

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7031
P&S#: 6602
Date: 07/23/10
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 firm will retire from all services, as detailed below:
Last Trade Date, July 21, 2010:
Securities Management and Research, Inc. No. 6578
- The following firm will no longer participate in the Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate and ACATS Fund/SERV services, as detailed below:
Last Trade Date, July 22, 2010:
SEI Investments Distribution Co./Blackrock Funds III No. 6555
- The following firm will no longer participate in the Fund/SERV, Networking and Commission Settlement services, as detailed below:
Last Trade Date, July 23, 2010:
J.P. Morgan Securities Inc./NYSE No. 0060
- The following firm will begin participation in the NYSE Listed Comparison service, as detailed below:
First Trade Date, July 28, 2010:
Tradebot Systems, Inc. No. 0083
NYSE Alpha Identifier: TRBT
- The following firm will begin participation Commission Settlement service, as detailed below:
First Trade Date, August 2, 2010:
Saturna Brokerage Services, Inc. No. 4983

- The following Data Service Only member will begin participation in the Insurance Processing services, as detailed below:

First Trade Date, July 23, 2010:

Advanced Advisor Group, LLC No. 6015

- An additional number has been assigned to Frontegra Funds, Inc. (#5507) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate, and ACATS Fund/SERV services, as detailed below:

First Trade Date, July 26, 2010:

Frontegra Funds, Inc./Ironbridge Funds, Inc. No. 5321

Networking Symbol: S0

Contact: Casey Sauer

Phone: (414) 347-5766

- An additional number has been assigned to State Street Bank and Trust Company (#2950) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, July 26, 2010:

State Street Bank and Trust Co./ACS HR Solutions/Rio Tinto No. 5329

Networking Symbol: TC

Contact: Lisa Chu

Phone: (781) 302-6213

- Please update the NSCC Directory dated July 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>Delete Last Trade Date, July 20, 2010</u>				
Knight Equity Markets LP	SILK	0501	DONS	
<u>Delete Last Trade Date, July 22, 2010</u>				
Peak Securities Corp.	LGNT	0052	UBUY	
Global Crown Capital, LLC	LGNT	0052	GCCG	
Barron Moore, Inc.	LGNT	0052	BMEE	
Financial Telesis Inc.	LGNT	0052	FTII	
Quantum Securities, Inc.	LGNT	0052	QUAN	
RMIN Securities, Inc.	LGNT	0052	RMIN	
<u>Delete Last Trade Date, July 23, 2010</u>				
Financial America Securities, Inc.	SWST	0279	FASI	
Financial America Securities, Inc.	SWST	0279	CAVS	
<u>Delete Last Trade Date, July 30, 2010</u>				
Gleacher & Company Securities, Inc.	BSSC	0352	AMTR	

Add First Trade Date, July 20, 2010

MF Global Securities Inc.	MANS	0120	MFSR
Rockwell Global Capital, LLC	PERS	0443	ROCK

Add First Trade Date, July 21, 2010

Gleacher & Company Securities, Inc.	BSSC	0352	GLCH
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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, July 20, 2010</u>				
Hawthorne Securities Corporation	CLRV	0702	HSCO	
<u>Delete Last Trade Date, July 22, 2010</u>				
Penson Financial Services, Inc.	PFSI	0234	PFDE	
Penson Financial Services, Inc.	PFSI	0234	PFDG	
Bottega Securities, LLC	LGNT	0052	BTGA	
The Leaders Group, Inc.	LGNT	0052	LEAD	
AB Wong Capital LLC	LGNT	0052	WONG	
Pointe Atlantic	LGNT	0052	PTAL	
Windham Securities, Inc.	LGNT	0052	WHAM	
Great Eastern Securities, Inc.	LGNT	0052	GREB	
Zealous Capital Markets, LLC	LGNT	0052	AULT	
Andrews Securities, LLC	LGNT	0052	ANDS	
<u>Delete Last Trade Date, July 23, 2010</u>				
Centennial Securities Company, LLC	FCCP	0141	CTNL	
Saperstone Asset Management, Inc.	FCCP	0141	SAPA	
Protected Investors of America, Inc.	FCCP	0141	PROT	
Lieblong & Associates, Inc.	FCCP	0141	LASI	
Cantone Research Inc.	FCCP	0141	CANR	
Burke, Lawton, Brewer & Burke, LLC	FCCP	0141	BURK	
Strand, Atkinson, Williams & York, Inc.	FCCP	0141	ATKC	
Harris (Chester) & Co., Inc.	FCCP	0141	CHHS	
Lafayette Investments Incorporated	FCCP	0141	LSPI	
M. Griffith Locke Investment Services, Inc.	FCCP	0141	GRIF	
<u>Delete Last Trade Date, July 29, 2010</u>				
Genesis Securities, LLC	GNDT	0118	GNSC	
Genesis Securities, LLC	GNDT	0118	GNSF	

Add First Trade Date, July 23, 2010

Watermill Institutional Trading, LLC
Gates Capital Corporation

SILK	0501	WMLL
PERS	0443	GATS

- Please update the NSCC Directory dated July 2010 (for Municipal Bond Comparison System) as detailed below:

<u>Clearing Broker</u>		<u>Executing Broker</u>	
<u>Identifiers</u>		<u>Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Add First Trade Date, July 28, 2010

Putnam Retail Management

NFSC	0226	PROG
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If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail NSCCAA@DTCC.com