

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7024
P&S# 6595
Date: 07/09/10
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, July 6, 2010:
Rydex Distributors, Inc. No. 0483
- The following firm will no longer participate in the MF-Profile Service, as detailed below:
Last Trade Date, July 9, 2010:
AXA Advisors LLC No. 0328
- The following firm will no longer participate in the Fund/SERV, Networking or MF-Profile Service, as detailed below:
Last Trade Date, July 15, 2010:
Securities Management and Research, Inc. No. 6578
- The following firm will begin participation in the Alternative Investment Products service, as detailed below:
First Trade Date, July 9, 2010:
Blue Alternative Asset Management LLC No. 3405
- The following firm will begin participation in the ACATS service, as detailed below:
First Trade Date, July 13, 2010:
Vanguard Market Corporation No. 5772

- The following firm will begin participation in the Insurance Processing Services, as detailed below:
First Trade Date, July 16, 2010:
Frontier Trust Company/P.J. Robb Variable Corp. No. 6531
- An additional number has been assigned to Capital Guardian Trust Company (#4873) for the purpose of utilizing Fund/SERV, Networking and MF-Daily Price and Rate, as detailed below:
First Trade Date, July 12, 2010:
Capital Guardian Trust Company/CGPCS No. 5389
Networking Symbol: R0
Contact: Susan Sunga
Phone: (949) 975-6711
- An additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV, as detailed below:
First Trade Date, July 12, 2010:
ALPS Distributors, Inc./Stone Harbor No. 5309
Networking Symbol: QT
Contact: Brian Bishop
Phone: (720) 917-0617
- An additional number has been assigned to Rafferty Capital Markets, LLC (#5726) for the purpose of utilizing Fund/SERV and Networking, as detailed below:
First Trade Date, July 12, 2010:
Rafferty Capital Markets, LLC/Acadia Mutual Funds No. 5387
Networking Symbol: R8
Contact: Bob Anastasi
Phone: (440) 922-0066
- Please update the NSCC Directory dated June 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>

Clearing Broker Change and Executing Broker Name Change, Effective First Trade Date, July 12, 2010

From: Thomas Weisel Partners LLC	NFSC	0226	TWPL
To: Stifel, Nicolaus & Co. Incorporated	STFL	0793	TWPL

Clearing Broker Change, Effective First Trade Date, July 14, 2010

From: Nollenberger Capital Partners Inc.	BSSC	0352	NCPI
To: Nollenberger Capital Partners Inc.	FCCP	0141	NCPI

Delete Last Trade Date, July 9, 2010

Oceancross Capital, LLC	TNTO	0364	OCRS
-------------------------	------	------	------

Delete Last Trade Date, July 13, 2010

Penson Financial Services, Inc.	PFSI	0234	PFSO
Penson Financial Services, Inc.	PFSI	0234	PFND

- Please update the NSCC Directory dated June 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, July 9, 2010</u>				
Coordinated Capital Securities, Inc.	FCCP	0141	COOR	
Presidential Brokerage, Inc.	FCCP	0141	PRSB	
Trubee Collings & Co., Inc.	FCCP	0141	TRUB	
Carthage Group, Inc.	FCCP	0141	CARG	
BHK Securities, LLC	FCCP	0141	BHKS	
Canterbury Consulting Incorporated	FCCP	0141	CTBY	
Yieldquest Securities, LLC	FCCP	0141	YQST	
PMK Securities & Research, Inc.	FCCP	0141	PMKS	
Huntleigh Securities Corporation	FCCP	0141	HUNT	
Chapin, Davis	FCCP	0141	CHDA	
<u>Delete Last Trade Date, July 13, 2010</u>				
Penson Financial Services, Inc.	PFSI	0234	PFAQ	
Penson Financial Services, Inc.	PFSI	0234	PFEV	
Penson Financial Services, Inc.	PFSI	0234	PFAD	
Penson Financial Services, Inc.	PFSI	0234	PFAS	
Penson Financial Services, Inc.	PFSI	0234	PFBH	
Penson Financial Services, Inc.	PFSI	0234	PFBO	
Penson Financial Services, Inc.	PFSI	0234	PFBZ	
Penson Financial Services, Inc.	PFSI	0234	PFCD	
Penson Financial Services, Inc.	PFSI	0234	PFSR	
Penson Financial Services, Inc.	PFSI	0234	PFST	
<u>Add First Trade Date, July 8, 2010</u>				
Telemus Investment Brokers, LLC	NFSC	0226	TIBS	
<u>Add First Trade Date, July 9, 2010</u>				
Liquid Capital Securities, LLC	SHMR	0695	LIQD	
<u>Add First Trade Date, July 12, 2010</u>				
Kern, Suslow Securities, Inc.	JEFF	0019	KSSC	

- Please update the NSCC Directory dated June 2010 (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>

Clearing Broker Change and Executing Broker Name Change, Effective First Trade Date, July 12, 2010

From: Hawthorne Securities Corporation	CLRV	0702	HSCO
To: Capitol Securities and Associates, Inc.	NFSC	0226	HSCO

Add First Trade Date, July 12, 2010

Summit Brokerage Services	PERS	0443	SMPR
---------------------------	------	------	------

If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail NSCCAA@DTCC.com