

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7077  
**P&S#:** 6648  
**Date:** 10/15/10  
**To:** **ALL PARTICIPANTS**  
**Attention:** OPERATIONS PARTNER/OFFICER;  
MANAGER P&S DEPARTMENT;  
CASHIER; ACATS PARTICIPANTS;  
FUND/SERV PARTICIPANTS; MUNICIPAL BOND  
COMPARISON PARTICIPANTS  
**From:** Adrean Hinojosa, Account Administration  
**Subject:** CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will retire from all services, as detailed below:

**Last Trade Date, October 18, 2010:**

BNY Mellon Distributors Inc./Bear Stearns Asset Management Funds of the  
RBB Fund, Inc.

No. 6596

- The following firm will no longer participate in the Fund/SERV, Networking, Commission Settlement, Envelope Settlement, When Issued Municipal Bond Comparison System, OTC Comparison, ACATS and ACATS Fund/SERV services, as detailed below:

**Last Trade Date, October 18, 2010:**

NBC Securities, Inc.  
MUNI/OTC Identifier:

No. 0306  
NBCS

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

**First Trade Date, October 14, 2010:**

From: Claymore Securities, Inc.  
To: Guggenheim Funds Distributors, Inc.

No. 0526  
No. 0526

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

From: Direct Access Brokerage Services, Inc.  
To: Title Securities, Inc.

No. 7081  
No. 7081

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

**First Trade Date, October 13, 2010:**

Thrivent Investment Management Inc.  
Networking Symbol:  
Contact: Ryan Hill  
Phone: (800) 847-4836

No. 7243  
V8

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

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

Northern Lights Distributors LLC/Adaptive Allocation Fund No. 6694

- The following Data Services Only members will begin participation in the Insurance Processing services, as detailed below:

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

Investors Capital Corporation No. 6016

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

Harmon Financial Advisors, Inc. No. 6022

- Please update the NSCC Directory dated October 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, October 12, 2010</u></b> Heritage Financial Systems, Inc.	MSRO	0727	HFSB	
<b><u>Add First Trade Date, October 13, 2010</u></b> Wunderlich Securities, Inc.		0235	WUNR	
<b><u>Add First Trade Date, October 15, 2010</u></b> Daiwa Capital Markets America Inc.	BSSC	0352	DCMO	
<b><u>Add First Trade Date, October 20, 2010</u></b> IBERIA Capital Partners L.L.C.	NFSC	0226	IBER	

- Please update the NSCC Directory dated October 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, October 22, 2010</u></b> From: Knight Equity Markets, L.P. To: Knight Equity Markets, L.P.	MLCO	0161	NITE	
	NITC	0295	NITE	
<b><u>Delete Last Trade Date, October 18, 2010</u></b> Brewer Financial Services, LLC	NFSC	0226	BRFS	

**Add First Trade Date, October 14, 2010**

Merrill Lynch, Pierce, Fenner & Smith Incorporated

MLCO 0161 MLTW

**Add First Trade Date, October 15, 2010**

TCT Securities & Derivatives, LLC

SALI 0750 TCTD

Banif Securities Inc.

PERS 0443 BANF

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)