

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7038
P&S#: 6609
Date: 07/30/10
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, July 27, 2010:

Forside Distribution Services, L.P./Sollertia Funds PLC No. 5431

Last Trade Date, July 29, 2010:

BHIL Distributors, Inc./Navellier Funds No. 5710

SEI Investments Distribution Co./Blackrock Funds III No. 6555

Last Trade Date, July 30, 2010:

Thomas Weisel Partners LLC No. 0529

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

Last Trade Date, July 30, 2010:

TD Waterhouse – ITG Canada/CDS No. 5035

OTC Alpha Identifier: ITGC

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

First Trade Date, August 2, 2010:

From: Funds Distributor Inc. No. 5497

To: Funds Distributor, LLC No. 5497

From: Funds Distributor Inc./GMO Trust No. 6680

To: Funds Distributor, LLC/GMO Trust No. 6680

From: Funds Distributor Inc./Munder Funds No. 5617

To: Funds Distributor, LLC/Munder Funds No. 5617

From: ING Funds Distributor, LLC	No. 5734
To: ING Investments Distributor, LLC	No. 5734
From: ING Funds Distributors, LLC/ING Offshore	No. 5473
To: ING Investments Distributor, LLC/ING Offshore	No. 5473
From: ING Funds Distributor, LLC/ING IODC Products	No. 5859
To: ING Investments Distributor, LLC/ING IODC	No. 5859

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

First Trade Date, July 28, 2010:

Quasar Distributors, LLC/Mutuals.com	No. 5847
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- The following member of CDS Clearing and Depository Services Inc. will begin participation in the OTC Comparison service, as detailed below:

First Trade Date, August 2, 2010:

ITG Canada/CDS	No. 5059
OTC Alpha Identifier:	ITGC

- An additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 2, 2010:

ALPS Distributors, Inc./GLG Partners	No. 5390
Networking Symbol:	T8
Contact: Brian Bishop	
Phone: (720) 917-0617	

- An additional number has been assigned to Funds Distributor, LLC (#5497) 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, August 2, 2010:

Funds Distributor, LLC/MIRAE Asset Discovery Funds	No. 5322
Networking Symbol:	S5
Contact: June Lomax	
Phone: (614) 470-8259	

- 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>

Clearing Broker Change, Effective First Trade Date, August 4, 2010

From: J.P. Turner & Company LLC	NFSC	0226	JPTC
To: J.P. Turner & Company LLC	PFCL	0158	JPTC

Delete Last Trade Date, July 26, 2010

MB Trading PFSI 0234 MBTT

Add First Trade Date, July 29, 2010

BPU Investment Management Inc. PERS 0443 BZPI

- Please update the NSCC Directory dated July 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 29, 2010</u>				
Saratoga Capital Markets	VSIN	0595	SCLC	
Jefferies & Company, Inc.	JEFF	0019	JEFC	
<u>Delete Last Trade Date, July 30, 2010</u>				
Penson Financial Services, Inc.	MLCO	0161	PFSJ	
Penson Financial Services, Inc.	MLCO	0161	PFEG	
American Municipal Securities, Inc.	FCCP	0141	AMMS	
Sage, Ruty & Co., Inc.	FCCP	0141	SAGE	
Allen & Company of Florida, Inc.	FCCP	0141	ALEN	
Noyes (David A.) & Co.	FCCP	0141	NOYS	
Delta Trust Investments, Inc.	FCCP	0141	DTII	
R. Seelaus & Co., Inc.	FCCP	0141	SEEL	
Brown Advisory Securities, LLC	FCCP	0141	BSEC	
EK Riley Investments, LLC	FCCP	0141	EKRI	
Harverford Trust Securities, Inc.	FCCP	0141	RITT	
<u>Add First Trade Date, July 28, 2010</u>				
Wedbush Securities Inc.	WEDB	0103	WMDH	
Great Point Capital LLC	ANDZ	0442	MAVB	

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