

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6973
P&S# 6543
Date: 03/26/10
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, March 31, 2010:

Cazenove Incorporated
OTC Alpha Identifier:

No. 5117
CAZE

J.P. Morgan Clearing Corp. (#0352) will assume all open contracts for Cazenove Incorporated (#5117), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Contact: Michael Minikes
Phone: 212-272-2089

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

Last Trade Date, March 24, 2010:

Union Bank of California N.A. / CNA

No. 2664

Last Trade Date, March 25, 2010:

Matrix Capital Group, Inc. / Epiphany Funds

No. 6634

Last Trade Date, March 26, 2010:

UMB Distribution Services, LLC / Lend Lease Funds
Tamarack Distributors, Inc.

No. 4893

No. 4945

Last Trade Date, March 30, 2010:

Legg Mason Investor Services, LLC / Barrett Growth Fund

No. 5480

Last Trade Date, March 31, 2010:

Wall Street Management Corporation No. 6626

- The following firms will no longer participate in the OTC Comparison service, as detailed below:

Last Trade Date, March 19, 2010:

Global Maxfin Capital Inc. / CDS No. 5092
OTC Alpha Identifier: GMAX

Last Trade Date, March 26, 2010:

Octagon Capital Corporation / CDS No. 5073
OTC Alpha Identifier: OTGN

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

Last Trade Date, March 25, 2010:

American Stock Exchange Clearing LLC No. 0737
American Stock Exchange Clearing LLC / Force Adjustment No. 0029
American Stock Exchange Clearing LLC / Per No. 0620
American Stock Exchange Clearing LLC / Apex No. 0621
American Stock Exchange Clearing LLC / Direct Market Access No. 0622
American Stock Exchange Clearing LLC / Amex Book No. 0625
American Stock Exchange Clearing LLC / SPDR Omnibus Account No. 0714
American Stock Exchange Clearing LLC / Auto No. 0723
American Stock Exchange Clearing LLC / ASE No. 0724
American Stock Exchange Clearing LLC / Universal Omnibus No. 0782

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

Effective First Trade Date, March 25, 2010:

From: Blackmont Capital Inc. / CDS No. 5010
To: Macquarie Private Wealth Inc. / CDS No. 5010

- The following firm will begin participation in the Fund/SERV, ACATS Fund/SERV, Commission Settlement, Networking and Insurance Processing services, as detailed below:

First Trade Date, March 26, 2010:

Ridge Clearing & Outsourcing Solutions, Inc. /Account 2 No. 0543
Networking Symbol: N9
Contact: Richard Boulanger
Phone: 201-793-9106

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

First Trade Date, March 26, 2010:

Northern Lights Distributors, LLC / Epiphany Funds No. 6634
Networking Symbol: GO
Contact: Mike Nielsen
Phone: 402-493-1731 x3

- The following members of CDS Clearing and Depository Services Inc. will begin participation in the OTC Comparison service, as detailed below:

First Trade Date, March 22, 2010:

Global Maxfin Capital Inc. / CDS No. 5026
 OTC Alpha Identifier: GMAX

First Trade Date, March 29, 2010:

Octagon Capital Corp. / CDS No. 5042
 OTC Alpha Identifier: OTGN

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Networking, Mutual Fund Profile Phase I, Fund/SERV and ACATS Fund/SERV services, as detailed below:

First Trade Date, March 31, 2010:

Quasar Distributors, LLC / Barrett Growth Fund No. 5480
 Networking Symbol: 1Q
 Contact: Casey Sauer
 Phone: 414-347-5766

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

First Trade Date, April 1, 2010:

Lord, Abbett Distributor No. 5500

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Networking, Commission Settlement, Mutual Fund Profile Phase I, Fund/SERV and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 1, 2010:

Quasar Distributors, LLC / Niemann Fund No. 5317
 Networking Symbol: L0
 Contact: Casey Sauer
 Phone: 414-347-5766

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Networking, Fund/SERV and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 1, 2010:

Quasar Distributors, LLC / Wall Street Fund No. 6626
 Networking Symbol: 7M
 Contact: Casey Sauer
 Phone: 414-347-5766

- An additional number has been assigned to ALPS Distributors (#5642) for the purpose of utilizing the

Networking, Commission Settlement, Mutual Fund Profile Phase I, Fund/SERV and ACATS Fund/SERV services, as detailed below:

First Trade Date, April 1, 2010:

ALPS Distributors / Transparent Value Fund

No. 5314

Networking Symbol:

K0

Contact: Brian Bishop

Phone: 720-917-0617

- 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, March 23, 2010</u> MAIA Securities, Inc.		0235	MAIA	
<u>Add First Trade Date, March 29, 2010</u> MF Global Securities, Inc.	MANS	0120	MFON	

- 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>
<u>Clearing Broker Change Effective First Trade Date March 29, 2010</u> From: Compass Point Research & Trading, LLC To: Compass Point Research & Trading, LLC	SILK	0501	CMPT	
	PERS	0443	CMPT	
<u>Delete Last Trade Date, March 22, 2010</u> Cantella & Co., Inc.	BSSC	0352	CTLA	
<u>Delete Last Trade Date, March 23, 2010</u> MAIA Securities, Inc.	SWST	0279	MAIB	
<u>Delete Last Trade Date, March 25, 2010</u> JFD Securities	PFSI	0234	JFDS	
<u>Add First Trade Date, March 24, 2010</u> Cantella & Co., Inc.	PERS	0443	CTLA	
<u>Add First Trade Date, March 26, 2010</u> JFD Securities, Inc. Instinet, LLC	MLCO	0161	JFDS	
	SILK	0501	INHB	
<u>Add First Trade Date, March 29, 2010</u>				

Lime Brokerage LLC	ANDZ	0442	LINR
Lime Brokerage LLC	ANDZ	0442	LINO
Lime Brokerage LLC	ANDZ	0442	LINN
Lime Brokerage LLC	ANDZ	0442	LINL
Lime Brokerage LLC	ANDZ	0442	LINJ
Lime Brokerage LLC	ANDZ	0442	LINI
Lime Brokerage LLC	ANDZ	0442	LINH
Lime Brokerage LLC	ANDZ	0442	LING

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