

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6814  
**P&S#** 6384  
**Date:** 04/17/2009  
**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 retire from all services as detailed below:

**Last Trade Date, April 16, 2009:**

Foreside Fund Services, LLC / Ironwood Series Trust No. 5745

**Last Trade Date, April 24, 2009:**

Legg Mason Investor Services, LLC / LM Partners Funds No. 5673

- The following firm will no longer participate in the MF Profile Phase I & II services, as detailed below:

**Last Trade Date, April 9, 2009:**

Allianz Global Investors Distributors, LLC / Global Investor Series PLC No. 4836

- The following firm will no longer participate in the Networking and MF Profile Phase I & II services, as detailed below:

**Last Trade Date, April 30, 2009:**

Foresters Equity Services, Inc. No. 0149

- The following firm will begin participation in the MF Profile Phase I service, as detailed below:

**First Trade Date, April 13, 2009:**

Allianz Global Investors Distributors, LLC / Global Investor Series PLC No. 4836

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

**First Trade Date, April 15, 2009:**

Fidelity Investments Life Insurance Company No. 4730

- The following firm will begin participation in the ACATS Fund/SERV service, as detailed below:

**First Trade Date, April 17, 2009:**

MG Trust Company, LLC No. 5954

- The following firm will begin participation in the ACATS, Envelope Settlement and Recaps services, as detailed below:

**First Trade Date, April 20 2009:**

Mitsubishi UFJ Securities (USA), Inc. No. 0076  
Envelope Location: (New York)

- The following firm will begin participation in the Fund/SERV, ACATS Fund/SERV, MF Profile Phase I, Commission Settlement and Networking services, as detailed below:

**First Trade Date, April 20, 2009:**

Diamond Hill Funds No. 4729  
Networking Symbol: CX  
Contact: Gary Young  
Phone: (614) 255-3341

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

**First Trade Date, April 27, 2009:**

Quasar Distributors, LLC / Brandes Dublin Offshore No. 5911

- An additional number has been assigned to PFPC Distributors, Inc. (#6658) for the purpose of utilizing the Fund/SERV, ACATS Fund/SERV, MF Profile Phase I and Networking services, as detailed below:

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

PFPC Distributors, Inc. / The Motley Fool Funds Trust No. 6594  
Networking Symbol: 9P  
Contact: Jayda Burke  
Phone: (508) 871-3717

- The following firm will begin participation in the OTC Comparison service, as detailed below:

**First Trade Date, May 19, 2009:**

Edward Jones / CDS No. 5012  
OTC Alpha Identifier: EDJC

- Please update the NSCC Directory dated April 3, 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>Clearing Broker Change, Effective First Trade Date April 15, 2009</u></b>				
From: Avalon Partners, Inc.		0235	AVAP	
To: Avalon Partners, Inc.	LGNT	0052	AVAP	
<b><u>Executing Broker Name Change, Effective First Trade Date April 16, 2009</u></b>				
From: Securities & Investment Planning Company	JEFF	0019	SPLN	
To: Celadon Financial Group, LLC	JEFF	0019	SPLN	

- Please update the NSCC Directory dated April 3, 2009 (for OTC Executed-By List) 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, April 14, 2009</u></b>				
Intercapital Securities, LLC	GARB	0148	ICPI	
<b><u>Add First Trade Date, April 13, 2009</u></b>				
NASDAQ Options Services, LLC	NQOP	0520	NQOP	

**Clearing Broker Change, Effective First Trade Date  
April 14, 2009**

From: Nunami Services, LLC	SWIS	0012	NAMA
To: Nunami Services, LLC	SHMR	0695	NAMA

**Clearing Broker Change, Effective First Trade Date  
April 15, 2009**

From: Nova Capital Markets, LLC	SILK	0501	NCAP
To: Nova Capital Markets, LLC	PERS	0443	NCAP
From: Penson Financial Services, LLC	PFSI	0234	PFAX
To: Penson Financial Services, LLC	FBCO	0355	PFAX

**Add First Trade Date, April 21, 2009**

Lime Brokerage, LLC	WDSB	0536	JXLI
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**Add First Trade Date, May 19, 2009**

Edward Jones / CDS	EDJC	5012	EDJC
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If you have any questions regarding this notice, please contact Fred Epstein (813) 470-1180 or e-mail NSCCAA@DTCC.com