

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 7043  
**P&S#:** 6614  
**Date:** 08/13/10  
**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, August 10, 2010:**  
State Street Bank & Trust/JP Morgan Retirement Plan Services/Sun Micro Systems No. 5102
- The following firm will no longer participate in the MF-Daily Price and Rate File service, as detailed below.  
**Last Trade Date, August 13, 2010:**  
Quasar Distributors, LLC/Barrett Growth Fund No. 5480
- The following firm will change from participating in the MF-Profile service to participating in the MF-Daily Price and Rate File service, as detailed below.  
**First Trade Date, August 12, 2010:**  
Robert W. Baird & Co. Incorporated No. 4905
- The following firm will begin participation in the MF-Profile service, as detailed below.  
**First Trade Date, August 20, 2010:**  
Advisors Clearing Network, Inc. No. 0359
- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, August 16, 2010:**  
Quasar Distributors, LLC/O'Shaughnessy Funds No. 5318  
Networking Symbol: L3  
Contact: Casey Sauer  
Phone: (414) 347-5766

- An additional number has been assigned to AXA Equitable Life Insurance Company (#4535) for the purpose of utilizing the Insurance Processing Service, as detailed below:

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

AXA Equitable Life Insurance Company/Equivest No. 4742

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

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

Northern Lights Distributors, LLC/PSI Funds No. 5335

Networking Symbol: UA

Contact: Mike Nielsen

Phone: (402) 493-1731 ext 3

- Please update the NSCC Directory dated July 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, August 6, 2010</u></b> J.P. Turner & Company LLC	PFCL	0158	JPTM	
<b><u>Delete Last Trade Date, August 10, 2010</u></b> Network 1 Financial Securities Inc.	SWST	0279	NETW	
<b><u>Delete Last Trade Date, August 11, 2010</u></b> White Pacific Securities, Inc.	PFSI	0234	MKTD	
<b><u>Delete Last Trade Date, August 12, 2010</u></b> Davis, Mendel & Regenstein, Inc.	PERS	0443	DRMI	
<b><u>Add First Trade Date, September 3, 2010</u></b> McNicoll, Lewis & Vlak LLC	MLCO	0161	MLVM	

- Please update the NSCC Directory dated July 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, August 9, 2010</u></b> Fortis Clearing Americas LLC	SHMR	0695	FCOU	
Fortis Clearing Americas LLC	SHMR	0695	FSOR	

Fortis Clearing Americas LLC	SHMR	0695	HGSF
Fortis Clearing Americas LLC	SHMR	0695	HGSN
Penson Financial Services, Inc.	SHMR	0695	PFBM
Tradebot Systems, Inc.	WEDB	0103	TRBW
Sammons Securities Company, LLC	FCCP	0141	SAMS
Sigma Financial Corporation	FCCP	0141	SIGM
Hennion & Walsh, Inc.	FCCP	0141	NHWI
United Brokerage Services, Inc.	FCCP	0141	UBSI
City Securities Corporation	FCCP	0141	CITY
Knight Bondpoint, Inc.	FCCP	0141	VABD
Folger Nolan Fleming Douglas Inc.	FCCP	0141	FNFD
First Citizens Financial Plus, Inc.	FCCP	0141	FCFP

**Delete Last Trade Date, August 10, 2010**

Penson Financial Services, Inc.	FBCO	0355	PFAX
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**Delete Last Trade Date, August 11, 2010**

Fortis Clearing Americas LLC	SHMR	0695	GRYF
Canaccord Capital Corporated/CDS	CICF	5046	CPIN
KCCI, Ltd.	PFSI	0234	KCCP

**Delete Last Trade Date, August 12, 2010**

Penson Financial Services, Inc.	PFSI	0234	PFCN
Penson Financial Services, Inc.	PFSI	0234	PFCM
Advantage GFC LLC	BSSC	0352	PINO

**Delete Last Trade Date, August 13, 2010**

Pruco Securities, LLC	FCCP	0141	PRUC
Marquette De Bary Co., Inc.	FCCP	0141	MDEB
Gage-Wiley & Co., Inc.	FCCP	0141	GGWI

**Delete Last Trade Date, August 16, 2010**

Penson Financial Services, Inc.	PFSI	0234	PFTS
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**Add First Trade Date, August 9, 2010**

CCM Securities, LLC	SILK	0501	TURN
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**Add First Trade Date, August 12, 2010**

ABN AMRO Clearing Chicago LLC	SHMR	0695	RMGA
Lincoln Investment	PERS	0443	LNCL

**Add First Trade Date, August 13, 2010**

Penson Financial Services, Inc.	PFSI	0234	PFDT
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If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail [NSCCAA@DTCC.com](mailto:NSCCAA@DTCC.com)