

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6966

**P&S#** 6536

**Date:** 03/12/10

**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 firms will retire from all services, as detailed below:

**Last Trade Date, March 15, 2010:**

LaBranche and Company	No.	0210
LaBranche Financial Services, LLC	No.	0215

**Last Trade Date, April 15, 2010:**

PFPC Distributors, Inc./AFBA Five Star Fund	No.	5861
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- The following firm will no longer participate in the Trade Recording and Trade Comparison services, as detailed below:

**Last Trade Date, March 12, 2010:**

National Association of Securities Dealers	No.	0770
OTC Alpha Identifier:		ADFN

- The following firms will no longer participate in the Commission Settlement service, as detailed below:

**Last Trade Date, March 15, 2010:**

Quasar Distributors, LLC/AL Frank Fund	No.	4993
Quasar Distributors, LLC/Gerstein Fisher Funds	No.	5938
Quasar Distributors, LLC/American Trust Allegiance Fund	No.	6638

**Last Trade Date, March 16, 2010:**

Quasar Distributors, LLC/The Light Revolution Fund	No.	5445
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- The following firm will no longer participate in the Commission Settlement and Mutual Fund Profile Phase II services, as detailed below:  
**Last Trade Date , March 15, 2010:**  
 Quasar Distributors, LLC/Genworth VIT Funds No. 5519
- The following firm will change its name only, as detailed below:  
**Effective First Trade Date, March 9, 2010:**  
 From: Barclays Global Investors, N.A. No. 4722  
 To: Blackrock Institutional Trust Company, N.A. No. 4722
- The following firm will begin participation in the ACATS service, as detailed below:  
**First Trade Date , March 10, 2010:**  
 FPA Fund Distributors, Inc. No. 5851
- The following firm will begin participation in the Commission Settlement service, as detailed below:  
**First Trade Date , March 12, 2010:**  
 OneAmerica Securities, Inc. No. 5315
- An additional number has been assigned to Delaware Distributors, L.P. (#5510) for the purpose of utilizing the Fund/SERV service, as detailed below:  
**First Trade Date, March 12, 2010:**  
 Delaware Distributors, L.P./Delaware Investments Global Funds, PLC No. 6572
- An additional number has been assigned to RiverSource Fund Distributors, Inc. (#6616) for the purpose of utilizing the Networking, Commission Settlement, Fund/SERV and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, March 18, 2010:**  
 RiverSource Fund Distributors, Inc. /Threadneedle Offshore Funds No. 5120  
 Networking Symbol: CR  
 Contact: Andreia Viera  
 Phone: 352 245 25 601

- Please update the NSCC Directory dated January 4, 2010 (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>Executing Broker Name Change Effective First Trade Date March 11, 2010</u></b>				
From: Guggenheim Capital Markets LLC	PERS	0443	LNKS	
To: Guggenheim Securities, LLC	PERS	0443	LNKS	

**Executing Broker Name Change Effective First Trade Date March 12, 2010**

From: Wyoming Financial Securities, Inc.	PERS	0443	WYOM	
To: Kaiser and Company	PERS	0443	WYOM	
From: Nordic Partners, Inc.	PERS	0443	NORP	
To: Pareto Securities USA	PERS	0443	NORP	

**Add First Trade Date, March 10, 2010**

Wall Street Access	SILK	0501	WSAP	
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	<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, March 11, 2010</u></b>				
Penson Financial Services, Inc.	PFSI	0234	PFBU	
<b><u>Delete Last Trade Date, March 11, 2010</u></b>				
Longview Financial Group Inc.	PERS	0443	THIM	
<b><u>Delete Last Trade Date, March 12, 2010</u></b>				
Fortis Clearing Americas LLC	SHMR	0695	WLVF	
Fortis Clearing Americas LLC	SHMR	0695	VIRF	
Fortis Clearing Americas LLC	SHMR	0695	CPSF	
Fortis Clearing Americas LLC,/CPM	FLTG	0330	LIMG	
Fortis Clearing Americas LLC,/CPM	FLTG	0330	LIMS	
<b><u>Add First Trade Date, March 9, 2010</u></b>				
Standard Chartered Securities (North America) Inc.	PERS	0443	SCBS	
<b><u>Add First Trade Date, March 11, 2010</u></b>				
Penson Financial Services, Inc.	PFSI	0234	PFDH	
Guggenheim Securities, LLC	PERS	0443	GUGS	
<b><u>Add First Trade Date, March 15, 2010</u></b>				
Assent LLC	ANDZ	0442	ASNF	
Assent LLC	ANDZ	0442	ASNE	
Electronic Transaction Clearing, Inc.	ETCC	0873	ETCZ	

- Please update the NSCC Directory dated January 4, 2010 (for Municipal Bond Comparison System) as detailed below:

**Delete Last Trade Date, March 11, 2010**

PRI Muni LLC

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
WEDB	0103	PRMU	

If you have any questions regarding this notice, please contact Fredric Epstein (813) 470-1180 or E-mail NSCCAA@DTCC.com