



*Important Notice*  
**National Securities Clearing Corporation**

<b>A#:</b>	<b>7541</b>
<b>P&amp;S#:</b>	<b>7111</b>
<b>Date:</b>	<b>NOVEMBER 30, 2012</b>
<b>To:</b>	<b>ALL PARTICIPANTS</b>
<b>From:</b>	<b>WEALTH MANAGEMENT SERVICES – MUTUAL FUNDS</b>
<b>Attention:</b>	<b>MANAGER MUTUAL FUNDS OPERATIONS, MANAGER DATA PROCESSING, MANAGER CASHIERS, MANAGER P&amp;S DEPARTMENT</b>
<b>Subject:</b>	<b>Underlying Firm Symbol (UFS) List Changes</b>

In 2004, NSCC and the ICI Bank, Trust and Retirement Advisory Committee (BTRAC) decided to create an Underlying Firm Symbol (UFS). The UFS is a unique identifier assigned to Banks, Trusts, TPAs, consultants and others who are not NSCC members but who do clear through an NSCC participant. The objective of the UFS is to identify underlying entities, excluding broker dealers, within fund accounts, creating greater transparency. The UFS is now available on Fund/SERV and Networking records and can be utilized to communicate to funds the underlying firm that is transacting with their fund company.

DTCC maintains the list of UFS as a central resource for its NSCC members. NSCC members are responsible for the accuracy of the information they provide when requesting a UFS member be added to the existing list. Members of BTRAC and NSCC recently met to review and scrub the growing list of Underlying Firm Symbols that have been requested and assigned over the years. As a result of this exercise, an updated UFS list has been created and will become effective on **March 4, 2013**.

Listed below are the Underlying Firm Symbols that will be eliminated and their associated replacement symbols. Participants storing the UFS on their platforms are encouraged to review their internal system and substitute the replacement symbol for the eliminated symbol (where applicable) prior to the effective date.

<b>ELIMINATED UFS</b>	<b>NAME OF FIRM</b>	<b>REPLACEMENT UFS</b>	<b>NAME OF FIRM</b>
A005	401(K) PLUS, INC.	A03R	ALLIANCE BENEFIT GROUP OF DALLAS, 401(K) PLUS INC.
A3D2	AAAA BENEFITS	A2TA	AAAA AMERICN ASSOC OFADVTSNG AGY
A3D3	ABG OF ILLINOIS	A03M	ALLIANCE BENEFIT GROUP (IL)
A3D4	ABG OF INDIANA -THE NYHART COMPANY	A03N	ALLIANCE BENEFIT GROUP (IN)
A3D5	ABG/401K PLUS, INC.	A03R	ALLIANCE BENEFIT GROUP OF DALLAS, 401(K) PLUS INC.

DTCC, on behalf of its subsidiaries, offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit [http://www.dtcc.com/subscription\\_form.php](http://www.dtcc.com/subscription_form.php).

<b>ELIMINATED UFS</b>	<b>NAME OF FIRM</b>	<b>REPLACEMENT UFS</b>	<b>NAME OF FIRM</b>
A00R	ABG/JOHN J PEARCE & CO	A03W	ALLIANCE BENEFITS
A34X	ACCESS INVESTMENTS INC	A3IC	ACCESS FINANCIAL RESOURCES INC.
A024	ADVANCE PENSION DESIGN	A02A	ADVANCED PENSION DESIGNS LLC
A02J	ADVISORS PLAN ADMINISTRATORS	A3IC	ACCESS FINANCIAL RESOURCES INC.
A3IP	AFA INC.	A3IO	AFA ADVISORS SERVICES LLC
A4TJ	ALPINE BANK	A48C	ALPINE BANK
A3D8	AMERICAN BANK, N.A.	A34W	ABNA NOMINEE FOR AMERICAN BANK NA
A3IZ	AMERICAN PENSIONS, INC.	A04R	AMERICAN PENSIONS, INC
A2VY	AMERIPRISE FINANCIAL SVCS/RIVERSOURCE LIFE INSURANCE CO OF NY/IDS LIFE INSURANCE CO	A04Z	AMERIPRISE FINANCIAL SERVICES INC
A051	AMERISERVE FINANCIAL	A356	AMERISERV TRUST AND FINANCIAL SERV COMP
A3CF	AMI ADINI & ASSOCIATES INC RETIREMENT PL	A3CM	AMI ADINI & ASSOCIATES INC
A4BU	ARQUE CAPITAL, LTD.	A3JD	ARQUE & COMPANY, INCORPORATED
A06Q	AST TRUST COMPANY	N/A	THIS FIRM WAS ACQUIRED BY WILMINGTON TRUST. NSCC ID FOR WILMINGTON TRUST SHOULD BE USED.
A3JR	ATLANTIC CAPITAL MANAGEMENT LLC	A3VF	NATIONAL ADVISORS TRUST / ATLANTIC CAPITAL MANAGEM
A07C	BALDWIN & CLARKE PENSION CONS INC	A3K6	BALDWIN & CLARKE ADVISORY SERVICES, INC.
A3DF	BAM ADVISOR SERVICES LLC / BENEFITSTREET	A3K9	BAM ADVISOR SERVICES LLC
A4VI	BANGOR SAVINGS BANK	A4WE	BANGOR SAVING BANK
A3DH	BANKERS TRUST COMPANY	A07T	BANKERS TRUST CO
A4BW	BANKOH INVESTMENT SERVICES, INC.	A31Q	BANKOH INVESTMENT SERVICES, INC.
A09U	BENEFIT NATIONAL COMPANY	A2HF	THE BENEFIT NATIONAL COMPANIES
A2RI	BENEFIT PLANS ADMINISTRATORS	A0A6	BENEFIT PLANS ADMINISTRATIVE SERVICES, LLC
A0AQ	BENEFIT STREET INC	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A3BI	BOBS FOOD STORE INC	A2VK	PAYCHEX
A3CZ	BRANCH BANKING AND TRUST COMPANY	A35N	BRANCH BANKING & TRUST CO
A3CZ	BRANCH BANKING AND TRUST COMPANY	A35N	BRANCH BANKING & TRUST CO
A48K	BREMER TRUST, NATIONAL ASSOCIATION	A4WG	BREMER TRUST, N.A
A0FG	CAPITAL PENSION SERVICES	A0FE	CAPITAL PENSION CONSULTING SERVICE
A3DM	CAPITAL RETIREMENT PLAN SERVICES, INC.	A3BM	CAPITAL RETIREMENT PLAN SERVICES INC
A4I7	CAPTRUST FINANCIAL ADVISORS	A4O9	NATIONAL ADVISORS TRUST / CAPTRUST FINANCIAL ADVISORS
A0GV	CENTENIAL SECURITIES CO INC	A3MD	CENTENNIAL SECURITIES COMPANY, INC.

<b>ELIMINATED UFS</b>	<b>NAME OF FIRM</b>	<b>REPLACEMENT UFS</b>	<b>NAME OF FIRM</b>
A0H7	CERIDIAN RETIREMENT PLAN SERVICES, INC.	A0H4	CERIDIAN CHARING
A0HZ	CHARONECA	A0HY	CHARON PLANNING
A3MP	CHOATE INVESTMENT ADVISORS, LLC	A4W4	CHOATE HALL & STEWART LLP
A2ZD	CHOATE, HALL AND STEWART	A4W4	CHOATE HALL & STEWART LLP
A4IZ	COBBLESTONE CAPITAL ADVISORS, LLC	A4IY	COBBLESTONE CAPITAL ADVISORS SAN
A3BJ	COLONIAL BANK	N/A	
A00J	DAVID KITCOFF & ASSOCIATES	A00I	DAVID KITCOFF & ASSOCIATE
A0RA	DUNCAN FINANCIAL GROUP	A0R9	DUNCAN FINANCIAL GROUP
A0S7	EDWARD G WILLIAMS & ASSOCIATES DBA HICKS PENSION SERVICES	A14J	HICKS PENSION SERVICES
A0SC	EENEFITS AMERICA LLC (FKA CBH PENSIONS)	A4XC	ALLIANCE BENEFIT GROUP - CAROLINAS
A4VR	ELLIOTT WISE & CO. INC.	A0SN	ELLIOT WISE & CO INC
A0ST	EMJAY RETIREMENT SERVICES INC	A0SS	EMJAY RETIREMENT PLAN SERVICES
A3OZ	ENVISION CAPITAL MANAGEMENT	A3OY	ENVISION ASSET MANAGEMENT, INC.
A36T	FIDELITY DISTRIBUTORS CORP	N/A	NSCC ID SHOULD BE USED
A0WG	FIRST CITIZENS BANK & TRUST COMPANY	A372	FIRST CITIZENS BANK & TRUST CO
A0WR	FIRST FINANCIAL ADMINISTRATORS INC	A0WQ	FIRST FINANCIAL ADMINISTRATORS
A375	FIRST FINANCIAL BANK N A	A4UQ	FIRST FINANCIAL BANK
A0WT	FIRST FINANCIAL TRUST AND ASSET MANAGEMENT	A4WB	FIRST FINANCIAL TRUST AND ASSET MANAGEMENT
A0XC	FIRST NATIONAL BANK OF FORT SMITH	A3D0	FIRST NATIONAL BANK OF FORT SMITH
A3EA	FIRST NIAGARA INVESTMENT ADVISORS	A3E9	FIRST NIAGARA BANK
A2ZW	FIRST REGIONAL BANK [5109]	A45Z	FIRST REGIONAL BANK
A463	FRANKLIN STREET TRUST COMPANY	A3Q4	FRANKLIN STREET TRUST
A464	FROST NATIONAL BANK	A4D4	FROST BROKERAGE SERVICES INC
A3Q9	FROST WEALTH MANAGEMENT, DIVISION OF FROST BANK	A4D4	FROST BROKERAGE SERVICES INC
A4DD	GORDON, HASKETT CAPITAL CORP.	A4DC	GORDON, HASKETT & CO.
A4BK	HARLEYSVILLE NATIONAL CORPORATION	A381	HARLEYSVILLE BANK & TRUST CO
A46D	HUNTINGTON INVESTMENT COMPANY	A4FJ	HUNTINGTON INVESTMENT CO., THE
A4X7	ING INSTITUTIONAL PLAN SVC LLC	N/A	NSCC ID SHOULD BE USED
A3EM	INGHAM RUSSELL INVESTMENT ADVISORS	A16Z	INGHAM GROUP
A17L	INVESTMENT OF LOUISVILLE	A17J	INVESMART, INC.
A19W	JONES & MCQUILLAN, INC.	A2XW	JONES & MCQUILLAN
A1AG	JUNKERMEIER CLARK CAMPENELLA & STEVENS	A18Q	JUNKERMIER CLARK CAMPANELLA STEVENS (JCCS) PC* (RENAMED FROM JCCS PC)
A1CW	KOLB & CO	A0K4	KOLB* INC (NAME CORRECTION – WAS

<b>ELIMINATED UFS</b>	<b>NAME OF FIRM</b>	<b>REPLACEMENT UFS</b>	<b>NAME OF FIRM</b>
			COLB)
A4N9	LANGLEY FINANCIAL R/E	A4N8	LANGLEY FINANCIAL
A1EB	LAWRENCE JOHNSON & ASSOCIATES	A2S4	LAWRENCE JOHNSON & ASSOC
A1EF	LBA RETIREMENT PLAN SERVICES LLC	A3EQ	LB & A RETIREMENT SERVICES LLC
A46K	LEGACY TRUST	A3TG	LEGACY FINANCIAL ADVISORS
A307	LEXINGTON STATE BANK	A46M	LEXINGTON STATE BANK
A4ND	LIBERTY GROUP, LLC R/E	A4NC	LIBERTY GROUP, LLC
A3H3	LINCOLN FINANCIAL ADVISORS CORP	A3TU	LINCOLN FINANCIAL ADVISORS
A1FG	LINCOLN RETIREMENT SERVICES COMPANY INC	A3TU	LINCOLN FINANCIAL ADVISORS
A38U	MILESTONE INVESTMENTS INC	A1KY	MILES & ASSOCIATES
A4E3	MOORS & CABOT, INC.	A4E2	MOORS & CABOT FINANCIAL ADVISORS, LLC
A4E5	MORGAN WILSHIRE SECURITIES, INC.	A4E4	MORGAN WILSHIRE SECS. PTY LTD.
A3V8	MOSAIC FINANCIAL PARTNERS, INC.	A3VN	NATIONAL ADVISORS TRUST / MOSAIC FINANCIAL PARTNER
A3VG	NATIONAL ADVISORS TRUST / DELESSERT FINANCIAL SERV	A3O4	NATIONAL ADVISORS TRUST / DELESSERT FINANCIAL SERVICES* (NAME CHANGED TO INCLUDE NATIONAL ADVISORS TRUST)
A3VM	NATIONAL ADVISORS TRUST / LEGACY WEALTH MANAGEMENT	A3TK	NATIONAL ADVISORS TRUST / LEGACY WEALTH MANAGEMENT* (NAME CHANGED TO INCLUDE NATIONAL ADVISORS TRUST)
A3VQ	NATIONAL ADVISORS TRUST / THE SAVANT GROUP	A2IT	NATIONAL ADVISORS TRUST / THE SAVANT GROUP* (NAME CHANGED TO INCLUDE NATIONAL ADVISORS TRUST)
A3VY	NEIDIGER, TUCKER, BRUNER, INC.	A38Z	NEIDIGER TUCKER BRUNER INC
A398	NEW YORK LIFE INSURANCE COMPANY	A1PV	NYLIFE DISTRIBUTORS INC
A4XO	NEXTSTEP DEFINED CONTRIBUTION	A1WW	VERISIGHT
A1O9	NFP SECURITIES INC	A3W8	NFP SECURITIES
A3W9	NFP SECURITIES INC/ENVESTNET	A3W8	NFP SECURITIES
A394	NORTHWEST BANK & TRUST CO.	A3BH	NORTHWEST BANK & TRUST CO
A1PX	NYLIM SERVICE COMPANY	A1PV	NYLIFE DISTRIBUTORS INC
A1QM	OPTCAPITAL	A34M	OPT SECURITIES LLC
A4GF	OREGON PACIFIC BANKING COMPANY	A4AT	OREGON PACIFIC BANKING COMPANY
A1QR	OSBORNE CORREIA & ASSOCIATES	A1QP	OSBORN CARREIRO & ASSOCIATES INC
A1RF	PACS PENSION ADMINISTRATION	A1R5	PACIFIC CONSTRUCTION SERVICES INC 4
A1SV	PEGASUS ADVISORS	A3XB	PEGAESUS ADVISORS INC.
A1T6	PENN MUTUAL LIFE INSURANCE CO.	A39F	PENN INSURANCE & ANNUITY COMPANY
A4PA	POLLOCK INVESTMENT ADVISORY CORP. R/E	A4P9	POLLOCK INVESTMENT ADVISORY CORP.
A3HG	PRIM SECURITIES, INCORPORATED	A3Y1	PRIM ADVISORS, INCORPORATED
A218	PROFESSIONAL MGMT MIDWEST INC	A20T	PROF MGMT MIDWESTP FOXHOVEN
A21I	PROFESSIONAL RETIREMENT PLANNERS	A20R	PRO PLANS INC
A224	QBC AKA THE 401K STORE.COM	A2SQ	QUALIFIED BENEFIT CONSULTANTS

<b>ELIMINATED UFS</b>	<b>NAME OF FIRM</b>	<b>REPLACEMENT UFS</b>	<b>NAME OF FIRM</b>
A22U	QUALIFIED PLANS, LLC	A22P	QUALIFIED PLAN SERVICES
A24V	RETIREMENT FINANCIAL SERVICES INC	A0PJ	DELAWARE INVESTMENTS (AKA DELAWARE RFS)
A266	RETIREMENT STRATEGIES	A24P	RETIREMENT ASSET ADVISORY
A46Z	ROCKLAND TRUST COMPANY	A2UK	ROCKLAND TRUST CO
A27F	ROCKY MOUNTAIN EMPLOYEE BENEFITS	A03V	ALLIANCE BENEFIT GROUP/ROCKY MOUNTAIN EMPLOYEE BENEFITS, INC
A287	RSM MC GLADREY RETIREMENT RESOURCES	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A288	RSM MCGLADREY	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A289	RSM MCGLADREY INC	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A28D	RSM MCGLADREY RETIREMENT RESOURCES	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A28A	RSM MCGLADREY RETIREMENT RESOURCES	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A28C	RSM MCGLADREY RETIREMENT RESOURCES	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A28B	RSM MCGLADREY RETIREMENT RESOURCES	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A3ZS	SANDERSON & COMPANY INVESTMENT CONSULTANTS, LLC	A299	SANDERSON & CO INVESTMENT CONSULTANTS
A2VT	SECURIAN TRUST COMPANY NA	A4VK	SECURIAN TRUST COMPANY
A2AE	SECURITY ADMINISTRATORS INC	A28Y	SAI SECURITIES ADMINISTRATOR
A3BK	SECURITY FINANCIAL RESOURCES 401K PLAN	N/A	
A2SR	SECURITY TRUST CO	N/A	THIS FIRM WAS ACQUIRED BY WILMINGTON TRUST. NSCC ID FOR WILMINGTON TRUST SHOULD BE USED.
A470	SEI INVESTMENT ADVISORY GROUP	A471	SEI BANK ASSET ALLOCATION
A406	SENTINEL BENEFITS GROUP (SK)	A2AP	SENTINAL BENEFITS GROUP INC
A2B0	SHEFFLER CONSULTING ACTUARIES INC	A2AZ	SHEFFLER & MARTIN
A2BX	SMALL PARKER BLOSSOM/ALLIANCE BENEFIT	A03M	ALLIANCE BENEFIT GROUP (IL)
A40Q	SMITH SHELLNUT WILSON LLC	A2C6	SMITH SHELLNUT & WILSON LLC
A2CL	SOUTHEASTERN EMPLOYEE BENEFITS SRVC	A3F7	SOUTHEASTERN EMPLOYEE BENEFITS SERVICES
A2X7	SUN LIFE INSURANCE & ANNUITY CO	A2X6	SUN LIFE ASSURANCE CO
A3AE	SUN LIFE OF CANADA (U.S.)	A2X6	SUN LIFE ASSURANCE CO
A2FU	SYMETRA SERVICES CORPORATION	A2X8	SYMETRA LIFE INSURANCE COMPANY

ELIMINATED UFS	NAME OF FIRM	REPLACEMENT UFS	NAME OF FIRM
A2G9	TALLMADGE TIRE SERVICE OF GENEVA	A1DC	L A STEWART ASSOCIATES INC
A3BL	TENNESSEE PEDIATRICS & ADOLESCENT C 401K	N/A	
A2HA	THE ANGELL PENSION GROUP INC	A05C	ANGELL PENSION CONSULTANTS LLC
A2I5	THE PENSION CENTER OF FL	A1U9	PENSION CENTER OF FLA, INC
A2T3	TRANSAMERICA FNCL ADVSRS INC	A2KG	TRANSAMERICA FINANCIAL LIFE INSURANCE CO
A3AW	TRANSAMERICA LIFE INSURANCE	A2KG	TRANSAMERICA FINANCIAL LIFE INSURANCE CO
A2XB	TRANSAMERICA OCCIDENTAL LIFE INSURANCE CO	A2KG	TRANSAMERICA FINANCIAL LIFE INSURANCE CO
A4FO	TRIAD ADVISORS, INC.	A3AY	TRIAD ADVISORS INC
A2LV	TYCOR BENEFIT ADMIN	A3FC	TYCOR ASSET MANAGEMENT, INC.
A2UW	UNIONBANC INVESTMENT SVCS	A4FQ	UNIONBANC INVESTMENT SERVICES, LLC
A43E	USA WEALTH MANAGEMENT	A3B3	USA ADVANCED PLANNERS INC
A4FR	USI SECURITIES, INC.	A2MR	USI CONSULTING GROUP
A2UY	UVEST INVESTMENT SVCS INC	A43F	UVEST FINANCIAL SERVICES GROUP, INC
A2MY	VALLEY FORGE ENTERPRISES	A2MX	VALLEY FORGE CONSULTING CORP
A2VS	VANGUARD	N/A	NSCC ID SHOULD BE USED
A2N7	VANGUARD FIDUCIARY TRUST COMPANY	N/A	NSCC ID SHOULD BE USED
A4X9	VERISIGHT INC	A1WW	VERISIGHT* (THIS UFS WAS ASSIGNED TO PENSION SPECIALISTS. IT HAS BEEN RENAMED TO VERISIGHT)
A43O	VIRCHOW KRAUSE WEALTH MANAGEMENT, LLC	A345	VIRCHOW KRAUSE CAPITAL, LLC
A2OP	WEBSTER ROGERS & COMPANY	A2OO	WEBSTER RODGERS LLP
A2YI	WESTAMERICA BANK	A4VY	WEST AMERICA BANK
A2PS	WILMINGTON TRUST CO	A3I5	WILMINGTON BROKERAGE SERVICES CO.

## **DOCUMENTATION**

The UFS list, Request Form and User Guide will be updated and available on or about **December 28, 2012**. An email notification will be sent upon posting of the documentation to our website. This documentation can be found on our DTCC's Wealth Management Services website at <http://www.dtcc.com/products/wealthmgmt/members/ufs.php>

The information provided within this Important Notice is for informational purposes only. NSCC reserves the right to make additional modifications to the list prior to implementation.

Questions and comments regarding this Important Notice may be directed to your Wealth Management Services Relationship Manager at 212-855-8877.

Therese Leahy  
Product Manager  
DTCC Wealth Management Services

212-855-2770