

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 7000  
**P&S#** 6570  
**Date:** 06/04/10  
**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, June 4, 2010:**  
Allianz Global Investors Distributors LLC/Premier VIT No. 5703
- The following firm will no longer participate in the MF-Daily Price and Rate service, as detailed below:  
**Last Trade Date, June 3, 2010:**  
PFPC Distributors, Inc./The Industry Leaders Fund No. 5654
- The following firm will no longer participate in the Trade Comparison and Trade Recording services, as detailed below:  
**Last Trade Date, June 3, 2010:**  
PNC Bank NA/ETF Account No. 2448
- The following firm will no longer participate in the Commission Settlement service, as detailed below:  
**Last Trade Date, June 4, 2010:**  
RFS Partners No. 4989
- The following firm will begin participation in the Commission Settlement service, as detailed below:  
**First Trade Date, June 3, 2010:**  
PFPC Distributors, Inc./Perimeter Small Cap Growth Fund of the RBB Fund Inc. No. 5416

- The following firm will begin participation in the Envelope Settlement service, as detailed below:

**First Trade Date, June 18, 2010:**

Knight Clearing Services LLC  
Envelope Location (New York)

No. 0295

- Please update the NSCC Directory dated June 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>Delete Last Trade Date, June 2, 2010</u></b> BGB Securities, Inc.	NFSC	0226	BGCM	
<b><u>Add First Trade Date, June 4, 2010</u></b> Network 1 Financial Securities Inc.	LGNT	0052	NTFN	

- Please update the NSCC Directory dated June 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, June 2, 2010</u></b> Merrill Lynch, Pierce, Fenner & Smith Incorporated	PRST	0551	TNPN	
<b><u>Delete Last Trade Date, June 3, 2010</u></b> Merrill Lynch, Pierce, Fenner & Smith Incorporated	PRST	0551	MLFF	
<b><u>Delete Last Trade Date, June 4, 2010</u></b> Source Capital Group, Inc.	FCCP	0141	SORE	
Feil Daily Investment Company	FCCP	0141	LGLL	
Benjamin Securities, Inc.	FCCP	0141	BENJ	
Curran Advisory Services, LLC	FCCP	0141	CLLC	
Coastal Equities	FCCP	0141	COAS	
Ridgewood Associates, Inc. NJ	FCCP	0141	RGWD	
L.P. Littlewood & Associates, Inc.	FCCP	0141	LTLI	
Thornes & Associates, Inc. Investment Securities	FCCP	0141	TATA	
Dale K. Ehrhart, Inc.	FCCP	0141	DKEI	
Kramer Securities Corporation	FCCP	0141	KRAM	
Mellin Securities, Inc.	FCCP	0141	MELN	
PSA Equities, Inc.	FCCP	0141	PSAE	

**Delete Last Trade Date, June 7, 2010**

Fat Securities, LLC	SHMR	0695	FATX
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**Add First Trade Date, June 2, 2010**

Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLCB
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLCD
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLCF
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLCG
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLCK

**Add First Trade Date, June 7, 2010**

Fortis Clearing Americas LLC	SHMR	0695	STRF
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCO	0161	MLCC

- Please update the NSCC Directory dated June 2010 (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, June 3, 2010**

TD Wealth Management Inc.	NFSC	0226	AHWI
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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](mailto:NSCCAA@DTCC.com)