

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6907
P&S# 6477
Date: 11/27/09
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 firm will retire from all services, as detailed below:

Last Trade Date, December 11, 2009:

HSBC Securities Canada Inc-CDS

No. 5048

NBCN Inc/CDS (5008) will assume all open contracts for HSBC Securities Canada Inc (#5048) which are to be settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Contact: Franklin Lacroce

Phone: (416) 365-8604

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

Last Trade Date, November 30, 2009:

IFS Fund Distributors, Inc. / Navellier Funds

No. 5710

Alps Distributors, Inc./WP Stewart & Co Growth Fund

No. 4997

- The following firm will no longer participate in Networking and the Mutual Fund Profile Phase I & II service, as detailed below:

Last Trade Date, November 30, 2009:

Syndicated Capital, Inc,

No. 5680

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

Last Trade Date, November 27, 2009:

Paloma Securities, LLC

No. 5221

- An additional number has been assigned to BHIL Distributors, Inc. (#6532) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, ACATS Fund/SERV and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, December 1, 2009:

BHIL Distributors, Inc / Navellier Funds

No. 5710

Networking Symbol:

XH

Contact: Christy Baker

Phone: (614) 255-5547

- Please update the NSCC Directory dated October 2, 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>Delete Last Trade Date, November 25, 2009</u>				
Wedbush Morgan Securities, Inc	WEDB	0103	WMSL	
Wedbush Morgan Securities, Inc.	WEDB	0103	WMSK	
<u>Add First Trade Date, November 24, 2009</u>				
Raven Securities Corp.	SILK	0501	RAVE	
<u>Add First Trade Date, November 27, 2009</u>				
Penson Financial Services, Inc	PFSI	0234	PFCI	
<u>Clearing Broker Change, Effective First Trade Date, November 27 2009</u>				
From: OptionsXpress, Inc.	FMAF	5008	OXPC	
To: OptionsXpress, Inc.	ECEE	5063	OXPC	

- Please update the NSCC Directory dated October 2, 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>Add First Trade Date November 24, 2009</u> Evolution Securities US Inc.	PERS	0443	ESUS	
<u>Add First Trade Date November 30, 2009</u> First Bank Puerto Rico Securities, Corp.	SALI	0750	FBPR	

If you have any questions regarding this notice, please contact Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com