

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6971
P&S# 6541
Date: 03/19/10
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 18, 2010:

National Association of Securities Dealers, Inc. No. 0770

Last Trade Date, March 19, 2010:

Wachovia Bank, N.A. No. 0929
Wachovia Bank, N.A./Capital Markets No. 2072

As a result of the merger of Wachovia Bank N.A. into Wells Fargo Bank, N.A., Wells Fargo Bank, N.A. will assume all open contracts for Wachovia Bank, N.A. (#0929, 2072, 9029, & 9055), which are to be cleared or settled through or by National Securities Clearing Corporation.

Consequently, Wells Fargo Bank N.A. (#2072) will open the following additional accounts retaining all current services.

First Trade Date, March 22, 2010:

Wells Fargo Bank, N.A./Wachovia No. 0929
Wells Fargo Bank, N.A./SIG No. 2072

Note: Please direct all inquiries regarding the above to:

Wells Fargo Bank, N.A.
Contacts: Cheryl Wilson and Frank Iuele
Phone: (704)590-8464 (Cheryl) (704) 427-4813 (Frank)

- The following firm will no longer participate in the Networking service, as detailed below:
Last Trade Date , March 31, 2010:
CUNA Brokerage Services No. 0239
- The following firm will begin participation in the ACATS service, as detailed below:
First Trade Date, March 17, 2010:
NYLIFE Securities LLC. No. 5539
- The following firm will begin participation in the ACATS service, as detailed below:
First Trade Date, March 22, 2010:
Wells Fargo Funds Distributor, LLC/Evergreen Investment Services, Inc. No. 5518
Wells Fargo Funds Distributor, LLC No. 5576
- The following firm will begin participation in the Mutual Fund Profile Phase I service, as detailed below:
First Trade Date, March 19, 2010:
Quasar Distributors, LLC / RBC Funds Trust No. 5413
- The following firm will begin participation in the Networking service, as detailed below:
First Trade Date, March 22, 2010:
Quasar Distributors, LLC / Brandes Dublin Offshore No. 5911
Networking Symbol: BU
Contact: Casey Sauer
Phone: (414) 347-5766
- Please update the NSCC Directory dated January 4, 2010 (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>

**Executing Broker Change Effective First Trade Date
March 16, 2010**

From: Assent LLC	ANDZ	0442	ANSF
To: Assent LLC	ANDZ	0442	ASNF

**Clearing Broker Change Effective First Trade Date
March 18, 2010**

From: Penson Financial Services, Inc.	PFSI	0234	PFSE
To: Penson Financial Services, Inc.	TNBI	0607	PFSE

Delete Last Trade Date, March 15, 2010

Assent LLC	ANDZ	0442	ASNF
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Add First Trade Date, March 16, 2010

Fortis Clearing Americas LLC

SHMR 0695 INTF

Add First Trade Date, March 19, 2010

Wedbush Morgan Securities Inc.

WEDB 0103 WNAC

Add First Trade Date, March 22, 2010

Macquaries Capital USA, Inc.

Fortis Clearing Americas LLC

PERS 0443 MACQ

SHMR 0695 TMGX

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