

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6509
P&S#: 6079
DATE: September 28, 2007
TO: ALL PARTICIPANTS
ATTENTION: MANAGER, PURCHASES AND SALES DEPARTMENT
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS
MUNICIPAL BOND COMPARISON PARTICIPANTS
FROM: Linda Shackelton
Account Administration
SUBJECT: CHANGES IN THE LIST OF PARTICIPANTS

- The following firms will retire from all services as detailed below:

Last Trade Date, September 28, 2007:

SEI Investments Distribution Company/The Japan Fund, Inc.	No. 5426
Foreside Distribution Services, L.P./Excelsior Funds	No. 5674
DFS Investor Services	No. 0267

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

Last Trade Date, September 24, 2007:

Medallion Investment Services, Inc.	No. 0137
-------------------------------------	----------

- The following firm will change their name only as detailed below:

Effective First Trade Date September 28, 2007:

From: Foreside Distribution Services, L.P./Mercantile Funds	No. 4921
To: Foreside Distribution Services, LP/PNC Funds	No. 4921

- The following firm will begin participation in the Mutual Fund Profile Services Profile Phase I & II service, as detailed below:

First Trade Date, September 26, 2007:

MML Investors Services, Inc.	No. 0255
------------------------------	----------

- The following firm will begin participation in the Fund/SERV and the Mutual Fund Profile Services Phase I services, as detailed below:

First Trade Date, September 26, 2007:

Wellington Trust Company, NA No. 6517

- An additional number has been assigned to VALIC Financial Advisors (#0542) for the purpose of utilizing the Fund/SERV, Networking, and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, September 27, 2007:

VALIC Financial Advisors/Account 2 No. 0681

Networking Code: QJ

Contact: Chris Bauman

Phone: (713) 831-4882

- An additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, ACATS Fund/SERV, and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, September 28, 2007:

Foreside Fund Services, LLC/PMC Funds No. 5747

Networking Code: QX

Contact: Casandra Sauer

Phone: (414) 347-5766

- An additional number has been assigned to Quasar Distributors, LLC (#5659) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 28, 2007:

Quasar Distributors, LLC/Geneva Advisors All Cap Growth Fund No. 6527

Networking Code: C9

Contact: Casandra Sauer

Phone: (414) 347-5766

- An additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, ACATS Fund/SERV, and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, October 01, 2007:

Foreside Fund Services, LLC/The Japan Fund, Inc. No. 5426

Networking Code: ND

Contact: Bob Chabot

Phone: (617) 483-7011

- Kindly update the NSCC Directory dated July 11, 2007 (for OTC Executed-By-List and 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>

Add First Trade Date, September 27, 2007:

Raymond C. Forbes & Co., Inc.	MLCO	0161	RAYF
-------------------------------	------	------	------

- Kindly update the NSCC Directory dated July 11, 2007 (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>

Delete Last Trade Date, September 28, 2007:

Persimmon Securities, Inc.	FCCP	0141	COWS
----------------------------	------	------	------

Add First Trade Date, September 26, 2007:

Dominion Investor Services, Inc.	FSWC	0309	DOMI
Bloomberg Tradebook LLC	LYON	0651	BOOK
Baycrest Partners, LLC	QRCC	0158	BAYC
Capstone Sales Advisors LLC	SILK	0501	CSAS
Hudson Securities, Inc.	SILK	0501	HDSM

Add First Trade Date, September 27, 2007:

Capital Growth Financial, LLC	PFSI	0234	CGFN
-------------------------------	------	------	------

Clearing Broker Change, Effective First Trade Date, October 01, 2007:

From: Salt Creek Securities, LLC	SILK	0501	SCRK
To: Salt Creek Securities, LLC	WEDB	0103	SCRK

- Kindly update the NSCC Directory dated July 11, 2007 (for Municipal Bond Comparison System) as detailed below:

<u>Clearing Broker</u>		<u>Executing Broker</u>	
<u>Identifiers</u>		<u>Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

**Clearing Broker Change, Effective First Trade Date,
September 26, 2007:**

From: Dominion Investor Services, Inc.	NFSC	0226	DOMI
To: Dominion Investor Services, Inc.	FSWC	0309	DOMI

If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545.