

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6960
P&S# 6530
Date: 03/05/10
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, March 1, 2010:

Foreside Distribution Services, L.P. / PNC Funds No. 4921

Last Trade Date, March 4, 2010:

PFlueger & Baerwald Inc. No. 0428

Last Trade Date, March 5, 2010:

PFPC Distributors, Inc./PFPC Inc as Agent for PFPC Trust FBO Nationwide
Best of America Advisory Services No. 0195

PFPC Distributors, Inc./PFPC Inc as Agent for PFPC Trust FBO
Wrap Clients No. 0463

Last Trade Date, March 12, 2010:

Northern Lights Distributors LLC/Alphastream Special Equity Fund No. 5688

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

Last Trade Date, March 5, 2010:

LaBranche & Co, LLC No. 0210

- The following firm will no longer participate in the Commission Settlement service, as detailed below:

Last Trade Date, March 5, 2010:

Unified Financial Securities Inc. / Penn Street Funds No. 5902

- The following firm will no longer participate in the Trade Recording and Trade Comparison, Fund/SERV, Networking, ACATS Fund/SERV, Envelope Settlement and RECAP services, as detailed below:

Last Trade Date, March 8, 2010:

LaBranche Financial Services, LLC No. 0215
 Networking Symbol: 4H

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

First Trade Date, March 2, 2010:

BHIL Distributors, Inc. / Performance Funds No. 5854

- An additional number has been assigned to MBSC Securities Corporation (#5523) for the purpose of utilizing the Fund/SERV service, as detailed below:

First Trade Date, March 8, 2010:

MBSC Securities Corporation/The Bank of New York Mellon
 (Asset Servicing Group PGH) No. 5913
 Contact: Matthew Perrone
 Phone: (516)338-3583

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

First Trade Date, March 8, 2010:

Mainsail Group, LLC No. 5411

- An additional number has been assigned to UMB Distribution Services, LLC (#4854) for the purpose of utilizing the Networking, Mutual Fund Profile Phase I & II, Commission Settlement, Fund/SERV and ACATS Fund/SERV services, as detailed below:

First Trade Date, March 12, 2010:

UMB Distribution Services, LLC/Alerian MLP Funds No. 5116
 Networking Symbol: D0
 Contact: Darren Siverling
 Phone: (414)299-2160

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

First Trade Date, March 15, 2010:

State Street Bank & Trust Co./JP Morgan Retirement Plan Services/
 Hallmark Cards Inc. No. 2547
 Networking Symbol: M0
 Contact: Lisa Chu
 Phone: (781)302-6213

- 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, March 1, 2010</u> Vail Securities Investments, Inc.		0235	VAIL	
<u>Add First Trade Date, March 5, 2010</u> Dart Executions, LLC	SILK	0501	DCVL	

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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>
<u>Add First Trade Date, March 2, 2010</u> Jump Trading	SHMR	0695	SPDM	
<u>Add First Trade Date, March 3, 2010</u> Guggenheim Capital Markets LLC Penson Financial Services	PERS PFSI	0443 0234	LNKS PFAP	
<u>Add First Trade Date, March 8, 2010</u> Dundee Securities Corporation	DCAF	5039	DSCS	
<u>Add First Trade Date, March 10, 2010</u> Protected Investors of America, Inc.	FCCP	0141	PROT	

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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>
<u>Delete Last Trade Date, March 3, 2010</u> Drexel Hamilton, LLC Life Science Group, Inc. Medallion Investments Services, Inc.	PFSI NFSC NFSC	0234 0226 0226	DREX LSGR MISS	
<u>Add First Trade Date, March 8, 2010</u> Rockfleet Financial Services	NFSC	0226	RCKF	
<u>Add First Trade Date, March 10, 2010</u> Cape Securities Inc.	NFSC	0226	CAPE	

**Executing Broker Change, Effective Fast Trade Date,
March 10, 2010**

From: Protected Investors of America

NFSC 0226 PROT

To: Protected Investors of America, Inc.

FCCP 0141 PROT

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