

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6984
P&S# 6554
Date: 04/23/10
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, April 29, 2010:

Weiss Capital Securities, Inc. No. 5522

Last Trade Date, April 30, 2010

Northern Lights Distributors LLC/Oxford Global Total Return Fund No. 5942

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

Last Trade Date, April 27, 2010:

Octagon Capital Corporation/CDS No. 5073

- The following firm will no longer participate in the ACATS service, as detailed below

Last Trade Date, April 30, 2010:

PNC Bank, N.A./Main-National City Bank No. 2316

- The following firms will change their names only, as detailed below:

Effective First Trade Date, April 21, 2010:

From: Weiss Funds Inc. No. 5522

To: Weiss Capital Securities Inc. No. 5522

From: PFPC Distributors Inc. / PFPC Trust fbo Mass Mutual Wrap Customers No. 5914

To: PFPC Distributors Inc. / PFPC Trust fbo PNC GIS Clients (1) No. 5914

Effective First Trade Date, April 30, 2010:

From: Invesco Aim Distributors Inc	No.	5540
To: Invesco Distributors, Inc.	No.	5540
From: Invesco Aim Distributors Inc/Aim Global Advisors Ltd	No.	4882
To: Invesco Distributors, Inc. /Aim Global Advisors Ltd	No.	4882
From: Invesco Aim Distributors Inc/Fund Management Co	No.	5450
To: Invesco Distributors, Inc. /Fund Management Co.	No.	5450
From: Invesco Aim Distributors Inc/Offshore	No.	6592
To: Invesco Distributors Inc. /Offshore	No.	6592

Effective First Trade Date, May 3, 2010:

From: Van Eck Securities Corporation/Worldwide Insurance Group	No.	4977
To: Van Eck Sec Corp/VIP Trust	No.	4977

- An additional number has been assigned to Delaware Distributors, L.P. (#5510) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, April 20, 2010

Delaware Distributors, L.P. / Delaware Investments Global Funds, PLC	No.	6572
Networking Symbol:	CK	
Contact: Maria Simott		
Phone: +353-1-642-8412		

- An additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing Fund/SERV, Networking, and MF-Daily Price and Rate File services, as detailed below:

First Trade Date, April 21, 2010

Unified Financial Securities, Inc. / Pinnacle Collective Trust	No.	5356
Networking Symbol:	NQ	
Contact: Diane Murphy		
Phone: 781-970-5052		

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

First Trade Date, April 21, 2010

Northern Lights Distributors, LLC/Strategic Investing Long/Short Fund	No.	5360
Networking Symbol:	PO	
Contact: Mike Nielsen		
Phone: 402-493-1831 x3		

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

First Trade Date, April 21, 2010

Northern Lights Distributors, LLC/Nile Funds	No.	5359
Networking Symbol:	OY	
Contact: Mike Nielsen		
Phone: 402-493-1831 x3		

- The following firm will begin participation in the Commission Settlement service, as detailed below:
First Trade Date, April 23, 2010:
 Global Trust Company No. 5915
- An additional number has been assigned to PFPC Distributors, Inc. (#6658) for the purpose of utilizing Fund/SERV, Networking, MF-Daily Price and Rate File, and ACATS Fund/SERV services, as detailed below:
First Trade Date, April 28, 2010
 PFPC Distributors, Inc. / Spirit of America Funds No. 5362
 Networking Symbol: ii
 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>Add First Trade Date, April 23, 2010</u> Liberum Capital Inc	BSSC	0352	LINC	

- 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>Delete Last Trade Date, April 21, 2010</u> Wedbush Morgan Securities, Inc. Cass (Quincy) Associates Inc.	SHMR	0695	HBIW	
	NFSC	0226	QCAS	
<u>Delete Last Trade Date, April 22, 2010</u> Bay Crest Partners, LLC	PFSI	0234	BAYP	
<u>Add First Trade Date, April 20 2010</u> Penson Financial Services, Inc	PFSI	0234	PFDL	
<u>Add First Trade Date, April 26 2010</u> Security Research Associates, Inc. SNC Capital Management Corp	PERS	0443	SRFL	
	PFSI	0234	SNCC	
<u>Add First Trade Date, April 28 2010</u> Millington Securities, Inc.	SWST	0279	MTON	

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