

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6990

REVISED
5/11/2010

P&S# 6560

Date: 05/07/10

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, May 3, 2010:

Octagon Capital Corporation/CDS No. 5073

Last Trade Date, May 6, 2010:

Morgan Peabody, Inc. No. 6041

Gunnallen Financial, Inc. No. 6487

Last Trade Date, May 7, 2010:

Columbia Management Distributors, Inc./Future Scholar 529 No. 5601

Columbia Funds Distributors, Inc./Columbia 529 Plan No. 6512

Columbia Management Distributors, Inc. No. 5501

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

Last Trade Date, May 7, 2010:

JPMorgan Chase Bank/PCS Shared Services No. 2255

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

First Trade Date, May 10, 2010:

From: Riversource Fund Distributors, Inc. No. 6616

To: Columbia Management Investment Distributors, Inc. No. 6616

From: Riversource Fund Distributors, Inc./Global Offshore Fund No. 4872

To: Columbia Management Investment Distributors, Inc./Global Offshore Fund No. 4872

From: Riversource Fund Distributors, Inc./Trust Collective Funds No. 4843

To: Columbia Management Investment Distributors, Inc./Trust Collective Funds No. 4843

From: Riversource Fund Distributors, Inc./Threadneedle Offshore Funds	No.	5120
To: Columbia Management Investment Distributors, Inc./Threadneedle Offshore Funds	No.	5120
From: Columbia Management Distributors, Inc./Money Market Funds	No.	5320
To: BofA Distributors, Inc.	No.	5320

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

First Trade Date, May 6, 2010:

Ultimus Fund Distributors LLC/NCM Capital Investment Trust	No.	5409
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- The following Data Service Only members will begin participation in the Insurance Processing Service, as detailed below:

First Trade Date, May 10, 2010:

Private Client Services, LLC	No.	6011
Financial Advisers of America, LLC	No.	6012

- An additional number has been assigned to NYLIFE Securities, LLC (#5539) for the purpose of utilizing Fund/SERV, Networking, and the MF-Daily Price and Rate services, as detailed below:

First Trade Date, May 10, 2010:

NYLife Securities, LLC/New York Life Insurance Company Group	No.	5363
Annuity Contracts		
Networking Symbol:	P8	
Contact: Joanne Sanders		
Phone: 973-394-3252		

- An additional number has been assigned to Columbia Management Investment Distributors, Inc. (#6616) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and the MF-Daily Price and Rate services, as detailed below:

First Trade Date, May 10, 2010:

Columbia Management Investment Distributors, Inc./Future Scholar	No.	5601
Networking Symbol:	F6	
Contact: Robin Smith		
Phone: 617-585-4275		

- An additional number has been assigned to Columbia Management Investment Distributors, Inc. (#6616) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and the MF-Daily Price and Rate services, as detailed below:

First Trade Date, May 10, 2010:

Columbia Management Investment Distributors, Inc./Columbia 529 Plans	No.	6512
Networking Symbol:	40	
Contact: Robin Smith		
Phone: 617-585-4275		

- An additional number has been assigned to Columbia Management Investment Distributors, Inc. (#6616) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, ACATS, ACATS Fund/SERV and the MF-Profile services, as detailed below:

First Trade Date, May 10, 2010:

Columbia Management Investment Distributors, Inc./Columbia Funds	No.	5501
Networking Symbol:	CO	
Contact: Robin Smith		
Phone: 617-585-4275		

- 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, May 7, 2010</u> First New York Securities, LLC	MLCO	0161	MPFI	

- 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, May 4, 2010</u> Kingside Partners, LLC	WEDB	0103	KPRT	
<u>Delete Last Trade Date, May 7, 2010</u> Waterford Capital, Inc.	SWST	0279	WTFD	
<u>Delete Last Trade Date, May 11, 2010</u> ZIONS Direct, Inc.	PERS	0443	ZION	
<u>Add First Trade Date, May 4, 2010</u> Soleil Securities Corp.	SILK	0501	SOLS	
<u>Add First Trade Date, May 6, 2010</u> Wedbush Morgan Securities, Inc.	ANDZ	0442	WMAA	
Wedbush Morgan Securities, Inc.	ANDZ	0442	WMAB	
Wedbush Morgan Securities, Inc.	ANDZ	0442	WMAC	
Wedbush Morgan Securities, Inc.	ANDZ	0442	WMAD	
Wedbush Morgan Securities, Inc.	ANDZ	0442	WMAE	
<u>Add First Trade Date, May 7, 2010</u> Deutsche Bank Securities, Inc.	DBAB	0573	DBUL	
Humbard, James W.	LGNT	0052	JWHJ	
Fortis Clearing Americas, LLC	JEFF	0019	JEXF	
Penson Financial Services, Inc.	PFSI	0234	PFDN	
Penson Financial Services, Inc.	PFSI	0234	PFDR	

