

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6839
P&S# 6409
Date: 06/26/2009
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 30, 2009:

Canaccord Adams, Inc.

No. 0213

Pershing LLC (#0443) will assume all open contracts for Canaccord Adams, Inc. (#0213), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Contact: Cynthia Mulica

Phone: (617) 371-3718

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

Last Trade Date, June 25, 2009:

Chicago Stock Exchange-ITS

No. 0767

MCC Roll Up Account for Specialists

No. 0804

Midwest Clearing Corp Omnibus Billing Account

No. 0817

Midwest Clearing Corporation

No. 0859

CHXO Internal Account

No. 3699

Chicago Stock Exchange

No. 3791

CHX / ITS Internal Account

No. 3792

Last Trade Date, June 29, 2009:

401(K) Investment Services Inc.

No. 0335

Last Trade Date, June 30, 2009:

ALPS Distributors, Inc. / State Street Institutional Investment Trust	No.	4726
FAM Dist, Inc. / Merrill Lynch GLBL Select Portfolios	No.	4827
FAM Distributors, Inc.	No.	4918
CUNA Brokerage Services / MEMBERS Mutual Funds	No.	4987
Unified Financial Sec., / UFSI-Unified Funds	No.	5464
Quasar Distributors, LLC / Redstone Trust Collective Funds	No.	5815

- The following firm will no longer participate in the Trade Comparison and Trade Recording, RECAPS and Envelope Settlement services, as detailed below:

Last Trade Date, June 25, 2009:

Hill, Thompson, Magid & Co., Inc.	No.	0633
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- The following firm will change their name only, as detailed below:

Effective First Trade Date, July 6, 2009:

From: Wachovia Capital Markets, LLC	No.	0250
To: Wells Fargo Securities, LLC	No.	0250

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

First Trade Date, June 23, 2009:

Broker Dealer Financial Services Corp.	No.	5985
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- The following firm will begin participation in the Networking service, as detailed below:

First Trade Date, June 24, 2009:

Larkin (Emmett A.) Co., Inc.	No.	0371
Networking Symbol:		EL
Contact: Cheryl Barnes		
Phone: (903) 759-2260 x 436		

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

First Trade Date, June 24, 2009:

Fortis Securities, LLC	No.	7253
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- The following firm will begin participation in the Mutual Fund Profile Phase I & II service, as detailed below:

First Trade Date, June 25, 2009:

SEI Invest Dist. Co / Causeway Capital Mgmt Trust	No.	4913
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- An additional number has been assigned to Madison Mosaic, L.L.C.(#6577) for the purpose of utilizing the Fund/SERV, Networking, Mutual Fund Profile Phase I & II, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

First Trade Date, July 1, 2009:

Madison Mosaic, L.L.C. / MEMBERS Mutual Fund	No.	4987
Networking Symbol:		M1
Contact: Holly Baggot		
Phone: (608) 274-0300		

- An additional number has been assigned to Penn Mutual Life Insurance Co. (#4572) for the purpose of utilizing the Insurance Processing service, as detailed below:

First Trade Date, July 1, 2009:

Penn Mutual Life Insurance/Annuity Order Entry No. 4732

- An additional number has been assigned to ALPS Distributors, Inc.(#5642) 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, July 1, 2009:

ALPS Distributors, Inc. / Cook & Bynum Funds No. 5928

Networking Symbol: SD

Contact: Brian Bishop

Phone: (720) 917-0617

- An additional number has been assigned to Penn Mutual Life Insurance.(#4572) for the purpose of utilizing the Insurance Product services, as detailed below:

First Trade Date, July 1, 2009:

Penn Mutual Life Insurance / Annuity Order Entry No. 4732

- 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>

Executing Broker Name Change, Effective First Trade Date June 22, 2009

From: Thieme Securities, Inc.	PERS	0443	THIM
To: Longview Financial Group Inc.	PERS	0443	THIM

From: AIG Financial Advisors, Inc.	PERS	0443	AIGF
To: Sagepoint Financial Inc.	PERS	0443	AIGF

From: HVB Capital Markets, Inc.	PERS	0443	BVCM
To: Unicredit Capital Markets, Inc.	PERS	0443	BVCM

From: Libertas Partners, LLC	PERS	0443	LIBE
To: Knight Libertas, LLC	PERS	0443	LIBE

Executing Broker Name Change, Effective First Trade Date June 24, 2009

From: APB Financial Group	JEFF	0019	APBI
To: APB Financial Group, LLC	JEFF	0019	APBI

Add First Trade Date, June 22, 2009

Tradition Aisel	PERS	0443	TFAS
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- 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>Executing Broker Name Change, Effective First Trade Date June 22, 2009</u>				
From: Sanders Morris Harris Inc.	PERS	0443	SMHI	
To: SMH Capital Inc.	PERS	0443	PERS	
<u>Executing Broker Change, Effective First Trade Date June 26, 2009</u>				
From: Libucki & Co., LLC	LSCI	0512	LBKI	
To: Libucki & Co., LLC	PFSI	0234	LBKI	
<u>Delete Last Trade Date, June 19, 2009</u>				
Cochran Caronia Waller Securities LLC	PERS	0443	COCH	
<u>Delete Last Trade Date, June 22, 2009</u>				
Chicago Stock Exchange	MWSE	3791	MWSE	
<u>Delete Last Trade Date, June 23, 2009</u>				
Protected Investors of America	NFSC	0226	PROT	
<u>Delete Last Trade Date, June 25, 2009</u>				
Bloomberg Tradebook LLC	ECUT	0100	BLTR	
Pariter Securities LLC	NFSC	0226	FJRF	
<u>Delete Last Trade Date, June 26, 2009</u>				
White Mountain Capital, LLC	NFSC	0226	WMCL	
<u>Add First Trade Date, June 23, 2009</u>				
The Street, Inc.	SALI	0750	TSIB	
<u>Add First Trade Date, June 26, 2009</u>				
Penson Financial Services, Inc.	PFSI	0234	PFBL	
Penson Financial Services, Inc.	PFSI	0234	PFBK	
<u>Add First Trade Date, June 29 2009</u>				
Archev & Co LLC	LGNT	0052	JINS	
Kabrik Trading	SHMR	0695	KBKF	

- 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>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, June 24, 2009</u>				
ABN Amro Financial Services Inc.	NFSC	0226	ABNS	
Assett Management Securities Corp.	NFSC	0226	AMSC	
Bateman Eichler & Co.	NFSC	0226	BECO	
Brownstone Financial	NFSC	0226	BIGG	
Boston Institutional Services Inc.	NFSC	0226	BISB	
Melhado Flynn & Associates, Inc.	NFSC	0226	MEFA	
Morgan Peabody, Inc.	NFSC	0226	RHCI	
Pointe Atlantic Inc.	NFSC	0226	PTAL	
Telecom Regulatory Associates	NFSC	0226	TELE	
Blue Vase Securities	NFSC	0226	ABCL	
C.E. Unterberg, Towbin LLC	NFSC	0226	CEUT	
<u>Delete Last Trade Date, June 26, 2009</u>				
AFS Brokerage, Inc.	NFSC	0226	AFSB	
Banc One Securities Corporation	NFSC	0226	BANC	
Sterling Financial Investment Group Inc.	NFSC	0226	SOAR	

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