

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7117  
**P&S#:** 6688  
**Date:** 12/10/10  
**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 firms will retire from all services, as detailed below:

**Last Trade Date, December 6, 2010:**

Oberlin Financial Corporation No. 0599

**Last Trade Date, December 7, 2010:**

Electric City Funds, Inc. No. 5877

**Last Trade Date, December 8, 2010:**

Fortis Securities LLC No. 7253

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

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

From: SMBC Securities, Inc. No. 6700

To: SMBC Nikko Securities America, Inc. No. 6700

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

From: Unified Financial Securities, Inc./Bell Funds No. 5294

To: Unified Financial Securities, Inc./Geier Funds No. 5294

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

From: Union Bank of California NA No. 2145

To: Union Bank N.A. No. 2145

From: Union Bank of California N.A. No. 2851

To: Union Bank N.A. No. 2851

**First Trade Date, December 30, 2010:**

From: Foreside Fund Services LLC/Liberty Street Horizon Fund No. 6767  
To: Foreside Fund Services LLC/Liberty Street Funds No. 6767

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

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

Quasar Distributors, LLC/Performance Trust No. 5324

- The following firm will begin participation in the Alternative Investment Products service, as detailed below:

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

Noble Royalties, Inc. No. 3474

- An additional number has been assigned to Matrix Capital Group, Inc. (#5681) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

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

Matrix Capital Group, Inc./Frank Funds No. 5372  
Networking Symbol: X1  
Contact: Gregg Getts  
Phone: (441) 922-0066

- An additional number has been assigned to First Trust Portfolios L.P. (#6575) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF Profile Service and ACATS Fund/SERV services, as detailed below:

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

First Trust Portfolios L.P./First Trust Series Fund No. 5374  
Networking Symbol: XA  
Contact: James Dykas  
Phone: (630) 517-7665

- Please update the NSCC Directory dated November 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>

**Clearing Broker Change Effective First Trade Date, December 9, 2010**

From: Earlybird Capital, Inc.	SWST	0279	EBRD
To: Earlybird Capital, Inc.	WEDB	0103	EBRD

**Delete Last Trade Date, December 14, 2010**

Guaranty Brokerage Services, Inc.

BANK 0701 GBIS

- Please update the NSCC Directory dated November 2010 (for OTC Executed-By List) as detailed below:

**Add First Trade Date, December 17, 2010**

Jump Trading

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

MANS	0120	JTSS	
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**Add First Trade Date, December 20, 2010**

Grace Financial Group, LLC

Grace Financial Group, LLC

PFCL	0158	GFGL	
PFCL	0158	GFGP	

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)