

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 6929  
**P&S#** 6499  
**Date:** 01/08/10  
**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

- Trust Industrial Bank has undergone a conversion with Lincoln Trust Company. As a result, the following name change will occur:

**Effective First Trade Date January 11, 2010:**

From: Trust Industrial Bank No. 0579  
To: Lincoln Trust Company No. 0579

*Lincoln Trust Company has assumed all open contracts for account number 0579, which are to be cleared or settled through or by National Securities Clearing Corporation*

- The following firms will change their name only, as detailed below:

**Fist Trade Date, January 8, 2010:**

From: International Advisory Services Group No. 5040  
To: Fidelity Clearing Canada ULC No. 5040

From: International Advisory Services Group/QSR No. 5053  
To: Fidelity Clearing Canada ULC/QSR No. 5053

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

**Last Trade Date, January 8, 2010:**

Harborview, LLC No. 0558  
Quasar Distributors, LLC/Structured Investment Management No. 5492  
State Street Bank & Trust Company/ACS HR Solutions, LLC/Allied Waste No. 5959

- The following firm will no longer participate in the Mutual Fund Profile I & II services, as detailed below:

**Last Trade Date Trade Date, January 8, 2010:**

Ariel Distributors, LLC No. 5751

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- The following firm will begin participation in the Insurance Processing Service, as detailed below:  
**First Trade Date, January 11, 2010:**  
JP Morgan Securities Inc./Private Client Services Div. No. 0406
- The following Data Service Only member will begin participation in the Insurance Processing Service, as detailed below:  
**First Trade Date, January 11, 2010:**  
Eagle Life Insurance Company No. 6030
- The following firm will begin participation in the Mutual Fund Profile I Services, as detailed below:  
**First Trade Date, January 14, 2010:**  
Unified Financial Securities, Inc./River North Funds No. 6520
- An additional number has been assigned to Global Trust Company (#5915) for the purpose of utilizing Fund/SERV, Networking & Mutual Profile I services, as detailed below:  
**First Trade Date, January 11, 2010**  
Global Trust Company/NRS TA No. 5311  
Networking Symbol: IE  
Contact: Joseph Mikula  
Phone: (781) 970-5043
- Please update the NSCC Directory dated January 4, 2010 (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>Clearing Broker Change, Effective First Trade Date, January 11, 2009</u></b>				
From : Global Hunter Securities, LLC	PFSI	0234	GLBL	
To: Global Hunter Securities, LLC	JEFF	0019	GLBL	

- Please update the NSCC Directory dated January 4, 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>Delete Last Trade Date, January 7, 2010</u></b>				
Coker Palner	PERS	0443	CPPM	
Balfour Investments Inc.	PERS	0443	BALF	
European American Securities, Inc.	PERS	0443	EASY	
Pan American Securities Advisors	PERS	0443	PAFA	
Ryan Beck & Company	PERS	0443	RYAN	
Raymond James LTD(USA), Inc.	PERS	0443	RJLU	

**Delete Last Trade Date, January 11, 2010**

Matrix Capital Group Inc. PERS 0443 MATX

**Add First Trade Date, January 6, 2010**

Morgan Stanley & Co., Inc. MSCO 0050 MSTW

**Add First Trade Date, January 8, 2010**

Penson Financial Services Inc. SHMR 0695 PFCR

**Add First Trade Date, January 15, 2010**

Electronic Transaction Clearing, Inc. ETCC 0873 ETCS

- Please update the NSCC Directory dated January 4, 2009 (for Municipal Bond Comparison System) as detailed below:

<u>Clearing Broker</u>		<u>Executing Broker</u>	
<u>Identifiers</u>		<u>Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

**Delete Last Trade Date, January 5, 2010**

Chevy Chase Securities, Inc. NFSC 0226 CHEV

If you have any questions regarding this notice, please contact Donald Schwartz (813) 470-1223 or e-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com)