

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6944  
**P&S#** 6514  
**Date:** 02/05/10  
**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

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

**Last Trade Date, February 1, 2010:**

Fortis Securities, LLC/SL No. 5240

**Last Trade Date, February 10, 2010:**

Northern Lights Distributors LLC/The Jacobs & Company Mutual Fund No. 5765

Ogilvie Security Advisors Corporation No. 4189

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

**Last Trade Date, January 29, 2010:**

Morningstar Investment Services, Inc. No. 6496

- 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>Add First Trade Date, February 2, 2010</u></b> Grace Financial Group, LLC	SILK	0501	GFGH	
<b><u>Add First Trade Date, February 3, 2010</u></b> Madison Williams and Company MPS Global Securities, LLC	PERS MANS	0443 0120	MWCO DDSH	
<b><u>Add First Trade Date, February 4, 2010</u></b> Tiger Securities, LLC	FSWC	0309	TIGR	

- 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, February 1, 2010</u></b> Penson Financial Services, Inc. Capital Path Securities, LLC	SWST ALPS	0279 8072	PFLP CAPT	
<b><u>Delete Last Trade Date, February 3, 2010</u></b> Lighthouse Financial Group LLC Next Generation Equity Research LLC FTN Equity Capital Markets Corp. BNY Investment Centers, Inc. Pennsylvania Group Inc. (The) Unibanco Securities Inc. Security Research Associates, Inc.	SILK JEFF PERS PERS PERS PERS PERS	0501 0019 0443 0443 0443 0443 0443	LQCM NGEN FTNE BNIY PENG UNIB SRFL	
<b><u>Delete Last Trade Date, February 5, 2010</u></b> Wedbush Morgan Securities Inc.	WEDB	0103	WEDF	
<b><u>Delete Last Trade Date, February 8, 2010</u></b> Penson Financial Services, Inc. Penson Financial Services, Inc. Penson Financial Services, Inc.	PFSI PFSI PFSI	0234 0234 0234	PFSX PFAK PFAZ	
<b><u>Add First Trade Date, February 2, 2010</u></b> Penson Financial Services, Inc.	PFSI	0234	PFCJ	
<b><u>Add First Trade Date, February 3, 2010</u></b> Nunami Services, LLC Nunami Services, LLC Bedrok Securities, LLC	SHMR FLTG PERS	0695 0330 0443	NAMI NAMB STLZ	

Knight Direct LLC	NITC	0295	NITD
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**Add First Trade Date, February 8, 2010**

Wedbush Morgan Securities Inc.	SHMR	0695	LIFW
Penson Financial Services, Inc.	PFSI	0234	PFDE

**Add First Trade Date, February 11, 2010**

McNicoll, Lewis & Vlak LLC	BNPS	0049	MLVT
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**Clearing Broker Change, Effective First Trade Date, February 11, 2010**

From: Zeus, Securities, Inc.	PFSI	0234	ZEUS
To: Zeus Securities, Inc.	FSWC	0309	ZEUS

**Clearing Broker Change and Executing Broker Name Change, Effective First Trade Date, March 3, 2010**

From: Brean Murray Carret & Co.	BSSC	0352	BMUR
To: Brean Murray, Carret & Co., LLC	QRCC	0158	BMUR

- Please update the NSCC Directory dated January 4, 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, February 2, 2010**

Bank and Trust of Puerto Rico	NFSC	0226	BTPR
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**Add First Trade Date, February 3, 2010**

Eurobank Trust and Wealth Management	NFSC	0226	ETWM
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**Add First Trade Date, February 8, 2010**

First Heartland Capital, Inc.	PERS	0443	FHCI
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**Add First Trade Date, March 3, 2010**

Brean Murray, Carret & Co., LLC.	QRCC	0158	BMUR
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If you have any questions regarding this notice, please contact Fredric Epstein (813) 470-1180 or E-mail NSCCAA@DTCC.com