

# IMPORTANT NOTICE

**National Securities Clearing Corporation**



**A#:** 6842  
**P&S#** 6412  
**Date:** 7/2/09  
**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, June 30, 2009:**

PFPC Distributors, Inc. / Blackrock Offshore Bond Allocation Target Shares Fund	No.	4954
PFPC Distributors, Inc. / Blackrock EX US Funds	No.	4982
Hill, Thompson, Magid & Co., Inc.	No.	0633

**Last Trade Date, July 2, 2009:**

Quasar Distributors, LLC / PIC Invest Fund	No.	5819
Quasar Distributors, LLC / Kensington Funds	No.	6639

**Last Trade Date, July 6, 2009:**

Northern Lights Distributors, LLC / Caritas All-Cap Growth Fund	No.	5926
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- An additional number has been assigned to Blackrock Investments, Inc.(#5882) for the purpose of utilizing the Fund/SERV, Networking, Mutual Fund Profile Phase I , and Commission Settlement services, as detailed below:

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

Blackrock Investments, Inc. / ICS and Offshore BATS	No.	4954
Networking Symbol:		OZ
Contact: Marcella Ryan		
Phone: (353) 853-8614		

- An additional number has been assigned to Blackrock Investments, Inc.(#5882) 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:**

Blackrock Investments, Inc. / Blackrock Global Funds No. 4982  
 Networking Symbol: WU  
 Contact: Rick Martinez  
 Phone: (609) 282-1529

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

**First Trade Date, July 2, 2009:**

Northern Lights Distributors, LLC / Cardinal Bank No. 6540

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

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

UMB Distribution Services LLC / UMB Scout Fds No. 4854

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

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

Princor Financial Services No. 0375

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

**First Trade Date, July 9, 2009:**

GETCO Execution Services LLC No. 0059  
 Envelope Location (New York)

- 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>
<b><u>Delete Last Trade Date, June 30, 2009</u></b> American Portfolios Financial Services	BSCC	0352	APFS	
<b><u>Delete Last Trade Date, July 2, 2009</u></b> Park Financial Group, Inc.	PFSI	0234	QUIN	
<b><u>Add First Trade Date, June 29, 2009</u></b> LAM Securities Investments, Inc.	SALI	0750	LMSE	
<b><u>Add First Trade Date, June 30, 2009</u></b> Seminole Financial	COAK	0197	SEMT	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Executing Broker Name Change, Effective First Trade Date June 22, 2009</u></b>				
From: Sanders Morris Harris Inc.	PERS	0443	SMHI	
To: SMH Capital Inc.	PERS	0443	SMHI	
<b><u>Delete Last Trade Date, June 26, 2009</u></b>				
LAM Securities Investments, Inc.	SWST	0279	LMSE	
<b><u>Delete Last Trade Date, June 29, 2009</u></b>				
Nunami Securities, LLC	SHMR	0695	NAMA	
<b><u>Add First Trade Date, July 1, 2009</u></b>				
Hudson Securities Inc.	QRCC	0158	HDSW	
<b><u>Add First Trade Date, July 2, 2009</u></b>				
Electronic Transaction Clearing, Inc.	ETCC	0873	ETCJ	
Cadena Capital Group	SILK	0501	CADG	
<b><u>Add First Trade Date, July 6, 2009</u></b>				
Assent LLC	ANDZ	0442	ASNC	
Ledgemont Capital Markets, LLC	BNPS	0049	NARI	
<b><u>Add First Trade Date, July 10, 2009</u></b>				
Beacon Capital Markets, LLC	MLCO	0161	BEAC	
Deutsche Bank Securities Inc.	DBAB	0573	DBMS	
Deutsche Bank Securities Inc.	DBAB	0573	DBRC	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<b><u>Delete Last Trade Date, June 26, 2009</u></b>				
LAM Securities Investments, Inc.	QRCC	0158	LMSE	
<b><u>Delete Last Trade Date, July 1, 2009</u></b>				
Cambridge Way, Inc.	NFSC	0226	CMWY	
<b><u>Delete Last Trade Date, July 2, 2009</u></b>				
Countrywide Investment Services, Inc.	NFSC	0226	CWIS	

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