

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6940
P&S# 6510
Date: 01/29/10
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 firms will retire from all services, as detailed below:

Last Trade Date, January 27, 2010:

PFPC Distributors, Inc. /BHR Institutional Funds No. 6549

Last Trade Date, January 29, 2010:

Federated Securities Corp. / BBH Funds No. 5722
Hewitt Services LLC No. 6588

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

Last Trade Date, January 27, 2010:

Fortis Securities, LLC/SL No. 5240

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

Effective First Trade Date, January 28, 2010:

From: PFPC Distributors Inc. / Abundance Technologies Inc, Family of Funds of the RBB Fund No. 5947
To: PFPC Distributors Inc. / Matson Money, Inc Family of Funds of the RBB Fund No. 5947

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

First Trade Date, January 27, 2010:

Timber Hill LLC / Account #2 No. 0437
Envelope Location: (New York)

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

First Trade Date, January 28, 2010:

Unified Financial Securities, Inc./Huntington Funds No. 5832

- An additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing the Fund/SERV, Networking, ACATS, and ACATS Fund/SERV services, as detailed below:

First Trade Date, January 28, 2010:

Foreside Fund Services, LLC / BHR Institutional Funds	No. 6549
Networking Symbol:	QQ
Contact: Bruno DiStefano	
Phone: (610) 382-8618	

- An additional number has been assigned to ALPS Distributors (#5642) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I, and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 1, 2010:

ALPS Distributors / Vulcan Value Partners Fund	No. 5313
Networking Symbol:	IZ
Contact: Brian Bishop	
Phone: (720) 917-0617	

- An additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 1, 2010:

Northern Lights Distributors, LLC / Foxhall Global Trends Fund	No. 5319
Networking Symbol:	L5
Contact: Mike Nielsen	
Phone: (402) 493-1731 ext.3	

- An additional number has been assigned to ALPS Distributors (#5642) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I, and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 1, 2010:

ALPS Distributors / BBH Funds	No. 5722
Networking Symbol:	QR
Contact: Bryan Metzler	
Phone: (720) 917-0725	

- An additional number has been assigned to PFPC Distributors Inc. (#6658) for the purpose of utilizing the Fund/SERV, Networking, Mutual Fund Profile Phase I, and ACATS Fund/SERV services, as detailed below:

First Trade Date, February 4, 2010:

PFPC Distributors Inc./Perimeter Small Cap Growth Fund of the RBB Fund, Inc.	No. 5416
Networking Symbol:	DS
Contact: Jayda Burke	
Phone: (508) 871-3717	

- 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 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 25, 2010</u> Franklin Ross	LGNT	0052	KEHE	
<u>Delete Last Trade Date, January 28, 2010</u> Lightspeed Professional Trading LLC	SWST	0279	LSPT	
<u>Add First Trade Date, January 27, 2010</u> First Merger Capital Inc.	LGNT	0052	FSMG	
<u>Add First Trade Date, January 28, 2010</u> PWMCO, LLC	MWPA	0467	MPWP	
<u>Add First Trade Date, January 29, 2010</u> MF Global Securities, Inc.	MANS	0120	MMPS	
<u>Add First Trade Date, February 3, 2010</u> Myd Market, Inc.	NFSC	0226	MYDM	
<u>Add First Trade Date, February 5, 2010</u> Odeon Capital Group LLC, BD	MLCO	0161	ODNC	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, January 28, 2010</u> ML Professional CC / Millenco	PRST	0551	MLEN	
ML Professional CC / Telemetry Securities	PRST	0551	PRTS	
ML Professional CC / Susquehanna	PRST	0551	PRSQ	
Merrill Lynch Professional Clearing Corp.	PRST	0551	PXOS	
WG Trading Company, L.P.	PRST	0551	WGTC	
Vanthedgepoint Securities, LLC	PRST	0551	VHPS	
<u>Delete Last Trade Date, January 29, 2010</u> Penson Financial Services Inc.	SILK	0501	PFBP	
<u>Add First Trade Date, January 26, 2010</u> Whitaker Securities, LLC	PERS	0443	WTSC	
<u>Add First Trade Date, January 27, 2010</u> Electronic Transaction Clearing, Inc.	ETCC	0873	ETCT	

Electronic Transaction Clearing, Inc.	ETCC	0873	ETCU
Electronic Transaction Clearing, Inc.	ETCC	0873	ETCW

Add First Trade Date, January 28, 2010

Fortis Clearing Americas, LLC	SHMR	0695	LIMC
Fortis Clearing Americas, LLC	SHMR	0695	WLVF
Fortis Clearing Americas, LLC	SHMR	0695	VIRF
Fortis Clearing Americas, LLC	SHMR	0695	JMPF
Fortis Clearing Americas, LLC	SHMR	0695	CPSF

Add First Trade Date, February 1, 2010

Electronic Brokerage Systems, LLC	BELZ	0627	EUGE
Electronic Brokerage Systems, LLC	EBSC	0393	GLPS
Electronic Transaction Clearing, Inc.	ETCC	0873	ETCX
Newedge USA, LLC	PCAP	0608	NELA
Newedge USA, LLC	PCAP	0608	NELB
Newedge USA, LLC	PCAP	0608	NELC
Newedge USA, LLC	PCAP	0608	NELD
Newedge USA, LLC	PCAP	0608	NETR
Penson Financial Services Inc.	PFSI	0234	PFCY
Penson Financial Services Inc.	PFSI	0234	PFCZ
Primary Capital, LLC	ALPS	8072	PMRY

Add First Trade Date, February 2, 2010

Wedbush Morgan Securities Inc.	WEDB	0103	WESG
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Executing Broker Name Change and Clearing Broker Change Effective First Trade Date February 1, 2010

From: NYFIX Transaction Services, Inc.	NFCC	0294	NYFT
To: BNY Convergen Execution Solutions, LLC	ECUT	0100	NYFT

From: NYFIX Transaction Services, Inc.	NFCC	0294	NYFX
BNY Convergen Execution Solutions, LLC	ECUT	0100	NYFX

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<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, January 25, 2010

Dynasty Capital Partners, Inc.	SWST	0279	DCPI
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Add First Trade Date, January 29, 2010

Scottrade, Inc.	PFSI	0234	SCTO
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If you have any questions regarding this notice, please contact Fredric Epstein (813) 470-1180 or E-mail NSCCAA@DTCC.com