

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6992  
**P&S#** 6562  
**Date:** 05/14/10  
**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 firm will retire from all services, as detailed below:  
**Last Trade Date, May 14, 2010:**  
SEI Investment Distribution Company/Oak Assoc. Fund No. 5761
- The following firm will no longer participate in the Fund/SERV and Networking services, as detailed below:  
**Last Trade Date, May 14, 2010:**  
Presidio Funds No. 4948
- The following firm will begin participation in the MF-Daily Price and Rate services, as detailed below:  
**First Trade Date, May 14, 2010:**  
Matrix Capital Group Inc./Catalyst #2 No. 6607
- The following firm will begin participation in the Commission Settlement service, as detailed below:  
**First Trade Date, May 18, 2010:**  
RFS Partners No. 4989
- The following firm will begin participation in the ACATS and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, May 24, 2010:**  
TD Ameritrade Trust Company No. 5982

- An additional number has been assigned to First Heartland Capital Inc. (#0336) for the purpose of utilizing Commission Settlement and the Insurance Processing Service, as detailed below:

**First Trade Date, May 17, 2010:**

First Heartland Capital Inc./Centerre Capital, LLC No. 5376

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

**First Trade Date, May 17, 2010:**

ALPS Distributors, Inc./Oak Funds No. 5761  
 Networking Symbol: O5  
 Contact: Brian Bishop  
 Phone: 720-917-0617

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

**First Trade Date, May 17, 2010:**

Northern Lights Distributors, LLC/CIFG Funds No. 5378  
 Networking Symbol: Pi  
 Contact: Mike Nielsen  
 Phone: 402-493-1731 x 3

- 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>

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

Isbin Investments, Inc.	SWST	0279	ISBN
Exprss Securities, Inc.	SWST	0279	ESII

**Clearing Broker Change Effective First Trade Date, May 26, 2010**

From: Neuberger Berman, LLC	QRCC	0158	NBLB
To: Neuberger Berman, LLC	BSSC	0352	NBLB

- 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>Add First Trade Date, May 14, 2010</u></b> Hayden Stone & Co., LLC	LGNT	0052	HAST	
<b><u>Add First Trade Date, May 17, 2010</u></b> Pelion Securities Corp.	PFSI	0234	PELI	
<b><u>Clearing Broker Change Effective First Trade Date, May 17, 2010</u></b> From: Birchwood Securities Corp. To: Birchwood Securities Corp.	PERS ANDZ	0443 0442	BWEX BWEX	

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)