

# IMPORTANT NOTICE

## National Securities Clearing Corporation



**A#:** 7132 REVISED 1/3/2011  
**P&S#:** 6702  
**Date:** 12/31/10  
**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

**Revision: OTC Executing Broker "DTTX" will undergo a name change only. OTC Clearing will remain with Clearing Broker "NITC/0295".**

*As a result of an asset transfer, Wells Fargo Advisors, LLC will open an NSCC Account effective with the open of business January 3, 2011. Effective with the close of business on December 31, 2010, Wells Fargo Investments, LLC (#0733), will become an additional account of Wells Fargo Advisors, LLC. Please note, that effective with the opening of business of January 3, 2011, account number (#0733) will be assigned to, and all open contracts will be assumed by, Wells Fargo Advisors, LLC (#7360) as noted below. Accordingly, the name of the account # 0733 will change as follows:*

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

**Last Trade Date, December 31, 2010:**

Wells Fargo Investments, LLC No. 0733

*Consequently, Wells Fargo Advisors, LLC will open the following accounts retaining all current services for # 0733.*

**First Trade Date, January 3, 2011:**

Wells Fargo Advisors, LLC No. 7360

**First Trade Date, January 3, 2011:**

Wells Fargo Advisors, LLC/WFI No. 0733  
OTC/Muni Identifier: RAGN

Note: Please direct all inquiries regarding the above to:

Wells Fargo Advisors, LLC  
Contact: Andy Layne  
Phone: (314) 955-1301

Contact: Karen Mason  
Phone (314) 955-1541

Wells Fargo Investments, LLC  
Contact: Ed Karels  
Phone: (612) 336-7928

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

**Last Trade Date, December 31, 2010:**

Quasar Distributors, LLC/Akros Absolute Return Fund No. 5474

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

**First Trade Date, December 31, 2010:**

From: Madison Mosaic, LLC No. 6577

To: Madison Investment Advisors, LLC No. 6577

From: Madison Mosaic, LLC/Members Mutual Funds No. 4987

To: Madison Investment Advisors, LLC/Members Mutual Funds No. 4987

**First Trade Date, January 3, 2011:**

From: Knight Clearing Services LLC No. 0295

To: Knight Execution & Clearing Services LLC No. 0295

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

**First Trade Date, December 31, 2010:**

Northern Lights Distributors, LLC/Power Income Fund No. 5332

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

**First Trade Date, January 3, 2011:**

Rafferty Capital Markets, LLC/Acadia Mutual Funds No. 5387

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

**First Trade Date, January 3, 2011:**

Nomura Securities International, Inc./Fixed Income No. 5222

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

**First Trade Date, January 3, 2011:**

MBSC Securities Corporation/The Bank of New York Mellon No. 5913

Networking Symbol: Y0

Contact: Matthew Perrone

Phone: (516) 338-3583

- The following firm will begin participation in the Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

**First Trade Date, January 3, 2011:**

Quasar Distributors, LLC/Morgan Dempsey Funds No. 5354  
 Networking Symbol: MX  
 Contact: Casey Sauer  
 Phone: (414) 347-5766

- The following firm will begin participation in the Commission Settlement and Insurance Processing Services, as detailed below:

**First Trade Date, January 3, 2011:**

Ceros Financial Services, Inc. No. 5331

- 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 31, 2010:**

Northern Lights Distributors, LLC/Bandon Isolated Alpha Fixed Income Fund No. 5393  
 Networking Symbol: J3  
 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 31, 2010:**

Northern Lights Distributors, LLC/SCA Funds No. 5396  
 Networking Symbol: Y1  
 Contact: Mike Nielsen  
 Phone: (402) 493-1731 ext. 3

- 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>
<b><u>Delete Last Trade Date, December 31, 2010</u></b> Penson Financial Services, Inc.	PFSI	0234	PFSS	
<b><u>Add First Trade Date, January 7, 2011</u></b> BOM Capital	MLCO	0161	BCBM	

- 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 and Executing Broker Name Change Effective First Trade Date, January 3, 2011</u></b>				
From: Kellogg Specialist Group LLC	PRST	0551	KELL	
To: Knight Capital Americas, L.P.	NITC	0295	KELL	

<b><u>Clearing Broker Change and Executing Broker Name Change Effective First Trade Date, January 3, 2011</u></b>				
From: Kellogg Specialist Group LLC	SILK	0501	KELG	
To: Knight Capital Americas, L.P.	NITC	0295	KELG	

<b><u>Executing Broker Name Change Effective First Trade Date, January 3, 2011</u></b>				
From: Knight Direct, LLC	NITC	0295	NITD	
To: Knight Execution & Clearing Services LLC	NITC	0295	NITD	
From: Knight Direct, LLC	NITC	0295	DTTX	
To: Knight Execution & Clearing Services LLC	NITC	0295	DTTX	

<b><u>Delete Last Trade Date, December 30, 2010</u></b>				
Fortis Clearing Americas LLC	SHMR	0695	FQLT	
Fortis Clearing Americas LLC	SHMR	0695	TYDF	
Fortis Clearing Americas LLC	SHMR	0695	TIBF	

<b><u>Delete Last Trade Date, December 31, 2010</u></b>				
Penson Financial Services, Inc.	PFSI	0234	PFEE	

<b><u>Add First Trade Date, December 31, 2010</u></b>				
Wedbush Securities Inc.	WEDB	0103	WMVS	

<b><u>Add First Trade Date, January 5, 2011</u></b>				
The Vertical Trading Group, LLC	ALPS	8072	VGRP	

- Please update the NSCC Directory dated November 2010 (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>Executing Broker Name Change, Effective First Trade Date, January 3, 2011</u></b>				
From: Knight Bondpoint, Inc.	FCCP	0141	VABD	
To: Knight Execution & Clearing Services LLC	FCCP	0141	VABD	

**Delete Last Trade Date, December 31, 2010**

Ragen Mackenzie Investments Services, LLC  
Thor Capital LLC

RAGN	0733	CPAC
RAGN	0733	THRC

**Add First Trade Date, January 3, 2011**

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)