

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6831
P&S# 6401
Date: 06/12/2009
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

- Custodial Trust Company will undergo a conversion with and into JPMorgan Chase Bank, National Association. As a result, the following name change will occur:

Effective First Trade Date June 16, 2009:

From: Custodial Trust Company No. 2424
To: JPMorgan Chase Bank, N.A./Custodial Trust Company No. 2424
JPMorgan Chase Bank, N.A. (#0902) will assume all open contracts for account number 2424, which are to be cleared or settled through or by National Securities Clearing Corporation.

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

Last Trade Date, June 12, 2009:

Riversource Distributors, Inc. / Trust Collective Funds No. 4843
Seligman Advisors, Inc. No. 5506
Riversource Distributors, Inc. No. 6616

Last Trade Date, July 1, 2009:

Funds Distributors LLC / Allstate Financial Investment Trust Fund No. 5980

- The following firm will no longer participate in the Trade Recording and Trade Comparison, Recaps, CNS Regular Way and When Issued Municipal Bond Comparison System, Corporate Bond Comparison System and Envelope Settlement services, as detailed below:

Last Trade Date, June 9, 2009:

GSECLP / FOC No. 0690

- The following firm will no longer participate in the Recaps service, as detailed below:

Last Trade Date, June 11, 2009:

Larkin (Emmett A.) Co., Inc. No. 0371

- The following firm will no longer participate in the Trade Recording and Trade Comparison, CNS Regular Way and When Issued Municipal Bond Comparison System, Corporate Bond Comparison System, Envelope Settlement, Fund/SERV, Networking, Commission Settlement and ACATS Fund/SERV services, as detailed below:

Last Trade Date, June 16, 2009:

Larkin (Emmett A.) Co., Inc. No. 0371

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

Effective First Trade Date, June 15, 2009:

From: Seligman Advisors, Inc. / Seligman Global Offshore Fund. No. 4872

To: Riversource Fund Distributors, Inc. / Global Offshore Fund No. 4872

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

First Trade Date, June 12, 2009:

Quasar Distributors, LLC / Pictet Funds No. 5793

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

First Trade Date, June 15, 2009:

Northern Trust Securities, Inc. No. 0523

Networking Symbol: 2Z

Contact: Bryan D Pfister

Phone: (312) 444-4380

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

First Trade Date, June 15, 2009:

Riversource Fund Distributors, Inc. No. 6616

Networking Symbol: 7A

Contact: Veronica Seaman

Phone: (207) 253-6501

- An additional number has been assigned to Riversource Fund Distributors, Inc.(#6616) for the purpose of utilizing the Fund/SERV, Networking and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, June 15, 2009:

Riversource Fund Distributors, Inc./Trust Collective Funds No. 4843

Contact: Veronica Seaman

Phone: (207) 253-6501

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

First Trade Date, June 15, 2009:

TD Ameritrade Trust Company No. 5982

- The following firm will begin participation in the NYSE Listed Comparison and OTC Comparison, ACATS, and Recap services, as detailed below:

First Trade Date, June 24, 2009:

ING Financial Markets LLC	No.	0270
NYSE Alpha Identifier:		INY
OTC Alpha Identifier:		INGF

- 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 Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Add First Trade Date, June 15, 2009</u> May Davis Partners, LLC	FSWC	0309	MDPS	
<u>Add First Trade Date, June 17, 2009</u> Larkin (Emmett A.) Co., Inc.	SALI	0750	LARK	

- 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>
<u>Clearing Broker Change Effective First Trade Date June 10, 2009</u> From: Martinez-Ayme Financial Group Inc. To: Martinez-Ayme Financial Group Inc.	LARK	0371	AYME	
	FSWC	0309	AYME	
<u>Delete Last Trade Date, June 8, 2009</u> Penson Financial Services, Inc.	PFSI	0234	PCSB	
Penson Financial Services, Inc.	PFSI	0234	PFES	
Penson Financial Services, Inc.	PFSI	0234	PFCE	
Penson Financial Services, Inc.	PFSI	0234	PFKN	
Penson Financial Services, Inc.	PFSI	0234	PFLG	
Penson Financial Services, Inc.	PFSI	0234	PFSH	
Penson Financial Services, Inc.	PFSI	0234	PFSP	
Penson Financial Services, Inc.	PFSI	0234	PFSW	
Penson Financial Services, Inc.	PFSI	0234	PFSZ	
<u>Delete Last Trade Date, June 23, 2009</u> ING Financial Markets LLC	PERS	0443	INGF	
<u>Add First Trade Date, June 10, 2009</u> Stockcross Financial Services, Inc.	STOX	0445	STXF	

Martinez-Ayme Securities	FSWC	0309	AYME
Goldman Sachs Execution and Clearing LP	SILK	0501	GSBB
Goldman Sachs Execution and Clearing LP	SILK	0501	GSCC
Goldman Sachs Execution and Clearing LP	SILK	0501	GSDD
Goldman Sachs Execution and Clearing LP	SILK	0501	GSEE

Add First Trade Date, June 17, 2009

Second Market, Inc.	QRCC	0158	GRDK
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- Please update the NSCC Directory dated April 3, 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>
<u>Delete Last Trade Date, June 9, 2009</u>				
AFM Investments, Inc.	NFSC	0226	AFMI	
Ashton-Clayton Financial Group	NFSC	0226	RIHA	
Kimball and Cross, Inc.	NFSC	0226	KIMC	
Northeast Capital Management	NFSC	0226	NECM	
Oak Brook Bank	NFSC	0226	OKBK	
Santa Barbara Securities, Inc.	NFSC	0226	SABS	
Shah (V.J.) & Co, Inc.	NFSC	0226	SHAH	
The Concord Equity Group, LLC	NFSC	0226	TCEX	
Martinez-Ayme Financial Group Inc.	LARK	0371	AYME	

Clearing Broker Change Effective First Trade Date June 17, 2009

From: Second Market, Inc.	NFSC	0226	GRDK
To: Second Market, Inc.	AQRCC	0158	GRDK

If you have any questions regarding this notice, please contact Fred Epstein (813) 470-1180 or e-mail NSCCAA@DTCC.com