of the registrants listed in the Appendix, upon the basis of the information stated above, unless an order or orders for a hearing on the cancellation shall be issued upon request or upon the Commission's own motion. Persons who requested a hearing, or to be advised as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

By the Commission.

Elizabeth M. Murphy,
Secretary.

Appendix

801-68570 12 METER MANAGEMENT, LP
801-72955 3SISTERS SUSTAINABLE
MANAGEMENT, LLC
801-71854 ACCESS GLOBAL ADVISORS
801-70973 ADVANCED FINANCIAL
SOLUTIONS, INC.
801-71094 AFC ASSET MANAGEMENT
SERVICES, INC.
801-67660 ALDUS CAPITAL, LLC
801-71247 ALDWYCH CAPITAL
PARTNERS, LLC

¹ Dodd-Frank Wall Street Reform and Consumer Protection Act, Public Law 111-203, 124 Stat. 1376 (2010).

² See section 410 of the Dodd-Frank Act; 15 U.S.C. 80b-3a.

³ For example, section 410 of the Dodd-Frank Act required mid-sized advisers to register with the states: (i) if the adviser is required to be registered as an investment adviser with the securities commissioner of the state in which it maintains its principal office and place of business; and (ii) if registered with that state, the adviser would be subject to examination as an investment adviser by that securities commissioner. 15 U.S.C. 80b-3a(a)(2). The Commission also amended certain exemptions from the prohibition on Commission registration that were previously adopted under section 203A of the Act. See 17 CFR 275.203a-2.

⁴ 17 CFR 275.203a-5.

⁵ See 17 CFR 275.203a-5(b), (c).

⁶ *Rules Implementing Amendments to the Investment Advisers Act of 1940*, Investment Advisers Act Rel. No. 3221, at 15 (Jun. 22, 2012) [76 FR 42950, 42953-42954 (Jul. 19, 2011)].

⁷ 15 U.S.C. 80b-3(h).

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| 801-71312 | ALLIANCE CONSULTING, LLC | INVESTMENT ADVISORS INC | LLC |
| 801-39288 | ALPHA CAPITAL MANAGEMENT INC | 801-69502 CAPITAL CITY INVESTMENT MANAGEMENT COMPANY, INC. | 801-57005 EMPIRE INVESTMENT ADVISORS INC |
| 801-69679 | ALPHA VISTA ADVISORS LLC | 801-37116 CAPITAL MANAGEMENT CORP OF THE NORTHEAST | 801-65038 ERISEY WEALTH MANAGEMENT LLC |
| 801-63858 | ALPINE CAPITAL MANAGEMENT, LLC | 801-69804 CAPITAL STRATEGIES FINANCIAL CORPORATION | 801-63668 EVOLUTION CAPITAL STRATEGIES LLC |
| 801-63029 | AM INVESTMENT PARTNERS LLC | 801-68390 CAPSTONE CAPITAL GROUP | 801-61152 EXECUTIVE ASSET MANAGEMENT, INC. |
| 801-67985 | AMERICAN PEGASUS LDG, LLC | 801-69331 CARLTON WEALTH MANAGEMENT LLC | 801-60991 FAIRSON MANAGEMENT LIMITED |
| 801-66956 | AMOEBE CAPITAL PARTNERS PTE. LTD. | 801-66142 CARMICHAEL STRATEGIES LLC | 801-64720 FIDUCIARY MANAGEMENT GROUP, LLC |
| 801-58279 | AMUSSEN, HUNSAKER & ASSOCIATES INCORPORATED | 801-71599 CARRINGTON STRATEGIC ADVISORS, LLC | 801-71217 FILIPINOFUNDS INVESTMENT MANAGEMENT, LLC |
| 801-72517 | ANCHOR INVESTMENT PARTNERS LLC | 801-65962 CASTLESTONE MANAGEMENT LLC | 801-68836 FINANCIAL LEGACY ASSOCIATES, LLC |
| 801-74690 | ANVIL CAPITAL ADVISORS, LLC | 801-67329 CENTURION INVESTMENT PARTNERS, LLC | 801-24481 FIRST INVESTMENT CORPORATION |
| 801-69544 | APELLES INVESTMENT MANAGEMENT, LP | 801-72550 CENTURY CITY CAPITAL MANAGEMENT, LLC | 801-36095 FLAGSHIP CAPITAL MANAGEMENT INC |
| 801-72622 | ARCHETYPE ADVISORS, LLC | 801-69779 CHELSEA MORGAN ADVISORS LLC | 801-69662 FLATFEEADVISORS.COM, INC. |
| 801-70395 | ARTIENCE CAPITAL MANAGEMENT, LLC | 801-68372 CHESTER CAPITAL MANAGEMENT, LLC | 801-66649 FORESIGHT ASSET MANAGEMENT, LLC |
| 801-70301 | ASSET MANAGEMENT STRATEGIES, LLC | 801-57162 CHEVY CHASE ASSET MANAGEMENT LLC | 801-69724 FORT CAPITAL MANAGEMENT, LLC |
| 801-69874 | ASSOCIATED PROFESSIONAL INVESTMENTS, LLC | 801-64167 CHRONIM INVESTMENTS INC. | 801-63002 FOSTER INVESTMENT CONSULTING LLC |
| 801-69463 | ATHENA ASSET MANAGEMENT & RESEARCH, LLC | 801-68715 CLEARPATH WEALTH MANAGEMENT, LLC | 801-56788 FOUNDING PARTNERS CAPITAL MANAGEMENT COMPANY |
| 801-72293 | BAG SECURITIES, LLC | 801-70840 CLOSED-END FUND ADVISORS INC. | 801-61582 FPC SERVICES, INCORPORATED |
| 801-72112 | BAOCHUAN CAPITAL MANAGEMENT, LLC | 801-68833 COAST WEALTH MANAGEMENT, INC. | 801-69648 FUTURE VALUE CONSULTANTS LIMITED |
| 801-62938 | BARRINGTON ASSET MANAGEMENT, INC. | 801-68548 CONCORD ATLANTIC, INC. | 801-45317 GANUCHEAU CAPITAL MANAGEMENT, INC. |
| 801-60288 | BEACON CAPITAL MANAGEMENT LIMITED | 801-34934 CONSTITUTION RESEARCH & MANAGEMENT INC | 801-19290 GARLIKOV ADVISORS INC |
| 801-61433 | BERKSHIRE ADVISORS, INC. | 801-61705 COPLEY SQUARE CAPITAL MANAGEMENT, LLC | 801-65627 GDG ASSET MANAGEMENT LIMITED |
| 801-72146 | BETA CAPITAL MANAGEMENT LLC | 801-41021 CORDILLERA ASSET MANAGEMENT | 801-66112 GELLER & LEHMANN, LLC |
| 801-71757 | BEYOND CAPITAL FINANCIAL MANAGEMENT GROUP, INC. | 801-63182 CORNERSTONE CAPITAL MANAGEMENT | 801-72754 GILDED ADVISORS LLC |
| 801-69391 | BILTMORE INVESTMENT MANAGEMENT, LLC | 801-55989 CREDICORP SECURITIES INC | 801-69546 GLANZ, DANIEL |
| 801-56997 | BISCAYNE ADVISORS, INC. | 801-69969 CREMAC ASSET MANAGEMENT, LLC | 801-74448 GLOBAL EVOLUTION USA, LLC |
| 801-67617 | BLACK KNIGHT ASSET MANAGEMENT | 801-63124 CURTIS WEALTH MANAGEMENT GROUP, LLC | 801-69333 GLOBAL PLUS+ INVESTMENT MANAGEMENT, LLC |
| 801-71729 | BOLI FUND MANAGEMENT, LLC | 801-70413 D LITTLE, L.L.C. | 801-72227 GLOBAL PORTFOLIO MANAGEMENT, LTD. |
| 801-14429 | BOWMAN FINANCIAL MANAGEMENT CO INC | 801-56278 DANIEL FRISHBERG FINANCIAL SERVICES, INC. | 801-60090 GOLD COAST SECURITIES, INC. |
| 801-72221 | BOYD INVESTMENT MANAGEMENT, LLC | 801-72077 DB2 INVESTMENT ADVISORY SERVICES INC. | 801-74628 GOLDENGROVE LLC |
| 801-68519 | BRADLEY WEALTH MANAGEMENT, LLC | 801-42306 DILMUN INVESTMENTS, INC | 801-62648 GOODSTEIN & ASSOCIATES, LLC |
| 801-63049 | BRICOLEUR CAPITAL MANAGEMENT, LLC | 801-67499 DISCOVERY FINANCIAL GROUP, LLC | 801-72960 GOSLIN III, ALBERT ERNEST |
| 801-69628 | BRIGHTON WEALTH MANAGEMENT, INC. | 801-56038 DIVELEY LIND & ASSOCIATES LLC | 801-71624 GRANT PARK CAPITAL PARTNERS, LLC |
| 801-65969 | BROADSTREET CAPITAL PARTNERS, LP | 801-70505 DJM WEALTH STRATEGIES, LLC | 801-71579 GRAVITY CAPITAL PARTNERS, LLC |
| 801-63011 | BROADWATER CAPITAL MANAGEMENT LLC | 801-60809 DKR CAPITAL PARTNERS L.P. | 801-67236 GRAYBEARD CAPITAL, LLC |
| 801-70514 | BRYN MAWR FINANCIAL, LLC | 801-66443 DKR FUSION MANAGEMENT L.P. | 801-69383 GREENWICH CREEK CAPITAL MANAGEMENT, LLC |
| 801-67201 | BURR & COMPANY, LLC | 801-72443 DODD, ANDREW JAMES | 801-66346 GUALARIO & CO., LLC |
| 801-68809 | C.S. ANDERSON FINANCIAL SERVICES, INC | 801-70325 DOUBLE ALPHA GROUP LLC | 801-66823 GUNDERSON CAPITAL MANAGEMENT INC. |
| 801-65805 | C2 ASSET MANAGEMENT L.L.C. | 801-72304 DOWNEY CAPITAL MANAGEMENT, INC. | 801-47199 HANSEN, BRIAN BENNETT |
| 801-70179 | CABAL CAPITAL MANAGEMENT, LLC | 801-68820 DUNCAN-WILLIAMS, INC. | 801-69429 HATTINGH, DIEDERIK JOHANNES |
| 801-70320 | CACHE EQUITY LLC | 801-65704 DURHAM ASSET MANAGEMENT L.L.C. | 801-53254 HAVELL CAPITAL MANAGEMENT LLC |
| 801-30978 | CAMBRIDGE FINANCIAL SERVICES, LTD | 801-57802 DYNAMIC WEALTH MANAGEMENT | 801-69963 HELIOS INVESTMENTS INC |
| 801-55780 | CAMERON, MURPHY & SPANGLER, INC. | 801-68994 EAGLE EYE ASSET MANAGEMENT, LLC | 801-68598 HEPWORTH EQUITY PARTNERS, LLC |
| 801-51319 | CANNON TINGEY | 801-62482 EFFICIENT PORTFOLIO CONSULTANTS, LLC | 801-66435 HIGHVIEW POINT PARTNERS, LLC |
| | | 801-68115 EMPIRE INVESTING GROUP, | 801-72056 HILL CAPITAL MANAGEMENT LLC |

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|-----------|--|-----------|---|-----------|--|
| 801-69123 | HILL-TOWNSEND CAPITAL, LLC | 801-66328 | MIRAMAR ASSET MANAGEMENT, LLC | 801-69730 | SANCTUARY WEALTH MANAGEMENT, LLC |
| 801-68714 | HOLMAN INVESTMENTS AND PLANNING, LLC | 801-57042 | MOHAWK ASSET MANAGEMENT INC | 801-26861 | SANDER CAPITAL ADVISORS, INC. |
| 801-67355 | HOLTER, WILLIAM LATIMER | 801-71711 | MONTGOMERY ASSET MANAGEMENT, LLC | 801-51254 | SCEPTRE INVESTMENT COUNSEL LIMITED |
| 801-70767 | HORIZON FUNDS MANAGEMENT, LLC | 801-42907 | NANCY ABRAMS & ASSOCIATES, INC. | 801-58027 | SCHELLER FINANCIAL SERVICES INC. |
| 801-71677 | HORIZONS WEST CAPITAL PARTNERS, LLC | 801-69301 | NEF ADVISORS, LLC | 801-70944 | SEDFIELD CAPITAL MANAGEMENT, LLC |
| 801-67009 | HRJ CAPITAL, L.L.C. | 801-72732 | NEMAN FINANCIAL, INC. | 801-71779 | SELECT ASSET MANAGEMENT, LLC |
| 801-71614 | INNOVATUM CAPITAL PARTNERS, LLC | 801-64824 | NEXCORE FINANCIAL SERVICES, INCORPORATED | 801-64724 | SENTINEL WEALTH ADVISORS, LLC |
| 801-70807 | INSTITUTIONAL BULLION INVESTMENT ADVISORS, LLC | 801-72628 | NEXTGEN FAMILY OFFICE, LLC | 801-63183 | SFM, LLC |
| 801-67273 | INVESTMENT SECURITY GROUP, LLC | 801-65128 | NIGHTWATCH CAPITAL ADVISORS, LLC | 801-16175 | SHEA JOHN A INVESTMENT ADVISOR |
| 801-69098 | IRVINGTON CAPITAL LLC | 801-68540 | NJR INVESTMENT ADVISORY, INC. | 801-39915 | SK GROUP, INC |
| 801-51879 | J A GIBBONS LLC | 801-69484 | NORTH POINT ADVISORS | 801-33087 | SMITH WILLIAM BRUCE |
| 801-64391 | JADIS INVESTMENTS LLC | 801-50288 | NORTHSTAR CAPITAL INC | 801-64817 | SMITH, THURMAN LEONARD |
| 801-68063 | JDM FINANCIAL GROUP LLC | 801-65702 | OLYMPIUS CAPITAL, L.P. | 801-70455 | SOUTHPORT ASSET MANAGEMENT |
| 801-66648 | JENNINGS INVESTMENT ADVISORS, LLC | 801-23421 | OMICRON GROUP LTD | 801-61272 | SOVEREIGN INTERNATIONAL ASSET MANAGEMENT, INC. |
| 801-66895 | JERMYN CAPITAL (SINGAPORE) PTE. LTD. | 801-71953 | ONYX INVESTMENT ADVISORS | 801-70589 | SOVEREIGN PRIVATE WEALTH, INC. |
| 801-71822 | JIM POE AND ASSOCIATES INC. | 801-67259 | ORACLE FINANCIAL SERVICES, LLC | 801-67746 | STATE CAPITAL WEALTH MANAGEMENT INC |
| 801-71814 | JOBES SOLO INVESTMENT GROUP, LLC | 801-68545 | OSAGE ENERGY PARTNERS, L.P. | 801-25597 | STEINE & GOOCH CO INC |
| 801-66643 | JOHN R. FIESTA, LLC | 801-71098 | OUTSTANDING VALUE FINANCIAL MANAGEMENT, LLC | 801-66434 | STEPHEN M. GROSS, INC. |
| 801-57979 | JOHN SHAW NOTMAN | 801-65021 | PACIFIC FINANCIAL ADVISORS, INC. | 801-47378 | STEPHEN P. MOULTON & ASSOCIATES, LTD. |
| 801-45453 | JUMPER GROUP INC | 801-65166 | PARK PLACE CAPITAL LIMITED | 801-24483 | STERLING JOHNSTON CAPITAL MANAGEMENT, L.P. |
| 801-66884 | K.K. JERMYN CAPITAL | 801-60542 | PATRICK LLOYD BECKER | 801-69491 | STRANBERG CAPITAL LLC |
| 801-72005 | KAJO INVESTMENTS, LLC | 801-34567 | PCA REAL ESTATE ADVISORS, INC. | 801-36025 | STRATEGIS FINANCIAL GROUP, INC |
| 801-67024 | KENNEDY WEALTH MANAGEMENT GROUP LTD. | 801-66276 | PELION INVESTMENT ADVISORS, INC. | 801-74213 | TANDRAGEE GLOBAL ADVISORS, LLC |
| 801-69948 | KLARAOS, LLC | 801-65099 | PEMIGEWASSET CAPITAL LLC | 801-53568 | TBIG FINANCIAL SERVICES INC |
| 801-42331 | KOCH ASSET MANAGEMENT LLC | 801-66759 | PENSION PERFORMANCE ADVISORS, INC. | 801-28191 | THE CARMACK GROUP, INC. |
| 801-69365 | KURTIN FINANCIAL ADVISERS, LLC | 801-63878 | PERMANENT VALUE INC. | 801-68698 | THE COLOMA GROUP, L.L.C. |
| 801-69343 | L&P FINANCIAL TRUSTEES LTD | 801-72260 | PINACULO LLC | 801-54184 | THE DELANCEY CAPITAL GROUP, LP |
| 801-73035 | LANCELOT CAPITAL LIMITED | 801-70132 | PLACE, BRYAN, MCNEILL | 801-64694 | THE OXFORD PRIVATE CLIENT GROUP, LLC |
| 801-63887 | LANPHIER CAPITAL MANAGEMENT, INC. | 801-68161 | PRESIDIUM PARTNERS, LLC | 801-36203 | THE SPANGLER GROUP, INC. |
| 801-68524 | LEXINGTON INVESTMENT COUNSEL, LLC | 801-14186 | PROFESSIONAL INVESTMENT COUNSEL, INC | 801-71205 | THE UNIVERSITY FUNDS, LLC |
| 801-70312 | LIGHTHOUSE CAPITAL PARTNERS, LLC | 801-71591 | PROSAPIA CAPITAL MANAGEMENT, LLC | 801-66115 | THOMSON FINANCIAL ADVISORS LLC. |
| 801-56394 | LITCHEFIELD & NELSON, INC | 801-62787 | QUANTEL ASSOCIATES, INC. | 801-62975 | THUNDERSTORM CAPITAL LLC |
| 801-56364 | LITTLEFIELD ASSET MGMT. INC. | 801-63842 | QUANTUM FAMILY OFFICE GROUP, LLC | 801-47405 | TONG ROBERT WAI |
| 801-49599 | LONGWOOD INVESTMENT ADVISORS INC | 801-68872 | QUANTUM WEALTH MANAGEMENT LLC | 801-65028 | TRIBUTARY CAPITAL MANAGEMENT., LLC |
| 801-37592 | M. D. FALK & COMPANY, INC. | 801-70459 | RANDY MEYER INVESTMENT MANAGEMENT, LLC | 801-72696 | TRILLION CAPITAL, LLC |
| 801-66388 | MACARTHURCOOK INVESTMENT MANAGERS LIMITED | 801-72606 | RFG ADVISORY GROUP, LLC | 801-69905 | TRIVELLONI ASSET MANAGEMENT, LLC |
| 801-74815 | MADISONLEE PARTNERS, LLC | 801-44866 | RICH INVESTMENTS INC | 801-67142 | TWEDDELL GOLDBERG LLC |
| 801-71939 | MANAIA CAPITAL MANAGEMENT, INC. | 801-57081 | RINCON PACIFIC MANAGEMENT INC | 801-61159 | UNIVEST INVESTMENTS, INC. |
| 801-45332 | MAPLE LEAF INVESTMENT MANAGEMENT INC | 801-64933 | RIOUX & COMPANY, LLC | 801-64165 | USF SERVICES, LLC |
| 801-71070 | MARKS THERIOT WALSTON & COMPANY, INC. | 801-68439 | RIVEREDGE CONVERTIBLE PORTFOLIO ADVISORS, LLC | 801-71511 | VANTAGE POINT ADVISORS, LLC |
| 801-55125 | MARSDEN CAPITAL MANAGEMENT, LLC. | 801-70387 | ROSE & SKY INVESTMENTS (CAYMAN) LTD | 801-42685 | VARN INVESTMENT COUNSEL INC |
| 801-67908 | MARTINELLI DISCENZA INVESTMENT COUNSEL, INC. | 801-62387 | RUBY CORPORATION | 801-39326 | VIRGINIA CAPITAL MANAGEMENT GROUP INC |
| 801-60658 | MCW ADVISORS | 801-44751 | RULAPAUGH STANLEY EUGENE | 801-60397 | W.WALL AND COMPANY, INC. |
| 801-63100 | MEREDITH PORTFOLIO MANAGEMENT INC. | 801-72770 | RUTHERFORD, GARY LEE | 801-63137 | WALRUS PARTNERS, LLC |
| 801-63422 | MERIDIAN ASSET MANAGEMENT LLC | 801-60566 | RYAN CAPITAL ADVISORS, LLC | 801-67403 | WASHINGTON CORNER CAPITAL MANAGEMENT, LP |
| 801-70666 | MG SULLIVAN, LLC | 801-72680 | S BROWN AND ASSOCIATES, LLC | 801-62780 | WATERS CAPITAL ADVISERS, LLC |
| 801-69605 | MICOUD INVESTMENTS LIMITED | 801-70230 | SACHS INVESTMENT GROUP, LLC | 801-63026 | WATERVILLE INVESTMENTS, INC. |

801-74505 WEALTH FOCUS RESOURCES, LLC
 801-69539 WEALTH LTD
 801-54769 WEALTH MANAGEMENT LLC
 801-62294 WELLS, CANNING & ASSOCIATES INC.
 801-48199 WENDEL ANDREW MARTIN
 801-40981 WEST ELLIS INVESTMENT MANAGEMENT INC
 801-71961 WEST RIDGE REALTY ADVISORS LLC
 801-19899 WESTRIDGE CAPITAL MANAGEMENT INC
 801-64673 WFP SECURITIES CORPORATION
 801-37177 WHB WOLVERINE ASSET MANAGEMENT INC
 801-72403 WICKER PARK ADVISORS, LLC
 801-16393 WILLIAMSON & SNEED INCORPORATED
 801-67795 WILSHIRE-PENNINGTON GROUP, INC.
 801-12695 WITTER WILLIAM D INC
 801-69064 WORLDWIDE ASSET MANAGEMENT GROUP, LLC
 801-70899 WYNNCORR CAPITAL MANAGEMENT, LLC

[FR Doc. 2012-26234 Filed 10-24-12; 8:45 am]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

Sunshine Act Meeting Notice.

FEDERAL REGISTER CITATION OF PREVIOUS ANNOUNCEMENT: [77 FR 64836, October 23, 2012]

STATUS: Closed Meeting.

PLACE: 100 F Street NE., Washington, DC.

DATE AND TIME OF PREVIOUSLY ANNOUNCED MEETING: Tuesday, October 23, 2012 at 3:00 p.m.

CHANGE IN THE MEETING: Date and Time Change.

The Closed Meeting scheduled for Tuesday, October 23, 2012 at 3:00 p.m., has been changed to Thursday, October 25, 2012 at 10:00 a.m.

Commissioner Walter, as duty officer, voted to consider the item listed for the Closed Meeting in closed session, and determined that no earlier notice thereof was possible.

At times, changes in Commission priorities require alterations in the scheduling of meeting items. For further information and to ascertain what, if any, matters have been added, deleted or postponed, please contact:

The Office of the Secretary at (202) 551-5400.

Dated: October 23, 2012.

Kevin M. O'Neill,
Deputy Secretary.

[FR Doc. 2012-26402 Filed 10-23-12; 4:15 pm]

BILLING CODE 8011-01-P

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34-68073; File No. SR-NASDAQ-2012-098]

Self-Regulatory Organizations; The NASDAQ Stock Market LLC; Order Granting Approval of Proposed Rule Change Relating to the Listing and Trading of Shares of the WisdomTree Global Corporate Bond Fund of the WisdomTree Trust

October 19, 2012.

I. Introduction

On August 15, 2012, The NASDAQ Stock Market LLC (“Nasdaq” or “Exchange”) filed with the Securities and Exchange Commission (“Commission”), pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”) ¹ and Rule 19b-4 thereunder, ² a proposed rule change to list and trade the shares (“Shares”) of the WisdomTree Global Corporate Bond Fund (“Fund”) of the WisdomTree Trust (“Trust”) under Nasdaq Rule 5735. The proposed rule change was published for comment in the **Federal Register** on September 5, 2012. ³ The Commission received no comments on the proposal. This order grants approval of the proposed rule change.

II. Description of the Proposed Rule Change

The Exchange proposes to list and trade the Shares of the Fund under Nasdaq Rule 5735, which governs the listing and trading of Managed Fund Shares on the Exchange. The Fund will be an actively managed exchange-traded fund (“ETF”). The Shares will be offered by the Trust, which was established as a Delaware statutory trust on December 15, 2005. The Fund is registered with the Commission as an investment company and has filed a registration statement on Form N-1A with the Commission. ⁴ WisdomTree Asset Management, Inc. is the investment adviser (“Adviser”) to the Fund, ⁵ and Western Asset Management Company serves as sub-adviser for the Fund (“Sub-Adviser”). ⁶ The Bank of

¹ 15 U.S.C. 78s(b)(1).

² 17 CFR 240.19b-4.

³ See Securities Exchange Act Release No. 67750 (August 29, 2012), 77 FR 54640 (“Notice”).

⁴ See Post-Effective Amendment No. 56 to Registration Statement on Form N-1A for the Trust, dated July 1, 2011 (File Nos. 333-132380 and 811-21864) (“Registration Statement”).

⁵ WisdomTree Investments, Inc. is the parent company of the Adviser.

⁶ The Sub-Adviser is responsible for day-to-day management of the Fund and, as such, typically makes all decisions with respect to portfolio

New York Mellon is the administrator, custodian, and transfer agent for the Trust, and ALPS Distributors, Inc. serves as the distributor for the Trust. ⁷ The Exchange represents that neither the Adviser nor the Sub-Adviser are affiliated with any broker-dealer. ⁸

WisdomTree Global Corporate Bond Fund

The Fund seeks to provide a high level of total return consisting of both income and capital appreciation. To achieve its objective, the Fund will invest in debt securities of corporations that are domiciled or economically tied to countries throughout the world.

Global Corporate Debt

Specifically, the Fund intends to achieve its investment objectives through direct and indirect investments in Global Corporate Debt. With respect to this proposal, Global Corporate Debt includes fixed-income securities, such as bonds, notes, or other debt obligations, including loan participation notes (“LPNs”), ⁹ as well as other debt instruments denominated in U.S. dollars or local currencies. Global Corporate Debt also includes fixed income securities or debt obligations that are issued by companies or agencies that may receive financial support or backing from local government. Fixed income securities include Money Market Securities as defined below.

holdings. The Adviser has ongoing oversight responsibility.

⁷ The Commission has issued an order granting certain exemptive relief to the Trust under the Investment Company Act of 1940 (“1940 Act”). See Investment Company Act Release No. 28471 (October 27, 2008) (File No. 812-13458). In compliance with Nasdaq Rule 5735(b)(5), which applies to Managed Fund Shares based on an international or global portfolio, the Trust’s application for exemptive relief under the 1940 Act states that the Fund will comply with the federal securities laws in accepting securities for deposits and satisfying redemptions with redemption securities, including that the securities accepted for deposits and the securities used to satisfy redemption requests are sold in transactions that would be exempt from registration under the Securities Act of 1933.

⁸ See Nasdaq Rule 5735(g). The Exchange represents that, in the event (a) the Adviser or the Sub-Adviser becomes newly affiliated with a broker-dealer, or (b) any new adviser or sub-adviser becomes affiliated with a broker-dealer, it will implement a fire wall with respect to such broker-dealer regarding access to information concerning the composition and/or changes to a portfolio, and will be subject to procedures designed to prevent the use and dissemination of material, non-public information regarding such portfolio. In addition, Adviser and/or Sub-Adviser personnel who make decisions regarding the Fund’s portfolio are subject to procedures designed to prevent the use and dissemination of material, non-public information regarding the Fund’s portfolio.

⁹ The Fund may invest in LPNs with a minimum outstanding principal amount of \$200 million that the Adviser or Sub-Adviser deems to be liquid.