

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6934
P&S# 6504
Date: 01/15/10
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, January 22, 2010:

Perelman-Carley & Associates, Inc. No. 8086

Stockcross Financial Services Inc. (#0445) will assume all open contracts for Perelman-Carley & Associates, Inc, Inc. (#8086), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Contact: Andrew Reich

Phone: (800) 225-6196

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

Last Trade Date, January 11, 2010:

Silverton Bank, N.A. No. 2268

Silverton Bank, N.A. No. 6703

Last Trade Date, January 14, 2010:

Cantor Fitzgerald & Co/R.W. Ellwood & Co., Inc No. 6921

W.H Reaves & Co., Inc. No. 0362

Transamerica Capital, Inc./Transamerica Premier Funds No. 5446

Last Trade Date, January 21, 2010:

PFPC Distributors Inc/Full Service House Account No. 4706

Last Trade Date, January 22, 2010:

PFPC Distributors Inc. /Sterling Capital Small Cap Value Fund No. 5789

Last Trade Date, January 29, 2010:

Foreside Distribution Services, LP/Lou Holland Growth Fund No. 5620

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

Last Trade Date, January 11, 2010:

Princor Financial Services Corporation No. 5546

Networking Symbol: PC

- The following firms will no longer participate in the Mutual Fund Profile II service, as detailed below

Last Trade Date, January 15, 2010:

Foreside Distribution Services, LP/Nestegg Funds No. 5694

Advisors Clearing Network, Inc. No. 0359

- The following firm will change its name only, as detailed below:

Fist Trade Date, January 18, 2010:

From: SEI Investment Distribution Co/MIP/BGI No. 6555

To: SEI Investment Distribution Co/BlackRock Funds III No. 6555

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

First Trade Date, January 13, 2010:

Ariel Distributors, LLC No. 5751

- Please update the NSCC Directory dated January 4, 2010 (for OTC Executed-By List and 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, January 13, 2010</u>				
Utendahl Capital Partners, L.P	PERS	0443	UCPL	
<u>Delete Last Trade Date, January 14, 2010</u>				
Cohmad Securities	BSSC	0352	COMA	
<u>Delete Last Trade Date, January 15, 2010</u>				
Diversified Securities Inc.	PERS	0443	DIVP	
<u>Add First Trade Date, January 12, 2010</u>				
W.H. Reaves & Co., Inc.	PERS	0443	REAV	
<u>Add First Trade Date, January 14, 2010</u>				
Dinosaur Securities, LLC	NFSC	0226	TREX	
<u>Add First Trade Date, January 20, 2010</u>				
T.S Phillips Investments, Inc	FCCP	0141	TSPI	

**Clearing Broker Change, Effective First Trade Date,
January 22, 2009**

From: Sunrise Securities Corp	NFSC	0226	SUNR
To: Sunrise Securities Corp	MLCO	0161	SUNR

- Please update the NSCC Directory dated January 4, 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, January 13, 2010</u>				
BTIG LLC	PERS	0443	BICA	
L.J Hart & Company	PERS	0443	LJHT	
NBGI Securities	PERS	0443	NBGI	
R-G Investment Corporation	PERS	0443	RGIC	
Rodecker & Co Investment Brokers, Inc.	PERS	0443	RODE	
TCM Capital Inc.	PERS	0443	TCMU	
<u>Delete Last Trade Date, January 15, 2010</u>				
America's Growth Capital	PERS	0443	AMGC	
Beach Securities Corp.	PERS	0443	BEAH	
CBA Securities LLC	PERS	0443	CBAS	
Delafield & Hambrecht	PERS	0443	DELA	
FFP Securities Inc	PERS	0443	FFPS	
Gold Capital Management	PERS	0443	GCMT	
Hill Thompson Magid & Co, Inc.	PERS	0443	HILF	
Inter Securities Inc.	PERS	0443	INSC	
Investors Securities Services, LLC	PERS	0443	ISSC	
Woori Investment & Securities America, Inc.	PERS	0443	LGSA	
Griffon May	PERS	0443	MACP	
Nesbitt Thompson Securities Inc.	PERS	0443	NTSI	
Pactual Capital Corp.	PERS	0443	PCCN	
Petrie Parkman & Co, Inc.	PERS	0443	PTRI	
Urchin Capital Partners	PERS	0443	UCHN	
Bedrok Securities, LLC	PERS	0443	STLZ	
<u>Add First Trade Date, January 14, 2010</u>				
Assent, LLC	ANDZ	0442	ASNM	
Assent, LLC	ANDZ	0442	ASSD	
Assent, LLC	ANDZ	0442	ASND	
Wedbush Morgan Securities Inc.	WEDB	0103	WMTX	
<u>Add First Trade Date, January 19, 2010</u>				
Lime Brokerage LLC	SHMR	0695	LIFC	
<u>Add First Trade Date, January 25, 2010</u>				
GETCO Execution Services, LLC	GFLO	0530	GESX	

**Clearing Broker Change, Effective First Trade Date,
February 1, 2010**

From: Riley(B) & Co., Inc.
To: Riley(B) & Co., Inc.

SILK	0501	RILY
QRCC	0158	RILY

- Please update the NSCC Directory dated January 4, 2009 (for Municipal Bond Comparison System) as detailed below:

<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, January 12, 2010

Dolphin Securities, Inc

NFSC	0226	DOLP
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If you have any questions regarding this notice, please contact Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com