

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6803
P&S# 6373
Date: 03/20/2009
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 firms will retire from all services as detailed below:

Last Trade Date, March 17, 2009:

Simmons First National Bank of Pine Bluff No. 6702

Last Trade Date, March 20, 2009:

State Street Bank & Trust Co/KC Trust Operation No. 0761
Mellon Financial Markets, LLC No. 6747

Last Trade Date, March 23, 2009:

Federated Securities Corp/Fed Services Co. Transfer Agent No. 5868

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

Effective First Trade Date, March 20, 2009:

From: E*Trade Canada Securities Corporation/CDS No. 5052
To: Scotia ITrade Corp No. 5052

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

First Trade Date, March 17, 2009:

Northern Lights Distributors, LLC/EAS Genesis Funds No. 5701

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

First Trade Date, March 23, 2009:

Benefit Trust Company No. 0761
 Networking Symbol: JA
 Contact: David Kenward
 Phone: (913) 663-0735

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

First Trade Date, March 23, 2009:

Waddell & Reed, Inc. No. 0687

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

First Trade Date, March 20, 2009:

Northern Lights Distributors, LLC/The Incline Capital Long/Short Fund No. 6500
 Networking Symbol: A4
 Contact: Mike Nielsen
 Phone: (402) 493-1731 ext 3

- An additional number has been assigned to ALPS Distributors, Inc (#5642) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I and ACATS Fund/SERV services, as detailed below:

First Trade Date, March 23, 2009:

ALPS Distributors, Inc/Westmark Funds No. 5944
 Networking Symbol: 9R
 Contact: Bryan Metzler
 Phone: (720) 917-0725

- 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>
<u>Delete Last Trade Date, March 16, 2009</u> Dawson James Securities, Inc.	SWST	0279	DJSE	
<u>Add First Trade Date, March 17, 2009</u> R.F.Lafferty & Co., Inc. Pelion Securities Corp.	QRCC SWST	0158 0279	L AFC FFSC	
<u>Add First Trade Date, March 24, 2009</u> Emerald Investments, Inc. Niphix Investments, Inc.	LGNT LGNT	0052 0052	EME I NIPH	

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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>
<u>Delete Last Trade Date, March 16, 2009</u> VDM Trading, LLC	SILK	0501	VDMT	
<u>Delete Last Trade Date, March 17, 2009</u> Oppenheimer & Co., Inc.	CWMK	0438	CIBC	
<u>Delete Last Trade Date March 20, 2009</u> Stern Fisher Edwards, Inc.	NFSC	0226	SFEI	
<u>Add First Trade Date March 17, 2009</u> BTIG, LLC	PERS	0443	BTIS	
<u>Add First Trade Date March 18, 2009</u> Penson Financial Services, Inc.	PFSI	0234	PFAP	
<u>Add First Trade Date March 19, 2009</u> Penson Financial Services, Inc. Penson Financial Services, Inc. Penson Financial Services, Inc.	SILK SILK SILK	0501 0501 0501	PFAL PFAM PFAN	

Add First Trade Date March 20, 2009

Direct Access Brokerage Services, Inc.	PFSI	0234	DIRX
Penson Financial Services, Inc.	MLCO	0161	PFSJ
Penson Financial Services, Inc.	MLCO	0161	PFEG

Add First Trade Date March 23, 2009

Wedbush Morgan Securities, Inc.	IBKR	0017	IBKW
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Clearing Broker Change Effective First Trade Date March 13, 2009

From: Torc Investments & Research LLC.	PFSI	0234	TORG
To: Torc Investments & Research LLC	PRST	0551	TORG

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date March 16, 2009
BTIG, LLC

PERS	0443	BTIS
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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