

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6796  
**P&S#** 6366  
**Date:** 02/27/2009  
**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 \***REVISED**\*

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

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

Affina Brokerage Service, LLC No. 5169

**Last Trade Date, February 27, 2009:**

Advantage Capital Corporation No. 0191  
IFS Fund Distributors, Inc. /James Advantage Funds No. 5613

**Last Trade Date, March 3, 2009:**

ABN AMRO Investment Trust Company/AAIF Luxembourg/SICAV No. 6504

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

**Effective First Trade Date, March 2, 2009:**

From: Chase Life & Annuity Company of New York No. 4629

To: Protective Life Insurance Company of New York No. 4629

- The following firm will begin participation in the Commission Settlement service, as detailed below:

**First Trade Date, February 26, 2009:**

DWS Investments Distributors, Inc. No. 4731

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

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

Unified Financial Securities, Inc. FBO James Advantage Funds No. 5613  
 Networking Symbol: Q3  
 Contact: Craig Glenn  
 Phone: (317) 917-7000 ext. 7343

- An additional number has been assigned to FSC Securities Corporation (#0169) for the purpose of utilizing the Fund/SERV and Commission Settlement services, as detailed below:

**First Trade Date, March 2, 2009:**

FSC Securities Corporation/Advantage Capital No. 0191

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

**First Trade Date, March 2, 2009:**

Federal Life Insurance Company (Mutual) No. 6333

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

**First Trade Date, March 2, 2009:**

Penson Financial Services No. 0234

- The following firm will begin participation in the ACATS and ACATS FUND SERV services, as detailed below:

**First Trade Date, March 2, 2009:**

PFPC Distributors, Inc./Guidestone Funds No. 5782

PFPC Distributors, Inc./Abundance Technologies Inc. Family of  
 Funds of the RBB Fund No. 5947

PFPC Distributors, Inc./Marvin & Palmer Large Cap Growth Fund of  
 the RBB Fund, Inc No. 6679

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

**First Trade Date, March 2, 2009:**

PFPC Distributors, Inc./Consulting Group Capital Markets Funds	No.	5422
PFPC Distributors, Inc./Atlantic Whitehall Funds	No.	5427
PFPC Distributors, Inc./Stratton Mutual Fds	No.	5448
PFPC Distributors, Inc./Van Wagoner	No.	5537
PFPC Distributors, Inc./Wilmington Funds	No.	5550
PFPC Distributors, Inc./Fundvantage Trust	No.	5611
PFPC Distributors, Inc./BB&T Funds	No.	5648
PFPC Distributors, Inc./Aston Funds	No.	5699
PFPC Distributors, Inc./Matthews Intl FD Inc.	No.	5724
PFPC Distributors, Inc./MGI FUNDS	No.	5725
PFPC Distributors, Inc./Sterling Capital Small Cap Value Fund	No.	5789
PFPC Distributors, Inc./Robeco Investment Funds	No.	5800
PFPC Distributors, Inc./RBB Funds	No.	5808
PFPC Distributors, Inc./Bogle Investment Management	No.	5818
PFPC Distributors, Inc./Sparx Funds Trust	No.	5842
PFPC Distributors, Inc./Schneider Sml Cap Value Fund	No.	5856
PFPC Distributors, Inc./AFBA Five Star Fund	No.	5861
PFPC Distributors, Inc./Allegiant Funds	No.	5879
PFPC Distributors, Inc./Highland Funds	No.	5979
PFPC Distributors, Inc./Index IQ Trust	No.	6505
PFPC Distributors, Inc./BHR Institutional Funds	No.	6549
PFPC Distributors, Inc./The Torray Funds	No.	6554
PFPC Distributors, Inc./E.I.I. Realty Security Trust	No.	6579
PFPC Distributors, Inc./Senbanc FD	No.	6580
PFPC Distributors, Inc./Bear Sterns Ultra Short Income Fund/RBB	No.	6596
PFPC Distributors, Inc./Roxbury Cap Mgmt FDS	No.	6620
PFPC Distributors, Inc./Metropolitan West Funds	No.	6644

- The following firm will begin participation in the Fund/SERV, Networking, and Commission Settlement service, as detailed below:

**First Trade Date, March 2, 2009:**

Portfolio Brokerage Services Inc.	No. 8052
Networking Symbol:	5V
Contact: George L. Alvin	
Phone: (312) 827-3965	

- Please update the NSCC Directory dated January 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>

**Delete Last Trade Date, February 20, 2009**

Pointe Capital, Inc.

NFSC	0226	PNTE
------	------	------

**Add First Trade Date, February 23, 2009**

Global Crown Capital, LLC

LGNT	0052	GCCG
------	------	------

**Add First Trade Date, March 2, 2009**

Portfolio Advisors A

	0235	PAAI
--	------	------

- Please update the NSCC Directory dated January 2, 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>Add First Trade Date February 23, 2009</u></b> PALI Capital, Inc.	PERS	0443	PALI	
<b><u>Add First Trade Date February 25, 2009</u></b> TORC Investment & Research, LLC TORC Investment & Research, LLC	SHMR SHMR	0695 0695	TORA TORQ	
<b><u>Add First Trade Date February 26, 2009</u></b> Mirae Asset Securities (USA) Inc. Penson Financial Services, Inc.	PFSI PFSI	0234 0234	MASU PFAK	
<b><u>Add First Trade Date February 26, 2009</u></b> Penson Financial Services, Inc.	PFSI	0234	PFAJ	
<b><u>Delete Last Trade Date February 23, 2009</u></b> Montag & Joselso	NFSC	0226	MOJO	
<b><u>Delete Last Trade Date February 25, 2009</u></b> Wedbush Morgan ecurities WEDBUSH MORGAN Securities	WEDB WEDB	0103 0103	WPDQ WEDD	
<b><u>Delete Last Trade Date February 26, 2009</u></b> W G Trading Company Ltd. Partners	BSSC	0235	WGTB	

- Please update the NSCC Directory dated January 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>Executing Broker Name Change and Clearing Broker Change Effective First Trade Date February 24, 2009</u></b> From: Montag & Joselson To: Montag & Joselson	NFSC WEDB	0226 0103	MOJO MOJO	

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