

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7122  
**P&S#:** 6693  
**Date:** 12/17/10  
**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, December 17, 2010:**

Merrill Lynch Pierce Fenner Smith Inc.-SECS.Lending No. 5143

- The following firm will change their name only, as detailed below:

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

From: AIG Sunamerica Capital Services Inc. No. 5596

To: SunAmerica Capital Services, Inc. No. 5596

From: AIG Sunamerica Capital Services Inc./AIG Valic No. 5560

To: SunAmerica Capital Services, Inc./Valic No. 5560

**First Trade Date, December 22, 2010:**

From: Quasar Distributors, LLC/Brazos Mutual Funds No. 5616

To: Quasar Distributors, LLC/PineBridge Funds No. 5616

- The following firm will begin participation in the RECAPS service, as detailed below:

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

BNP Paribas Securities Corp/Fixed Income No. 0630

- An additional number has been assigned to Barclays Capital Inc. (#5340) for the purpose of utilizing Fund/SERV service, as detailed below:

**First Trade Date, December 16, 2010:**

Barclays Capital Inc./Barclays Celsius Funds Ireland/Malta No. 5375

- 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, December 17, 2010:**

Northern Lights Distributors, LLC/CWC Aggressive Value Small Cap Fund No. 5379  
 Networking Symbol: 4D  
 Contact: Mike Nielsen  
 Phone: (402) 493-1731 ext. 3

- An additional number has been assigned to First National Bank of Omaha (#2254) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

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

First National Bank of Omaha/Nebraska Educational Savings Trust No. 5371  
 Networking Symbol: XW  
 Contact: Deborah Goodkin  
 Phone: (402) 602-7204

- Please update the NSCC Directory dated November 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, December 17, 2010</u></b>				
From: Themis Trading LLC	SILK	0501	THEM	
To: Themis Trading LLC	PERS	0443	THEM	
<b><u>Clearing Broker Change Effective First Trade Date, December 20, 2010</u></b>				
From: Equity Trust Advisors, Inc.	PFSI	0234	ETAI	
To: Electronic Transaction Clearing, Inc.	ETCC	0873	ETAI	
<b><u>Delete Last Trade Date, December 14, 2010</u></b>				
Electronic Securities Processing (ESP), LLC	MLCO	0161	ESBL	
<b><u>Delete Last Trade Date, December 17, 2010</u></b>				
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCO	0161	MLOM	
<b><u>Add First Trade Date, December 15, 2010</u></b>				
QuantRiver Financial, LLC	PFSI	0234	QRQR	
<b><u>Add First Trade Date, December 17, 2010</u></b>				
Benjamin & Jerold Brokerage 1, LLC	EBSC	0393	BEGK	

**Add First Trade Date, December 20, 2010**

Burke & Quick Partners LLC

PFCL 0158 BAQP

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

Clearing Broker  
Identifiers

Executing Broker  
Identifiers

Alpha

Numeric

Alpha

Numeric

**Delete Last Trade Date, December 17, 2010**

Equity Trust Advisors, Inc.

PFSI

0234

ETAI

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)