

Key to Symbols

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

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