

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6811  
**P&S#** 6831  
**Date:** 04/9/2009  
**To:** **ALL PARTICIPANTS**  
**Attention:** OPERATIONS PARTNER/OFFICER;  
MANAGER P&S DEPARTMENT;  
CASHIER; ACATS PARTICIPANTS;  
FUND/SERV PARTICIPANTS; MUNICIPAL BOND  
COMPARISON PARTICIPANTS  
**From:** Linda Shackleton, Account Administration  
**Subject:** CHANGES IN THE LIST OF PARTICIPANTS

**Correction to Important Notice A#6810 (P&S#6380) dated April 3, 2009 for Northern Lights Distributors, LLC, participant #6663 in regards to the Trade Date (see below)**

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

**Last Trade Date, April 9, 2009:**

Nationwide Securities, LLC	No.	0301
JPMCC / Custodial Trust / Fully Sub / Bear Stearns & Co.	No.	2424
Baron Capital Inc. / Baron Managed Funds	No.	5536

**Last Trade Date, April 13 2009:**

Dougall & Associates, Inc.	No.	3626
Dougall & Associates, Inc. / DCOD	No.	3517
Dougall & Associates, Inc. / DSLSTG	No.	3627
Dougall & Associates, Inc. / DVSTG	No.	3628
ALPS Distributors, Inc. / Utopia Funds	No.	5650

- The following participant of the Depository Trust Company will begin participation in the ACATS service, as detailed below:

**First Trade Date, April 6, 2009:**

Bank of America, N.A./LaSalle Bank, N.A.	No.	2251
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- The following firm will begin participation in the Insurance Processing service, as detailed below:

**First Trade Date, April 6, 2009:**

Nationwide Securities LLC/1717 CMC	No.	0605
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- The following firm will begin participation in the Recaps and OTC Comparison services, as detailed below:

**First Trade Date, April 13, 2009:**

Nasdaq Options Services, LLC  
 OTC Alpha Identifier:

No. 0520  
 NQOP

- The following firm will begin participation in the Envelope Settlement and OTC Comparison services, as detailed below:

**First Trade Date, April 13, 2009:**

Custodial Trust Company  
 OTC Alpha Identifier:  
 Envelope Location: (New York)

No. 2424  
 CUST

- The following firm will no longer participate in the Mutual Fund Profile Phase II service only, as detailed below:

**Last Trade Date, April 9, 2009:**

Allianz Global Investors Distributors, LLC/Global Investor Series PLC

No. 4836

- The following firms will change their names only, as detail below:

**First Trade Date, April 13, 2009:**

From: Nationwide Securities LLC/1717 CMC  
 To: Nationwide Securities, LLC

No. 0605  
 No. 0605

From: Unified Financial Securities, Inc./NS Small Cap Fund  
 To: Unified Financial Securities, Inc./Golub Group

No. 5306  
 No. 5306

From: Northern Lights Distributors, LLC/Anchor Multi-Strategy Growth Fund  
 To: Northern Lights Distributors, LLC/The Currency Fund-First National  
 Bank of Omaha

No. 6696  
 No. 6696

- An additional number has been assigned to Rafferty Capital Markets, LLC (#5726) for the purpose of utilizing the Fund/SERV and Networking services, as detailed below:

**First Trade Date, April 13, 2009:**

Rafferty Capital Markets, LLC / Sparrow Funds  
 Networking Symbol:  
 Contact: Bob Anastasi  
 Phone: (440) 922-0066

No. 5908  
 B5

- An additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I & II, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, April 15, 2009:**

Northern Lights Distributors, LLC / OCM Gold Fund  
 Networking Symbol:  
 Contact: Mike Nielsen  
 Phone: (402) 493-1731 ext.3

No. 6663  
 B0

- Please update the NSCC Directory dated April 3, 2009 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Add First Trade Date, April 15, 2009</u></b> Avalon Partners, Inc.	LGNT	0052	AVAP	

- Please update the NSCC Directory dated April 3, 2009 (for OTC Executed-By List) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Change, Effective First Trade Date April 13, 2009</u></b> From: Eroom Securities, LLC To: Eroom Securities, LLC	GLDS	0325	ESLL	
	SILK	0501	ESLL	

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Change, Effective First Trade Date April 16, 2009</u></b> From: Arcadia Securities, LLC To: Arcadia Securities, LLC	SILK	0501	ARCD	
	PERS	0443	ARCD	

<b><u>Add First Trade Date, April 7, 2009</u></b> DRU Stock, Inc.	PFSI	0234	DRST	
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<b><u>Add First Trade Date, April 9, 2009</u></b> Electronic Securities Processing (ESP), LLC	ECUT	0100	ESBL	
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<b><u>Add First Trade Date, April 13, 2009</u></b> Penson Financial Services, Inc.	PFSI	0234	PFBC	
Penson Financial Services, Inc.	PFSI	0234	PFBA	
Penson Financial Services, Inc.	PFSI	0234	PFAY	
Penson Financial Services, Inc.	PFSI	0234	PFAY	
Penson Financial Services, Inc.	PFSI	0234	PFAX	

If you have any questions regarding this notice, please contact Fred Epstein (813) 470-1180 or e-mail NSCCAA@DTCC.com