

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6946
P&S# 6516
Date: 02/12/10
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, February 18, 2010:
Ultimus FD Dists LLC/Wells Family of Real Est Fds No. 5802
- The following firm will no longer participate in the Commission Settlement service, as detailed below:
Last Trade Date, February 11, 2010:
Bertolet Capital Trust No. 6701
- The following firm will no longer participate in the MF Profile Phase II service, as detailed below:
Last Trade Date, February 22, 2010:
Columbia Funds Distributors, Inc / Columbia 529 Plan No. 6512
- The following firms will change their names only, as detailed below:
Effective First Trade Date, February 11, 2010:
From: Foreside Fund Services, LLC/BHR Institutional Funds No. 6549
To: Foreside Fund Services, LLC/Dundee Wealth Funds No. 6549

Effective First Trade Date, February 12, 2010:
From: Research Capital Corporation/CDS No. 5029
To: Mackie Research Capital Corporation/CDS No. 5029

Effective First Trade Date, February 22, 2010:
From: Northern Lights Distributors, LLC/Critical Math Fund No. 6694
To: Northern Lights Distributors, LLC/Adaptive Allocation Fund No. 6694

From: Northern Lights Distributors, LLC/Pathmaster Funds	No.	5740
To: Northern Lights Distributors, LLC/Wayne Hummer Funds	No.	5740
From: Northern Lights Distributors, LLC/Pacific Financial	No.	5644
To: Northern Lights Distributors, LLC/Pacific Financial Funds	No.	5644
From: Northern Lights Distributors, LLC/The Currency Fund	No.	6696
To: Northern Lights Distributors, LLC/The Currency Strategies Fund	No.	6696
From: Northern Lights Distributors, LLC/Toews Hedged Emerging Markets Fund	No.	5906
To: Northern Lights Distributors, LLC/Toews Funds	No.	5906

- The following firm will begin participation in the NYSE Listed Comparison service, as detailed below:

First Trade Date, February 12, 2010:

Virtu Financial BD, LLC	No.	0063
NYSE Alpha Identifier:		VRTU

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

First Trade Date, February 16, 2010:

The Variable Annuity Life Insurance Company	No.	6455
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- The following Data Service Only Member will begin participation in the Insurance Processing service, as detailed below:

First Trade Date, February 18, 2010:

C.O.R.E. Marketing Inc.	No.	6006
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- The following firms will begin participation in the ACATS service, as detailed below:

First Trade Date, February 16, 2010:

Prudential Investment Management Services LLC	No.	5805
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First Trade Date, February 17, 2010:

Forside Distribution Services, LP / Cavanal Funds	No.	5807
Forside Distribution Services, LP / Pacific Capital Funds	No.	5658
Forside Distribution Services, LP / HSBC Investor Funds	No.	5814
Forside Distribution Services, LP / ProFunds	No.	4969
Forside Distribution Services, LP / Ridgeworth Funds	No.	4920
Forside Distribution Services, LP / Victory Institutional Funds	No.	5723
Forside Distribution Services, LP / Victory Fund	No.	5686
Forside/Fund Services, LLC / Aberdeen Funds	No.	4899

First Trade Date, March 1, 2010:

Calvert Distributors, Inc.	No.	5543
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- 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>Add First Trade Date, February 11, 2010</u> Tahoe Fixed Income LLC	SALI	0750	TAFI	
<u>Add First Trade Date, February 12, 2010</u> Triad Securities Corp.	JEFF	0019	TIAB	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, February 10, 2010</u> Pali Capital Inc.	BSSC	0352	PALG	
<u>Delete Last Trade Date, February 12, 2010</u> Pershing LLC	PERS	0443	BALE	
<u>Add First Trade Date, February 10, 2010</u> Merrill Lynch Professional Clearing Corp.	PRST	0551	PRTS	
<u>Add First Trade Date, February 12, 2010</u> Raven Securities Corp. PDQ ATS	SHMR MLCO	0695 0161	RAVN PDQM	
<u>Add First Trade Date, February 16, 2010</u> W.R. Hambrecht & Co., LLC	PFSI	0234	HAMC	
<u>Add First Trade Date, February 17, 2010</u> Newedge USA, LLC	PCAP	0608	NELT	
<u>Clearing Broker Change, Effective First Trade Date, February 12, 2010</u> From: Genesis Securities, LLC To: Genesis Securities, LLC	GNDT MLCO	0118 0161	GNSB GNSB	
<u>Clearing Broker Change, Effective First Trade Date, February 16, 2010</u> From: Wilmington Brokerage Services Company To: Wilmington Brokerage Services Company	PERS NFSC	0443 0226	BALE BALE	
<u>Clearing Broker Change, Effective First Trade Date, February 19, 2010</u> From: Two Sigma Securities, LLC To: Two Sigma Securities, LLC	BSSC MLCO	0352 0161	SOHO SOHO	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Add First Trade Date, February 17, 2010</u>				
Arete Wealth Management	NFSC	0226	KEYS	

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