

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 7058  
**P&S#:** 6629  
**Date:** 09/10/10  
**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 no longer participate in the Fund/SERV, Networking, Commission Settlement and MF-Profile Service, as detailed below:

**Last Trade Date, September 20, 2010:**

Columbia Management Investment Distributors, Inc. No. 6616

The following firm will change their name only, as detailed below:

**First Trade Date, September 20, 2010:**

From: Columbia Management Investment Distributors, Inc./Columbia Funds No. 5501

To: Columbia Management Investment Distributors, Inc. No. 5501

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

**First Trade Date, September 7, 2010:**

Payden & Rygel Distributors No. 5535

The following firm will begin participation in the MF-Daily Price and Rate File service, as detailed below:

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

Union Bank of California NA No. 2145

The following firm will begin participation in the NYSE Listed Comparison service, as detailed below:

**First Trade Date, October 4, 2010:**

ITG Inc. No. 0099

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>Clearing Broker Change Effective First Trade Date, September 15, 2010</u></b>				
From: Pacific American Securities, LLC	CLRV	0702	PAMS	
To: Pacific American Securities, LLC	PERS	0443	PAMS	
<b><u>Delete Last Trade Date, September 7, 2010</u></b>				
Cullum & Burks Securities, Inc.		0235	CBSI	
<b><u>Delete Last Trade Date, September 10, 2010</u></b>				
Summit Securities Group LLC	BSSC	0352	SUMS	
AOS, Inc.	TNTO	0364	AOSC	
<b><u>Add First Trade Date, September 7, 2010</u></b>				
Sunstreet Securities, LLC	MSRO	0727	SUST	
<b><u>Add First Trade Date, September 8, 2010</u></b>				
Bolton Securities Corporation		0235	BLTN	
Leonard & Company		0235	LEOC	
<b><u>Add First Trade Date, September 9, 2010</u></b>				
Lazard Capital Markets, LLC.	BSSC	0352	LZCM	
<b><u>Add First Trade Date, September 13, 2010</u></b>				
First Southern Securities LLC	FSWC	0309	FRST	

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>Executing Broker Name Change Effective First Trade Date, September 13, 2010</u></b>				
From: Raiké Financial Group Inc.	SWST	0279	RDNK	
To: Woodstock Financial Group Inc.	SWST	0279	RDNK	
<b><u>Delete Last Trade Date, September 7, 2010</u></b>				
Penson Financial Services, Inc.	SILK	0501	PFAW	

Newedge USA, LLC	PCAP	0608	FCAZ
Newedge USA, LLC	PCAP	0608	NARC
Newedge USA, LLC	PCAP	0608	NEAB
Community Bankers Securities, LLC		0235	ELIT

**Delete Last Trade Date, September 8, 2010**

Biremis Corporation	PFSI	0234	BRMA
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**Delete Last Trade Date, September 9, 2010**

Sagepoint Financial Inc.	PERS	0443	AIGF
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**Add First Trade Date, September 7, 2010**

Morgan Stanley & Co. Incorporated	MSCO	0050	MSEA
ABN AMRO Clearing Chicago LLC	SHMR	0695	FHET
ABN AMRO Clearing Chicago LLC	SHMR	0695	ISHA

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

Morgan Stanley & Co. Incorporated	MSCO	0050	MSEB
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Please update the NSCC Directory dated July 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>

**Clearing Broker Change Effective First Trade Date, September 8, 2010**

From: Kipling Jones & Co., LTD.	SALI	0750	KJCO
To: Kipling Jones & Co., LTD.	SWST	0279	KJCO

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

Woodstock Financial Group, Inc.	SWST	0279	RDNK
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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)