

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6715
P&S# 6285
Date: September 26, 2008
To: All Participants
Attention: Manager, Purchaser and Sales Department, Cashier,
Fund/SERV Participants, ACATS 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, September 29, 2008:

Frost National Bank No. 5975

- The following firm will no longer participate in the Mutual Fund Profile Phase II service only, as detailed below:

Last Trade Date, September 23, 2008:

Stockcross Financial Services, Inc. No. 0445

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

First Trade Date, September 26, 2008:

John Hancock Life Insurance Company (U.S.A.) / LTC No. 5994

Non-Confidential

DTCC is now offering enhanced access to all important notices via a new, Web-based subscription service. The new 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.

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

First Trade Date, September 29, 2008:

Northern Lights Distributors, LLC /Oxford Global Total Return Fund No. 5942
 Networking Symbol: 0V
 Contact: Mike Nielsen
 Phone: (402) 493-1731 ext 3

- An additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing the Fund/SERV, Networking, DCC&S, and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 30, 2008:

Ultimus Fund Distributors, LLC/Alphamark Investment Trust No 5653
 Networking Symbol: 1Y
 Contact: Doug Jones
 Phone: (513) 587-3408

- An additional number has been assigned to Unified Financial Securities, Inc (#4965) for the purpose of utilizing the Fund/SERV and Networking services, as detailed below:

First Trade Date, October 1, 2008:

Unified Financial Securities, Inc. FBO RiverNorth Funds No 6520
 Networking Symbol: 0R
 Contact: Craig Glenn
 Phone: (317) 917-7000 ext. 7343

- Please update the NSCC Directory dated July 3, 2008 (for OTC Executed-By List and 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, October 1, 2008

From: Rhino Trading Partners, LLC	BSSC	0352	RINO
To: Rhino Trading Partners, LLC	JEFF	0019	RINO

Add First Trade Date, September 26, 2008

Westlake Securities	PFSI	0234	WSLK
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<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>

Add First Trade Date, September 24, 2008

Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLTE
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Add First Trade Date, September 26, 2008

Wedbush Morgan Securities Inc.	WEDB	0103	WMST
Penson Financial Services, Inc.	PFSI	0234	PFSX
Penson Financial Services, Inc.	PFSI	0234	PFSA

Add First Trade Date, October 1, 2008

Goldman Sachs Execution & Clearing, L.P.	SILK	0501	GSAA
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Add First Trade Date, October 06, 2008

Hudson Securities Inc	QRCC	0158	HDSN
Hudson Securities Inc	QRCC	0158	HDSX
Hudson Securities Inc	QRCC	0158	HDSM

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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>

Clearing Broker Change,

Effective First Trade Date, September 24, 2008

From: Waddell & Reed, Inc	NFSC	0226	UNTD
To: Waddell & Reed, Inc.	QRCC	0158	UNTD

If you have any questions regarding this notice, please contact Bill Marcellus at (813) 470-1224, Paul Du Jat at (813) 470-1221, or e-mail NSCCAA@DTCC.com.