

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7094  
**P&S#:** 6665  
**Date:** 11/5/10  
**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 begin participation in the NYSE Listed Comparison service, as detailed below:

**First Trade Date, November 3, 2010:**

ABN AMRO Clearing Chicago LLC/Retail  
NYSE Alpha Identifier:

No. 0541  
AACC

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

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

Hartford Securities Distribution Company, Inc./PRG  
Networking Symbol:  
Contact: James L'Esperance  
Phone: (860) 624-0164

No. 5920  
WZ

- The following firm will begin participation in the Corporate, Municipal and UIT Comparison services, as detailed below:

**First Trade Date, November 5, 2010:**

Industrial and Commercial Bank of China Financial Services LLC  
Muni Identifier:

No. 0388  
ICBK

- 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, November 2, 2010:**

Northern Lights Distributors, LLC/Bishop Volatility Flex Fund  
Networking Symbol:  
Contact: Mike Nielsen  
Phone: (402) 493-1731 ext. 3

No. 5364  
WX

- An additional number has been assigned to Nomura Securities International, Inc. (#0180) for the purpose of utilizing the Corporate Bond Comparison service, as detailed below:

**First Trade Date, November 9, 2010:**

Nomura Securities International, Inc./Fixed Income

No. 5222

- 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, November 2, 2010</u></b> Cuttone & Co., Inc.	BSSC	0352	CJPM	
<b><u>Delete Last Trade Date, November 8, 2010</u></b> PNC Investments	FCCP	0141	NATY	
<b><u>Add First Trade Date, November 9, 2010</u></b> PNC Investments	NFSC	0226	PNCC	

- 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 Symbol Change Effective First Trade Date, November 10, 2010</u></b> From: ABN AMRO Clearing Chicago LLC/Retail To: ABN AMRO Clearing Chicago LLC	FCIN	0541	FCIN	0541
	AACC	0541	AACC	0541
<b><u>Delete Last Trade Date, November 1, 2010</u></b> Newbridge Securities Corporation Wedbush Morgan Securities, Inc. Auriga USA, Inc.	SALI	0750	BRGC	
	WEDB	0103	WMWK	
	WEDB	0103	GCCI	
<b><u>Delete Last Trade Date, November 2, 2010</u></b> Legend Securities, Inc.	WEDB	0103	LEGD	
<b><u>Delete Last Trade Date, November 3, 2010</u></b> Stuart Frankel & Co., Incorporated BNY Brokerage Inc.	SILK	0501	STFI	
	PERS	0443	ESGN	

**Delete Last Trade Date, November 4, 2010**

Instinet, LLC	INCA	0067	TORG
Citigroup Global Markets, Inc.	SILK	0501	CDMI

**Add First Trade Date, November 2, 2010**

Penson Financial Services, Inc.	PFSI	0234	PFDU
---------------------------------	------	------	------

**Add First Trade Date, November 3, 2010**

Ceros Financial Services, Inc.	PFCL	0158	CFSI
--------------------------------	------	------	------

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

LavaFlow, Inc.	SILK	0501	LAVA
----------------	------	------	------

**Add First Trade Date, November 5, 2010**

Dunmore Trading LLC	PFSI	0234	DUNN
---------------------	------	------	------

**Add First Trade Date, November 8, 2010**

Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYG
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYH
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP
Goldman Sachs Execution & Clearing L.P.	SILK	0501	BZYP

- Please update the NSCC Directory dated October 2010 (for Municipal Bond Comparison System) as detailed below:

<u>Clearing Broker</u>		<u>Executing Broker</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

**Delete Last Trade Date, November 3, 2010**

Amcore Investment Services, Inc.	NFSC	0226	AISI
----------------------------------	------	------	------

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)