

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6817  
**P&S#** 6387  
**Date:** 05/01/2009  
**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, April 28, 2009:**

Northern Lights Distributors, LLC/Roanoke Small-Cap Growth No. 5577

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

Merrill Lynch Professional Clearing Corp #2 No. 0561  
Diamond Hill Funds No. 4729  
IFS Fund Distributors, Inc. / MMA Praxis Funds No. 5791  
Ultimus Fund Distributors, LLC / The Monteagle Funds No. 6697

**Last Trade Date, May 4, 2009:**

Forside Distribution Services, LP / B Jurman Barry Funds No. 5825

**Last Trade Date, May 7, 2009:**

Perritt Microcap Opportunities Fund, Inc. No. 5602

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

**Effective First Trade Date, April 29, 2009:**

From: First Dominion Capital Corp. / Satuit Funds No. 5903  
To: First Dominion Capital Corp. / World Trust No. 5903

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

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

Vanguard Marketing Corporation No. 0062  
 Networking Symbol: 9W  
 Envelope Location: (New York)  
 Contact: Noni Robinson

Phone: (610) 503-3029

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

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

Black Rock Investments, Inc. No. 5882

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

**First Trade Date, May 4, 2009:**

ING Funds Distributors, LLC/ING Offshore No. 5473

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

**First Trade Date, May 6, 2009:**

Denison (H.C.) & Co. No. 8100

- An additional number has been assigned to BHIL Distributors, Inc.(#6532) 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, May 1, 2009:**

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

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

BHIL Distributors, Inc. / MMA Praxis Funds No. 5791  
 Networking Symbol: VF  
 Contact: Mario Kauffman  
 Phone: (800) 222-5054 x231

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

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

PFPC Distributors, Inc. / PFPC Trust FBO Mass Mutual Wrap Customers No. 5914  
 Networking Symbol: C0  
 Contact: Brian Tutka  
 Phone: (610) 382-8398

- An additional number has been assigned to Matrix Capital Group, Inc.(#5681) for the purpose of utilizing the Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

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

Matrix Capital Group, Inc. / The Monteagle Funds No. 6697  
 Networking Symbol: C6  
 Contact: Lisa Ruzynski  
 Phone: (215) 830-8990 x104

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking , Mutual Fund Profile Phase I, Commission Settlement and ACATS Fund/SERV services, as detailed below:

**First Trade Date, May 4, 2009:**

Quasar Distributors, LLC / Jordan Opportunity Fund No. 5917  
 Networking Symbol: FM  
 Contact: Kevin McLaughlin  
 Phone: (207) 347-2068

**First Trade Date, May 8, 2009:**

Quasar Distributors, LLC / Perritt Funds No. 5917  
 Networking Symbol: G4  
 Contact: Casey Sauer  
 Phone: (414) 347-5766

- 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</u>		<u>Executing Broker</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, April 29, 2009</u></b>				
Leeb Brokerage Services, Inc.	LGNT	0052	LEBB	
Lightspeed Trading, LLC	LGNT	0052	LTSP	
Milestone Financial Services, Inc.	LGNT	0052	MILS	
<b><u>Delete Last Trade Date, April 30, 2009</u></b>				
Bainbridge Securities, Inc.		0235	BNBG	

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

Hapoalim Securities USA, Inc.	BSCC	0352	HAPO
Rafferty Capital Markets, LLC	MLCO	0161	JJKE
Rafferty Capital Markets, LLC	MLCO	0161	JJKS
Rafferty Capital Markets, LLC	MLCO	0161	RCME
Rafferty Capital Markets, LLC	MLCO	0161	RCML

**Clearing Broker Change Effective First Trade Date  
May 6, 2009**

From : Nations Financial Group, Inc.		0235	NFGR
To: Nations Financial Group, Inc.	FCCP	0141	NFGR

- 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>

**Clearing Broker Change Effective First Trade Date  
May 1, 2009**

From : Citigroup Global Markets, Inc.	GLDS	0325	CDMI
To: Citigroup Global Markets, Inc.	SILK	0501	CDMI
From: Astoria Capital Markets, Inc.	JEFF	0019	JSMD
To: Astoria Capital Markets, Inc.	PFSI	0234	JSMD

**Delete Last Trade Date, April 27, 2009**

BNY Convergen Execution Solutions, LLC	ECUT	0100	ATDX
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**Delete Last Trade Date, April 29, 2009**

Argosy Capital Securities	LGNT	0052	HRTS
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**Add First Trade Date, April 27, 2009**

Electronic Transaction Clearing, Inc.	ETCC	0873	ETCG
Wedbush Morgan Securities, Inc.	WEDB	0103	WMSN

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

Penson Financial Services Inc.	SWST	0279	PFAT
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**Add First Trade Date, May 4, 2009**

Hanmi Asset Securities, Inc.	SWST	0279	HANS
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- Please update the NSCC Directory dated April 3, 2009 (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>

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

Astoria Capital Markets, Inc.

PFSI	0234	JSMD	
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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