

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6835
P&S# 6405
Date: 06/19/2009
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 firm will retire from all services, as detailed below:

Last Trade Date, June 19, 2009:

Petruzzi Securities, LLC No. 0585

- The following firm will no longer participate in the Corporate, Muni, UIT, OTC Comparison, ACATS, Envelope Settlement service and RECAP services, as detailed below:

Last Trade Date, June 23, 2009:

Canaccord Adams Inc. No. 0213

MUNI Alpha Identifier: ADAM

OTC Alpha Identifier: ADAM

- The following firm will no longer participate in the Networking, Mutual Fund Profile Phase I, Commission Settlement and ACATS Fund/SERV services, as detailed below:

Last Trade Date, June 23, 2009:

Forside Distribution Services, LP/SunTrust Bank Collective Trust Funds No. 5562

- The following firms will change their name only, as detailed below:

Effective First Trade Date, June 19, 2009:

From: AIG Annuity Insurance Company No. 4623

To: Western National Life Insurance Company No. 4623

From: AIG Annuity Insurance Co / Sunamerica Amarillo No. 4664
To: Western National Life Insurance Company / Sun America Amarillo No. 4664

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

First Trade Date, June 16, 2009:

Nationwide Investment Services Corp. No. 0263

- The following firm will begin participation in the Envelope Settlement services, as detailed below:

First Trade Date, June 16, 2009:

Terra Nova Financial, LLC / Biremis No. 0607

Envelope Location (New York)

- An additional number has been assigned to State Street Bank & Trust Company (#2950) for the purpose of utilizing the Fund/SERV, and Networking services, as detailed below:

First Trade Date, June 18, 2009:

State Street Bank & Trust Company / JP Morgan Retirement Plan Services / Tower Perrin No. 5111

Networking Symbol: 2V

Contact: Lisa Chu

Phone: (781) 302-6123

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

First Trade Date, June 19, 2009:

John Hancock Life & Health Insurance Company No. 5164

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

First Trade Date, June 22, 2009:

Quasar Distributors, LLC / Harding Loevner FDS Inc. No. 4981

- 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

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

First Trade Date, July 1, 2009:

LAVAFLOW, INC No. 0641

NYSE Alpha Identifier: FLW

- 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>Clearing Broker Change Effective First Trade Date June 17, 2009</u>				
From: Spencer Edwards, Inc.	LARK	0371	SPIN	
To: Spencer Edwards, Inc.	SALI	0750	SPIN	
<u>Delete Last Trade Date, June 16, 2009</u>				
Hammond & Botzum	LARK	0371	HMMB	
<u>Delete Last Trade Date, June 18, 2009</u>				
Advantage Capital Corporation	PERS	0443	ADCP	
Cathay Financial, Inc.	PERS	0443	CATY	
Carlin Equities, LLC	PERS	0443	CLYB	
Crocker Securities, LLC	PERS	0443	CRCK	
Flagstone Securities, LLC	PERS	0443	FSLL	
Belmont Asset Management, Inc.	PERS	0443	HLBI	
Kaupthing Securities, Inc.	PERS	0443	KAUP	
L.J. Goldstein & Company, Incorporated	PERS	0443	LJDR	
Redwood Securities Group, Inc.	PERS	0443	RDWD	
Stanford Group Company	PERS	0443	STFG	
Walton Johnson & Company	PERS	0443	WJCO	
<u>Delete Last Trade Date, June 23, 2009</u>				
Canaccord Adams, Inc.	ADAM	0213	ADAM	
<u>Add First Trade Date, June 17, 2009</u>				
International Business Securities, Inc	SALI	0750	IBSI	
DPEC Capital, Inc.	SALI	0750	IPRV	
Inlet Securities, LLC	SALI	0750	LLSI	
R.W. Towt & Associates	SALI	0750	TOWT	
Western Pacific Securities, Inc.	SALI	0750	WEPA	

- 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>

Executing Broker Name Change, Effective First Trade

Date June 16, 2009

From: Custodial Trust Co.	CUST	2424	CUST
To: JP Morgan Chase Bank, N.A./Custodian Trust Co.	CUST	2424	CUST

**Executing Broker Change and Clearing Broker
Change, Effective First Trade Date June 24, 2009**

From: Canaccord Adams, Inc.	ADAM	0213	AFLX
To: Canaccord Adams, Inc	PERS	0443	ADAM

Delete Last Trade Date, June 16, 2009

C.A. Botzum & Company	LARK	0371	BOTZ
Cales Investment, Inc.	LARK	0371	CALE
Matthews (Joseph) & Co.	LARK	0371	JMAT
Mid Florida Equities, Inc.	LARK	0371	MOFO
Nexcore Capital, Inc.	LARK	0371	NEXC
Pacific Commonwealth Corporation	LARK	0371	PCMC
Pacific Financial Associates, Inc.	LARK	0371	PFAI
Pacific Investment Securities Corp.	LARK	0371	PISC
Financial Designs Corporation	LARK	0371	RONB
Watkins Financial Services, Inc.	LARK	0371	SALT
Gramercy Securities, Inc.	LARK	0371	SCRI
Commonwealth Funding, Inc.	LARK	0371	WACX
West America Securities Corp.	LARK	0371	WUSA
Perrot, Mather & Gilday, Inc.	LARK	0371	ISLA
Laguna Financial Corporation	LARK	0371	LFCI
Lighthouse Capital Corporation	LARK	0371	LIGH
Westcap Securities, Inc.	LARK	0371	WESC
M.T. Glantz Financial	LARK	0371	MTGF
Planners Securities Network Corporation	LARK	0371	PLNS

Delete Last Trade Date, June 18, 2009

Barron (Nancy) & Associates, Inc.	NFSC	0226	NBAR
Harrisdirect, LLC	PERS	0443	DLJD
Libra Securities, LLC	PERS	0443	LIBR
The Concord Equity Group, LLC	PERS	0443	TCEG

Add First Trade Date, June 17, 2009

C.A. Botzum & Company	SALI	0750	BOTZ
Cales Investment, Inc.	SALI	0750	CALE
Matthews (Joseph) & Co.	SALI	0750	JMAT
Mid Florida Equities, Inc.	SALI	0750	MOFO
Nexcore Capital, Inc.	SALI	0750	NEXC
Pacific Commonwealth Corporation	SALI	0750	PCMC
Pacific Financial Associates, Inc.	SALI	0750	PFAI
Pacific Investment Securities Corp.	SALI	0750	PISC
Financial Designs Corporation	SALI	0750	RONB

Watkins Financial Services, Inc.	SALI	0750	SALT
Gramercy Securities, Inc.	SALI	0750	SCRI
Commonwealth Funding, Inc.	SALI	0750	WACX
West America Securities Corp.	SALI	0750	WUSA
Wedbush Morgan Securities, Inc.	LSCI	0512	WMLS

Add First Trade Date, June 18, 2009

Morgan Stanley & Co. Inc.	MSCO	0050	MSOT
Sethi Financial Investments	SALI	0750	SSFG

Add First Trade Date, June 19, 2009

Advanced Equities Services Corp.	PFSI	0234	SALD
Electronic Transaction Clearing, Inc.	ETCC	0873	ETCI
Kellogg Specialist Group, LLC	SILK	0501	KELG

Add First Trade Date, July 20, 2009

Deutsche Bank Securities	DBAB	0573	DBAE
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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>

Delete Last Trade Date, June 18, 2009

Gunnallen Financial, Inc.	PERS	0443	GNLN
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Add First Trade Date, June 22, 2009

Vinson Forbes & Co., LLC.	PERS	0443	PRCO
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Add First Trade Date, June 24 2009

Colonial Brokerage, Inc.	NFSC	0226	COLB
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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