

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6906  
**P&S#** 6476  
**Date:** 11/20/09  
**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

**REVISION:** Refer to Important Notice A#6898 (P&S#6468) dated November 6, 2009, OTC/Muni Table for Shields & Company, executing alpha symbol SCAP. Last trade date, originally listed as November 17, 2009, will now be determined at a later date.

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

**Last Trade Date, November 17, 2009:**

IFS Fund Distributors, Inc. / Caldwell & Orkin No. 5684

**Last Trade Date, November 18, 2009:**

D.J. St. Germain Co., Inc. No. 6565

- The following firm will change its name only, as detailed below:

**First Trade Date, November 23, 2009:**

From: National Financial Services, LLC / Fidelity Institutional Services No. 6600  
To: National Financial Services, LLC / National Financial Services No. 6600

- An additional number has been assigned to ING Life Insurance and Annuity Company (#4508) for the purpose of utilizing the Insurance Processing service, as detailed below:

**First Trade Date, November 18, 2009:**

ING Life Insurance and Annuity Company / ING Financial Solutions No. 4740

- An additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, and Mutual Fund Profile Phase I services, as detailed below:

**First Trade Date, November 18, 2009:**

ALPS Distributors, Inc / Caldwell & Orkin

No. 5684

Networking Symbol:

J8

Contact: Bryan Metzler

Phone: (720) 917-0725

- Please update the NSCC Directory dated October 2, 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>

**Delete Last Trade Date, November 17, 2009**

Bancnorth Investment Group, Inc.

BANK	0701	GNIT
------	------	------

**Delete Last Trade Date, November 23, 2009**

McLaughlin, Piven, Vogel Securities, Inc.

QRCC	0158	MACS
------	------	------

**Add First Trade Date, November 17, 2009**

Israel A. Englander & Co., Inc.

BSSC	0352	IAEA
------	------	------

**Add First Trade Date, November 19, 2009**

D.J. St. Germain Co., Inc.

PERS	0443	DJST
------	------	------

- Please update the NSCC Directory dated October 2, 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>

**Delete Last Trade Date, November 18, 2009**

Penson Financial Services, Inc.

PFSI	0234	PFAF
------	------	------

**Add First Trade Date, November 17, 2009**

Fortis Clearing Americas, LLC	SHMR	0695	HGSF
Fortis Clearing Americas, LLC	SHMR	0695	HGSN
Fortis Clearing Americas, LLC	SHMR	0695	GRYF

**Add First Trade Date, November 19, 2009**

Wedbush Morgan Securities, Inc.	WEDB	0103	SCTT
---------------------------------	------	------	------

**Add First Trade Date, November 30, 2009**

AMUR Advisors, LLC	FSWC	0309	AMUR
--------------------	------	------	------

**Clearing Broker Change, Effective First Trade Date, November 20, 2009**

From: Westport Resources Investment Services Inc.	NFSC	0226	WRIS
To: Westport Resources Investment Services Inc.	PERS	0443	WRIS

**Clearing Broker Change, Executing Broker Name Change, Effective First Trade Date November 23, 2009**

From: Island Execution Services, LLC	ICSG	0067	ILND
To: NASDAQ Options Services, LLC	NQOP	0520	ILND

- Please update the NSCC Directory dated October 2, 2009 (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>

**Delete Last Trade Date, November 20, 2009**

Arrowhead Financial Group, Inc.	NFSC	0226	AICI
Carroll & Koster, (Inc.)	NFSC	0226	CAKF
Colonial Brokerage, Inc.	NFSC	0226	COLB

**Add First Trade Date November 20, 2009**

Westport Resources Investment Services Inc.	PERS	0443	WRIS
---	------	------	------

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