

## Key to Symbols

<i>LST</i>	Processes NYSE and/or Amex equity transactions through NSCC
<i>OTC</i>	Processes OTC equity transactions through NSCC
<i>Bond-C</i>	Processes corporate bond transactions through NSCC
<i>Bond-M</i>	Compares and settles municipal bond transactions through NSCC
<i>ACAT</i>	Processes customer account transfers through NSCC's ACAT service
<i>IPS</i>	Participates in Insurance Processing Services
<i>F/S</i>	Processes mutual fund transactions through NSCC's Fund/SERV system
<i>TPA</i>	Third Party Administrator processes mutual fund transactions through NSCC's Fund/SERV system
<i>Env-Y</i>	Receives envelope deliveries through ESS/IESS at NSCC's New York facility
<i>Env-A</i>	Receives envelope deliveries through IESS at NSCC's Toronto facility
<i>DSS</i>	Participates in Dividend Settlement Service (DSS)
▲	Processes OTC transactions through a correspondent
†	Executes municipal bond trades on its own behalf but gives up another firm's clearing number for comparison and clearance
<i>TFT</i>	Prefers to settle muni bond transactions individually, on a trade-for-trade basis
<i>CNS</i>	Prefers to settle muni bond transactions through Continuous Net Settlement, NSCC's book entry accounting system

NOTE: Participation in NSCC's Reconfirmation and Pricing Service (RECAPS) is mandatory for full settling firms