

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6868  
**P&S#** 6438  
**Date:** 8/28/09  
**To:** **ALL PARTICIPANTS**  
**Attention:** OPERATIONS PARTNER/OFFICER;  
MANAGER P&S DEPARTMENT;  
CASHIER; ACATS PARTICIPANTS;  
FUND/SERV PARTICIPANTS; MUNICIPAL BOND  
COMPARISON PARTICIPANTS  
**From:** Linda Shackleton, Account Administration  
**Subject:** CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will change its name only, as detailed below:  
**First Trade Date, September 4, 2009:**  
From: Intersecurities Inc. No. 0285  
To: Transamerica Financial Advisors, Inc. No. 0285
- The following firm will retire from all services as detailed below:  
**Last Trade Date, September 3, 2009:**  
Transamerica Financial Advisors, Inc. No. 0224
- The following firm will begin participation in the ACATS and ACATS Fund/SERV service, as detailed below:  
**First Trade Date, August 25, 2009:**  
Legg Mason Investor Services, LLC No. 5749
- The following firm will begin participation in the ACATS service, as detailed below:  
**First Trade Date, September 1, 2009:**  
Fred Alger & Company, Incorporated No. 5594
- The following firm will begin participation in the Insurance Processing Service as a Data Service Only Member, as detailed below:  
**First Trade Date, September 1, 2009:**  
Associated Investment Services, Inc. No. 7192

- The following firm will begin participation in the Insurance Processing Service, as detailed below:

**First Trade Date, August 31, 2009:**

CCO Investment Services Corp. No. 6313

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing Fund/SERV, Networking, ACATS Fund/SERV and Commission Settlement service, as detailed below:

**First Trade Date, August 31, 2009:**

Quasar Distributors, LLC/Akre Funds No. 5937

Networking Symbol: DJ

Contact: Casey Sauer

Phone: (414) 347-5766

- An additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, ACATS Fund/SERV and Commission Settlement services, as detailed below:

**First Trade Date, September 1, 2009:**

Northern Lights Distributors, LLC/Chariot Absolute Return Currency Fund No. 5948

Networking Symbol: EA

Contact: Mike Nielsen

Phone: (402) 493-1731 x 3

- An additional number has been assigned to Transamerica Financial Advisors, Inc. (#0285) for the purpose of utilizing Commission Settlement, Mutual Fund Profile Phase I and II and the Insurance Processing services, as detailed below:

**First Trade Date, September 4, 2009:**

Transamerica Financial Advisors, Inc./II No. 0224

- Please update the NSCC Directory dated July 2, 2009 (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, August 25, 2009</u></b> Mid-Atlantic Securities, Inc.	FCCP	0141	MIDA	
<b><u>Delete Last Trade Date, August 28, 2009</u></b> FTN Midwest Securities Corp.	PERS	0443	MWRE	
<b><u>Delete Last Trade Date, September 1, 2009</u></b> Tristone Capital Co. Tristone Capital (U.S.A.) Inc.	PERS	0443	TCCU	
	PERS	0443	TCUS	

**Clearing Broker Change, Effective August 25, 2009**

From: Security Research Associates, Inc. QRCC 0158 SRFL  
To: Security Research Associates, Inc. PERS 0443 SRFL

**Executing Broker Name Change, Effective August 31, 2009**

From: Weiss Investment Management Services, LLC BSSC 0352 WIMA  
To: Oakpoint Advisors LLC BSSC 0352 WIMA

- Please update the NSCC Directory dated July 2, 2009 (for OTC Executed-By List) as detailed below:

Clearing Broker Identifiers      Executing Broker Identifiers  
Alpha    Numeric      Alpha    Numeric

**Delete Last Trade Date, August 27, 2009**

Walter J. Dowd, Inc. MLCO 0161 DOWN

**Add First Trade Date, August 26, 2009**

FTN Equity Capital Markets Corp. PERS 0443 FTNE

**Add First Trade Date, August 28, 2009**

Walter J. Dowd, Inc. AFCO 0284 DOWD

**Add First Trade Date, August 31, 2009**

Jefferies & Company Inc. PERS 0443 PJEF  
StockCross Financial Services, Inc. STOX 0445 STXG  
Maia Securities, Inc. SWST 0279 MAIB  
Fortis Clearing Americas LLC SHMR 0695 FSOM  
Electronic Transaction Clearing, Inc. ETCC 0873 ETCN

**Clearing Broker Change, Effective August 27, 2009**

From: Exane Inc. SILK 0501 EXAN  
To: Exane Inc. PERS 0443 EXAN

**Clearing Broker Change, Effective August 31, 2009**

From: StockCross Financial Services, Inc. STOX 0445 STXF  
To: StockCross Financial Services, Inc. PFSI 0234 STXF

**Clearing Broker Change, Effective August 31, 2009**

From: StockCross Financial Services, Inc. PFSI 0234 STXG  
To: StockCross Financial Services, Inc. STOX 0445 STXG

- Please update the NSCC Directory dated July 2, 2009 (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, August 28, 2009</u></b>				
StockCross Financial Services, Inc.	PFSI	0234	STXG	

If you have any questions regarding this notice, please contact Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com