

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7086  
**P&S#:** 6657  
**Date:** 10/29/10  
**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

*As a result of a merger, effective with the close of business on October 29, 2010, Banc of America Securities LLC (#0773), will become an additional account of Merrill Lynch, Pierce, Fenner & Smith Incorporated (#0161). Please note that effective with the opening of business of November 1, 2010, account number (#0773) will be assigned to, and all open contracts will be assumed by, Merrill Lynch, Pierce, Fenner & Smith Incorporated (#0161). Accordingly, the name of the account will change as seen below.*

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

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

Banc of America Securities LLC

No. 0773

*Consequently, Merrill Lynch, Pierce, Fenner & Smith Incorporated (#0161) will open the following additional account retaining all current services and OTC, Muni and NYSE Identifiers.*

**First Trade Date, November 1, 2010:**

Merrill Lynch, Pierce, Fenner & Smith Incorporated/FI

No. 0773

OTC/Muni Identifier:

BOFA

NYSE Identifier:

BA

*As a result of a merger of Guggenheim Liquidity Services, LLC into Guggenheim Securities LLC, Guggenheim Securities LLC will assume all open contracts for Guggenheim Liquidity Services LLC (#0181), which are to be cleared or settled through or by National Securities Clearing Corporation.*

*Consequently, Guggenheim Liquidity Services LLC (#0181) will open the following account retaining all current services.*

**First Trade Date, November 1, 2010:**

Guggenheim Securities LLC

No. 0181

- The following firm will retire from all services, as detailed below:  
**Last Trade Date, October 28, 2010:**  
Beneficial Investment Services, Inc. No. 0267
- The following firm will no longer participate in the NYSE Listed Comparison, Trade Recording and Trade Comparison services, as detailed below:  
**Last Trade Date, November 5, 2010:**  
National Fin'l Serv, LLC/SunTrust Capital Mkts No. 0218  
NYSE Alpha Identifier: RHU
- The following firm will no longer participate in the Trade Recording and Trade Comparison services, as detailed below:  
**Last Trade Date, November 5, 2010:**  
Prudential Equity Group Inc. No. 0583
- The following firms will begin participation in the MF-Daily Price and Rate File service, as detailed below:  
**First Trade Date, November 1, 2010:**  
Northern Lights Distributors, LLC/CMG Absolute Return Strategies Fund No. 6541  
Northern Lights Distributors, LLC/Chariot Absolute Return Currency Fund No. 5948
- The following firm will begin participation in the OTC Comparison service, as detailed below:  
**First Trade Date, November 1, 2010:**  
Industrial and Commercial Bank of China Financial Services LLC No. 0388  
OTC Alpha Identifier ICBK
- The following Data Service Only member will begin participation in the Insurance Processing services, as detailed below:  
**First Trade Date, November 1, 2010:**  
United Planners Financial Services of America, LP No. 6008
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, November 2, 2010:**  
Grubb & Ellis Equity Advisors, Transfer Agent, LLC No. 5415
- The following additional numbers have been assigned to Grubb & Ellis Equity Advisors, Transfer Agent, LLC (#5415) for participation in the Alternative Investment Products service, as detailed below:  
**First Trade Date, November 2, 2010:**  
Grubb & Ellis Equity Advisors, Transfer Agent, LLC/Grubb & Ellis  
Apartment Reit, Inc. No. 3464  
Grubb & Ellis Equity Advisors, Transfer Agent, LLC/Grubb & Ellis  
Healthcare Reit II, Inc. No. 3465

- 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>Delete Last Trade Date, October 27, 2010</u></b> 1 <sup>st</sup> Discount Brokerage, Inc.	PFSI	0234	FDSX	
<b><u>Add First Trade Date, October 28, 2010</u></b> Lightspeed Trading, LLC	PFSI	0234	LSXF	
<b><u>Add First Trade Date, November 1, 2010</u></b> Capital Synergy Partners Auriga USA, Inc.		0235 PERS 0443	CSPI ARGA	

- 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>Delete Last Trade Date, October 29, 2010</u></b> Banc of America Securities LLC Banc of America Securities LLC Banc of America Securities LLC Banc of America Securities LLC Nationsbank of Texas, N.A. Buttonwood Partners, Inc. Rubicon Global Investments, LLC	BOFA BOFA BOFA BOFA BOFA NFSC PRST	0773 0773 0773 0773 0773 0226 0551	BAED BAOM BASD DAFV NBTX BPWP RUBI	
<b><u>Add First Trade Date, October 27, 2010</u></b> DME Securities, LLC. Pershing LLC	PFSI PERS	0234 0443	DMES PERB	
<b><u>Add First Trade Date, October 28, 2010</u></b> Permac Securities, Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Morgan Stanley & Co. Inc. Citigroup Global Markets Inc.	PRST MSCO MSCO MSCO MSCO MSCO MSCO MSCO MSCO PERS	0551 0050 0050 0050 0050 0050 0050 0050 0050 0443	PEMA MSED MSEE MSEF MSEG MSEH MSEI MSEJ MSEK CGWM	

**Add First Trade Date, October 29, 2010**

Merrill Lynch, Pierce, Fenner & Smith Inc.

MLCO 0161 MLTX

**Add First Trade Date, November 1, 2010**

Penson Financial Services, Inc.

PFSI 0234 PFDZ

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)