

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 7006  
**P&S#** 6577  
**Date:** 06/11/10  
**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, June 9, 2010:**

PNC Bank NA/ETF Account No. 2448

**Last Trade Date, June 11, 2010:**

SEI Investments Distribution Co./Accessor Funds No. 4992

- The following firm will no longer participate in the Commission Settlement service, as detailed below:

**Last Trade Date, June 15, 2010:**

Lincoln National Life Insurance Company/II No. 4685

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

**First Trade Date, June 9, 2010:**

From: Griffin, Kubik, Stephens & Thompson, Inc. No. 6001

To: BMO Capital Markets GKST Inc. No. 6001

**First Trade Date, June 11, 2010:**

From: Fortis Benefits Insurance Co. No. 4544

To: Union Security Insurance Company No. 4544

- The following firms will begin participation in the Corporate Bond service, as detailed below:

**First Trade Date, June 8, 2010:**

James I. Black & Company No. 7031

**First Trade Date, June 16, 2010:**

David Lerner Associates, Inc. No. 5144

- The following firm will begin participation in the ACATS and Corporate Bond services, as detailed below:

**First Trade Date, June 10, 2010:**

MeesPierson Securities LLC No. 0349

- The following firm will begin participation in the Insurance Processing service, as detailed below:

**First Trade Date, June 11, 2010:**

Hantz Financial Services, Inc. No. 0614

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

**First Trade Date, June 15, 2010:**

Northern Lights Distributors, LLC/Chadwick & D'Amato Fund No. 5382

Networking Symbol: Q0

Contact: Mike Nielsen

Phone: 402-493-1731 x 3

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

**First Trade Date, June 21, 2010:**

Northern Lights Distributors, LLC/Princeton Futures Strategy Fund No. 5381

Networking Symbol: QG

Contact: Mike Nielsen

Phone: 402-493-1731 x 3

- An additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, Networking, and MF-Daily Price and Rate services, as detailed below:

**First Trade Date, June 21, 2010:**

Unified Financial Securities, Inc./LS Opportunity Fund No. 5380

Networking Symbol: C4

Contact: Erika Baker

Phone: 317-917-7000 x 7564

- 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>

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

Peninsular Securities Co.	PERS	0443	PENS
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Fiduciary Financial Services Corp.	PERS	0443	SSCC
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**Add First Trade Date, June 18, 2010**

Guzman & Company	MLCO	0161	GZML
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- 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>Clearing Broker Change Effective First Trade Date, June 18, 2010</u></b>				
From: Knight Direct, LLC	MLCO	0161	DTTX**	
To: Knight Direct, LLC	NITC	0295	DTTX	
<b><u>Delete Last Trade Date, June 11, 2010</u></b>				
Consultiva Securities, Inc.	FCCP	0141	CONS	
First Western Securities	FCCP	0141	FWSI	
Reid and Associates, LLC	FCCP	0141	REID	
T.S. Phillips Investments, Inc.	FCCP	0141	TSPI	
Carolinas Investment Consulting, LLC	FCCP	0141	CICL	
C.E. Gaye & Sons Securities LTD.	FCCP	0141	PUMP	
MICG Investment Management	FCCP	0141	MICG	
Triangle Securities LLC	FCCP	0141	TRIN	
<b><u>Add First Trade Date, June 8, 2010</u></b>				
Saratoga Capital Markets	VSIN	0595	SCLC	
Lime Brokerage LLC	JEFF	0019	JFLI	
<b><u>Add First Trade Date, June 10, 2010</u></b>				
MF Global Securities, Inc.	MANS	0120	MFED	

\*\*The Executing Brokers noted below will remain clearing through Merrill Lynch, Pierce, Fenner, and Smith Inc.:

Knight Equity Markets, L.P. – NITE - 0161  
 Knight Capital Markets, LLC – TRIM – 0161

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)