

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7126  
**P&S#:** 6697  
**Date:** 12/23/10  
**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 23, 2010:**  
Quasar Distributors LLC/US Bank Stable Asset Fund No. 5588
- The following firm will change their name only, as detailed below:  
**First Trade Date, December 23, 2010:**  
From: Schroder Fund Advisors, Inc. No. 4956  
To: Schroder Fund Advisors LLC No. 4956  
  
From: Schroder FD Advisors, Inc./ Schroder Fund Advisors No. 4853  
International Division  
To: Schroder Fund Advisors LLC/ Schroder Fund Advisors No. 4853  
International Division
- The following firm will begin participation in the RECAPS service, as detailed below:  
**First Trade Date, January 3, 2011:**  
Citadel Securities LLC No. 0395
- An additional number has been assigned to American General Life Insurance Company(#4502) for the purpose of utilizing the Insurance Processing Service, as detailed below:  
**First Trade Date, December 27, 2010:**  
American General Life Insurance Company/AGL Position File Feed No. 4743

- 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 27, 2010:**

Northern Lights Distributors, LLC/Navigator Equity Hedged Fund No. 5394  
 Networking Symbol: OA  
 Contact: Mike Nielsen  
 Phone: (402) 493-1731 ext. 3

- 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 27, 2010:**

Northern Lights Distributors, LLC/Copeland Risk Managed Dividend Growth Fund No. 5395  
 Networking Symbol: XH  
 Contact: Mike Nielsen  
 Phone: (402) 493-1731 ext. 3

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, December 29, 2010:**

Quasar Distributors, LLC/Boston Common Funds No. 5350  
 Networking Symbol: WA  
 Contact: Casey Sauer  
 Phone: (414) 347-5786

- 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</u>		<u>Executing Broker</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Add First Trade Date, December 23, 2010</u></b> Interbolsa Securities, LLC	PERS	0443	IBSA	

- 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 21, 2010</u></b>				
From: ABN AMRO Clearing Chicago LLC	SHMR	0695	MXTA	
To: ABN AMRO Clearing Chicago LLC	AACC	0541	MXTA	
<b><u>Clearing Broker Change Effective First Trade Date, December 21, 2010</u></b>				
From: Illustro Trading, LLC	SHMR	0695	ILUS	
To: Illustro Trading, LLC	AACC	0541	ILUS	
<b><u>Clearing Broker Change Effective First Trade Date, January 3, 2011</u></b>				
From: Kellogg Specialist Group LLC	PRST	0551	KELL	
To: Kellogg Specialist Group LLC	NITC	0295	KELL	
<b><u>Clearing Broker Change Effective First Trade Date, January 3, 2010</u></b>				
From: Kellogg Specialist Group LLC	SILK	0501	KELG	
To: Kellogg Specialist Group LLC	NITC	0295	KELG	
<b><u>Delete Last Trade Date, December 21, 2010</u></b>				
Electronic Specialists, LLC	PRST	0551	ELPX	
<b><u>Add First Trade Date, December 22, 2010</u></b>				
Latour Trading, LLC	WEDB	0103	BZYS	
<b><u>Add First Trade Date, December 23, 2010</u></b>				
Glickenhau & Co.	PERS	0443	GLIC	
Alluvion Securities, LLC	SALI	0750	ALLU	
<b><u>Add First Trade Date, December 27, 2010</u></b>				
Electronic Transactions Clearing, Inc.	ETCC	0873	ETAK	

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

**Executing Broker Name Change**  
**Effective First Trade Date, January 3, 2011**

From: MML Investors Services, Inc.  
To: MML Investors Services

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
0226	NFSC	GRPS	
0226	NFSC	GRPS	

**Clearing Broker Change Effective First Trade Date,**  
**December 23, 2010**

From: Alluvion Securities, LLC  
To: Alluvion Securities, LLC

0279	SWST	ALLU	
SALI	0750	ALLU	

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)