

## **File Downloads**

### **FAQ on Downloading and Using the Files**

#### **Q. What is the "gutsno" listed in the spreadsheet?**

A. The "gutsno" is simply a unique number identifying the entry in our database and can be ignored for most uses. Generally, the higher the "gutsno," the later the entry was made in the directory.

#### **Q. I want to reorder the directory entries in the Excel spreadsheet alphabetically. How can I do that?**

A. By using the sort functions in Excel. You can do that by opening the spreadsheet, putting your cursor in the top row where the headings are (but don't highlight the cell where you have the cursor), and then clicking on the "Data" menu at the top of the Excel application and selecting "Sort." You can then sort the entries by company name, clearing no., zip code, or by any other heading. Generally, the heading where you have your cursor will be the default entry for sorting (i.e., if you have your cursor in the clearing no. heading, the first sort field will show a sort by clearing no., although you can change this to whatever sort characteristics you want.)

#### **Q. How can I quickly find a clearing number or clearing symbol in the spreadsheet?**

A. The easiest way is to use the Find feature. The Find feature is part of Excel's "Edit" menu. To use it, click on the "Edit" menu, select "Find," and then type in the clearing number or symbol you want to locate. You should also click on the "Find entire cells only" box on the Find window so that it is checked. That will help make the search for symbols and clearing numbers much quicker and more accurate. Also, be aware that Excel tends to ignore zeros in front of numbers, so if you are looking for clearing number "0005", for example, you should type in "5" in the Find window, not "0005."

#### **Q. Can I search for part of a name?**

A. Yes. Use the Find feature the same way as described in the question above, but make sure that you uncheck the "Find entire cells only" box.

#### **Q. I want information on municipal bond clearing. Is that the same as the clearing no.?**

A. The last three columns in the spreadsheet (columns P, Q and R) deal with municipal bond clearance, and you will need to use those columns for information on municipal bond clearance.

**Q. There are asterisks and question marks and other abbreviations here. How do I find out what those symbols mean?**

A. The key to the symbols is located at the bottom of the spreadsheet. The key to the symbols for the pdf files is under "Key to Symbols."

**Q. How do I get the directory to print properly?**

A. The Excel spreadsheet is really not designed to be printed, but to be searched and used electronically only. If you want to view or print the directory, you are much better off using the pdf files, even though they are not updated as often as the Excel spreadsheet (pdf files are updated quarterly, and the Excel spreadsheet is updated monthly).

**Q. I see something in the directory that is inaccurate. Who can I notify?**

A. For simple inaccuracies of information that has been formally changed with Relationship Management or Membership Administration, you can send an e-mail to [nsccaa@dtcc.com](mailto:nsccaa@dtcc.com). Simple inaccuracies can be changed quickly and easily. However, if the changes involve legal issues (such as name changes, changes in clearing arrangements, etc.), then formal letters on your firm's letterhead must be sent to the DTCC Relationship Manager for your firm or to Membership Administration, so the necessary changes can also be made on NSCC Masterfiles. They can be contacted by calling 1.888.382.2721 (option 5, sub-option 5).

**Q. I have the symbol or name of a broker and I want to know who they clear through. How can I find that in the directory?**

A. First, you need to understand that the NSCC directory only lists brokers who are members of NSCC or who have their own execution symbols assigned by NASD, and even then, only those who use key services (e.g., Listed and OTC trades, Fund/SERV, IPS, etc.). That means not all correspondent brokers may be listed. However, if you have a symbol, you can search for it in the spreadsheet using Excel's "Find" function in the "Edit" menu. Make sure you put a check mark in the "Find entire cells only" box in the Find feature. If the firm has an execution symbol, you will be taken to that firm's symbol entry in the spreadsheet. The firm will have a clearing number listed with an asterisk for listed and OTC trades (e.g. 0443\*, 0161\*, etc.) or a question mark for municipal bond trades (e.g., 0352?, 0161?, etc.) The number listed is the one for the broker that the firm clears through. To find what firm is associated with that number, again use the "Find" feature in the "Edit" menu and enter the number WITHOUT the asterisk or any zeros that precede the number (i.e., enter "443" or "161" in the search field) and click on OK. This should locate the entry of the

clearing firm (in the example above, "443" is Pershing and "161" is Merrill Lynch). The same process can be used if you have a name or part of the name of a broker, but you should not have the "find entire cells only" box checked when you do the search, and you may find a number of entries with the same partial name listed, so you will need to check each one to make sure you have the right one. The pdf files are all cross-referenced, so you can check the OTC or exchange symbol pdf file and find the appropriate broker who does the clearing for that number. Also, remember that the Excel spreadsheet version of the directory is only updated once a month, and the pdf files are only updated four times a year, so you should also check under "Important Notices" for any notice involving "Changes to the List of Participants" in either the last month or since the effective date of the directory pdf files for any late changes or additions.

**Q. Can I electronically search for a symbol or clearing number in the pdf files of the directory?**

A. Yes, if you have the latest edition of Adobe Acrobat reader. To do a search, use the "binoculars" icon in the Adobe Acrobat Reader. DON'T use the Find feature in the Edit menu, since that will not search the entire file, but only the page displayed.

**Q. I really like the .pdf files on the Web, but I hate having to go to your Web site every time I need to look something up. Can I download the .pdf files to my PC?**

A. Yes. When you click on the .pdf links, you are normally given a choice of opening the file or saving it to disk. Select "Save to disk" and designate a directory on your PC where you want to save it. If you aren't given that option, once the file appears in the Adobe Acrobat Reader, you can do a "save as" and save the file with any name you choose anywhere you want on your hard drive. Or you can click on the "diskette" icon on the far left of the Adobe Acrobat icon functions to allow you to "save a copy," and save a copy to any location on your PC. Then, whenever you need to look something up, start your free Adobe Acrobat Reader application, open the file from where you saved it, and can search or page through it without have to connect to our Web site. Just remember to download the new pdf files when they are updated each quarter.