

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 7070  
**P&S#:** 6641  
**Date:** 10/01/10  
**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, September 28, 2010:**

Columbia Management Investment Distributors, Inc. No. 6616

**Last Trade Date, September 29, 2010:**

Van Kampen Funds Inc. No. 5513

Van Kampen Funds Inc./529 Plans No. 5660

Van Kampen Funds Inc./UIT No. 4964

Wells Fargo Funds Distributor, LLC/Evergreen Investment Services, Inc. No. 5518

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

**Last Trade Date, September 30, 2010:**

Legent Clearing LLC No. 0052

- The following firm will no longer participate in the Trade Recording and Trade Comparison, ACATS, Envelope Settlement and the When Issued Municipal Bond Comparison System services, as detailed below:

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

Rafferty Capital Markets, LLC No. 0212

Muni Alpha-Identifier RCM

- The following firm will no longer participate in the Trade Recording and Trade Comparison and Envelope Settlement services, as detailed below:

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

Rafferty Capital Markets, LLC/J.J. Kenny Drake No. 0414

- The following firm will no longer participate in the Fund/SERV, Networking and Commission Settlement services, as detailed below:

**Last Trade Date, October 5, 2010:**

AXA Advisors, LLC

No. 0328

- 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, October 1, 2010:**

Northern Lights Distributors LLC/Ladenburg Thalmann Alternative Strategies Fund No. 5344

Networking Symbol: BY

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>Add First Trade Date, September 30, 2010</u></b>				
Penserra Securities, LLC	MLCO	0161	PNSA	
SL Hare Capital, Inc.	WEDB	0103	SLHC	
<b><u>Add First Trade Date, October 5, 2010</u></b>				
XATS, Inc.	LGNT	0052	XATS	
<b><u>Add First Trade Date, October 8, 2010</u></b>				
SecureVest Financial Group	MLCO	0161	SVPB	

- 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>Clearing Broker Change and Executing Broker Name Change Effective First Trade Date, October 4, 2010</u></b>				
From: Putnam Lovell NBF Securities Inc.	FMAF	5008	PTLV	
To: National Bank Financial of Canada Inc.	PERS	0443	PTLV	

**Delete Last Trade Date, October 1, 2010**

David M. Polen Securities, Inc.	BSSC	0352	DMPS
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**Add First Trade Date, September 28, 2010**

Citadel Securities LLC	CDRG	0395	CATS
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**Add First Trade Date, September 30, 2010**

ABN AMRO Clearing Chicago LLC	SHMR	0695	ADSA
ABN AMRO Clearing Chicago LLC	SHMR	0695	TEZX
ABN AMRO Clearing Chicago LLC	SHMR	0695	QLBX
Lightspeed Trading, LLC	ANDZ	0442	LSSU

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

Assent LLC	ANDZ	0442	ASNN
Ditto Trade, Inc.	PFSI	0234	DITO
Penson Financial Services, Inc.	MLCO	0161	PFDW
Lime Brokerage LLC	MLCO	0161	LIPR

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)