

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 6978  
**P&S#** 6548  
**Date:** 04/09/10  
**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, April 5, 2010:**

Associated Securities Corp.	No.	0170
Waterstone Financial Group, Inc.	No.	0469
Mutual Service Corp	No.	0479
Sovereign Bank Capital Markets	No.	6721
Sovereign Securities Corp., LLC	No.	6765

**Last Trade Date, April 6, 2010:**

Quasar Distributors, LLC / The Light Revolution Fund.	No.	5445
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**Last Trade Date, April 9, 2010:**

Unified Financial Securities, Inc. / Rockland Small Cap Fund	No.	4923
Foreside Fund Services, LLC / Brown Advisory Funds	No.	5437

**Last Trade Date, April 13, 2010:**

PFPC Distributors, Inc / Sparx Funds Trust	No.	5842
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- The following firm will no longer participate in the Commission Settlement service, as detailed below:

**Last Trade Date, April 7, 2010:**

Foreside Distribution Services, L.P / U S Alliantz Mutual Funds	No.	6628
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- The following firm will no longer participate in the Trade Recording and Trade Comparison, Envelope Settlement, and Recap services, as detailed below

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

Intrade, LLC	No.	0238
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- The following firm will no longer participate in the Trade Recording and Trade Comparison services, as detailed below  
**Last Trade Date, April 8, 2010:**  
Fortis Sec/Fortis Bank, NY Branch No. 7517
- The following firm will no longer participate in the ACATS service, as detailed below  
**Last Trade Date, April 14, 2010:**  
Intrade, LLC No. 0238
- The following firms will change its name only, as detailed below:  
**Effective First Trade Date, April 7, 2010:**  
From: Foreside Distribution Services, L.P / U S Alliantz Mutual Funds No. 6628  
To: Foreside Distribution Services, LP / USAlliantz Mutual Funds No. 6628
- The following firm will begin participation in the ACATS service, as detailed below:  
**First Trade Date , April 5, 2010:**  
VP Distributors, Inc. No. 5517
- An additional number has been assigned to Transamerica Life Insurance Company (#4566) for the purpose of utilizing the Insurance Processing services, as detailed below:  
**First Trade Date, April 8, 2010:**  
Transamerica Life Insurance Company / Diversified Investors Securities Corp No. 4738  
Contact: Rob Frederick  
Phone: 319 355 8129
- An additional number has been assigned to Transamerica Financial Life Insurance Company (#4561) for the purpose of utilizing the Insurance Processing services, as detailed below:  
**First Trade Date, April 8, 2010:**  
Transamerica Financial Life Insurance Company/  
Diversified Investors Securities Corp No. 4739  
Contact: Rob Frederick  
Phone: 319 355 8129
- The following firm will begin participation in the Commission Settlement service, as detailed below:  
**First Trade Date , April 12, 2010:**  
Lincoln National Life Insurance Company / II No. 4685
- The following firm will begin participation in the MF-Profile service, as detailed below:  
**First Trade Date , April 12, 2010:**  
Alps Distributors, Inc. / Laudus Funds No. 4903
- An additional number has been assigned to Quasar Distributors, LLC (#5867) for the purpose of utilizing the Networking, Commission Settlement, Fund/SERV, ACATS Fund/SERV, and MF-Daily Price and Rate File services, as detailed below:  
**First Trade Date, April 12, 2010:**  
Quasar Distributors, LLC / Brown Advisory Funds No. 5437  
Networking Symbol: 1L  
Contact: Casey Sauer  
Phone: 414 347 5766

- 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, April 19, 2010</u></b> Todd & Company Inc.	QRCC	0158	TODD	

- Please update the NSCC Directory dated January 4, 2010 (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, April 8, 2010</u></b> Penson Financial Services, Inc.	PFSI	0234	PFBA	
<b><u>Add First Trade Date, April 6, 2010</u></b> Penson Financial Services, Inc. Tradebot Systems, Inc.	PFSI WEDB	0234 0103	PFDK TRBW	
<b><u>Add First Trade Date, April 7, 2010</u></b> Fortis Clearing Americas LLC.	SHMR	0695	DAQF	
<b><u>Add First Trade Date, April 8, 2010</u></b> Mackie Research Capital Corporation / CDS	RECA	5029	MREC	
<b><u>Add First Trade Date, April 9, 2010</u></b> Labranche Structured Products	PRST	0551	LASP	
<b><u>Add First Trade Date, April 12, 2010</u></b> Fortis Clearing Americas LLC Fortis Clearing Americas LLC PTI Securities & Futures L.P.	SILK SILK IBKR	0501 0501 0017	LIMG LIMS PTIX	
<b><u>Add First Trade Date, April 23, 2010</u></b> Banc of America Specialist Inc.	MLCO	0161	BASP	

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)