

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6913
P&S# 6483
Date: 12/11/09
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, December 8, 2009:

Paloma Securities L.L.C. No. 5221

Last Trade Date, December 16, 2009:

Invesco Aim Distributors, Inc./AIM Global No. 6617

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

Last Trade Date, December 10, 2009:

Integral Wealth Securities Limited No. 5020

Polar Securities Inc./CDS No. 5067

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

Last Trade Date, December 17, 2009:

Harborview, LLC No. 0558

- The following firm will begin participation in the When Issued Municipal Bond Comparison System, as detailed below:

First Trade Date, December 8, 2009:

Nexity Bank No. 6727

Muni Alpha-Identifier NXTY

An additional number has been assigned to Unified Financial Securities. (#4965) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, services as detailed below:

First Trade Date, December 11, 2009:

Unified Financial Securities, Inc./ TEAM Financial	No.	5408
Networking Symbol:	IB	
Contact: Cathy Harper		
Phone: (317) 917-7000		

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

First Trade Date, December 14, 2009:

State Street/ACS HR Solutions LLC/Ford Motor Company	No.	2524
Networking Symbol:	IK	
Contact: Lisa Chu		
Phone: (781) 302-6213		

- An additional number has been assigned to Foreside Distribution Services (#4967) for the purpose of utilizing Fund/SERV Networking, Commission Settlement, ACATS Fund/SERV and Mutual Fund Profile I, services, as detailed below:

First Trade Date, December 16, 2009:

Foreside Distribution Services, LP/IVA Global SICAV Fund	No.	5410
Networking Symbol:	IA	
Contact: Philip Coniglio		
Phone: (212) 324-2463		

- An additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing Fund/SERV ,Networking & ACATS Fund/SERV service, as detailed below:

First Trade Date, December 16, 2009:

Ultimus Fund Distributors LLC/NCM Capital Investment Trust	No.	5409
Networking Symbol:	IC	
Contact: Doug Jones		
Phone: (513) 587-3408		

- Please update the NSCC Directory dated October 2, 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>Delete Last Trade Date, December 11, 2009</u>				
Stonehenge Securities, Inc	SWST	0279	HENG	
Wagner(E) & Associates Inc	SWST	0279	EWAI	

- 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, December 8, 2009</u>				
Penson Financial Services, Inc	PFSI	0234	PFRT	
Valley Forge Asset Management	FCCP	0141	VLYF	
<u>Delete Last Trade Date, December 10, 2009</u>				
Integral Wealth Securities Limited	IWSL	5020	IWSL	5020
Polar Securities, INC CDS	POLR	5067	POLR	5067
<u>Delete Last Trade Date, December 11, 2009</u>				
GSEC/GETCO LLC	SILK	0501	SLGO	
Meeting Street Brokerage, LLC	ALPS	8072	MSBB	
Meeting Street Brokerage, LLC	PFSI	0234	MSBR	
Westmoore Trading Company	SWST	0279	BDFI	
<u>Add First Trade Date, December 10, 2009</u>				
Samsung Securities(America). Inc	LYON	0651	SSNY	
<u>Add First Trade Date, December 11, 2009</u>				
Penson Financial Services, Inc	SILK	0501	PFBY	
<u>Clearing Broker Change, Effective First Trade Date, December 9, 2009</u>				
From: Buckman, Buckman & Reid Inc.	NFSC	0226	BKRT	
To: Buckman, Buckman & Reid Inc		0235	BKRT	

- 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 December 9, 2009</u> Buckman, Buckman & Reid		0235	BKRT	
<u>Add First Trade Date December 14, 2009</u> First Merit Financial Services, Inc	NFSC	0226	FMFS	
<u>Clearing Broker Change, Effective First Trade Date, December 9, 2009</u> From: Valley Forge Asset Management To: Valley Forge Asset Management	FCCP PERS	0141 0443	VLYF VLYF	

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