

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7041
P&S#: 6612
Date: 08/06/10
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, August 3, 2010:

State Street Bank & Trust Co./401K Company No. 5973

- The following firm will change its name and OTC Comparison Identifier, as detailed below:

First Trade Date, August 6, 2010:

From: ITG Canada / ITD No. 5059

To: Fidelity Clearing Canada ULC / CDS. No. 5059

From: OTC, Alpha Identifier ITGC

To: OTC, Alpha Identifier FCCU

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

First Trade Date, August 9, 2010:

Northern Lights Distributors, LLC/Altegris Managed Futures Strategy Fund No. 5333

Networking Symbol: U5

Contact: Mike Nielsen

Phone: (402) 493-1731 ext. 3

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

First Trade Date, August 10, 2010:

Matrix Capital Group Inc. / Catalyst #2 No. 6607

- 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, August 16, 2010:

Northern Lights Distributors, LLC/Power Income Fund No. 5332
 Networking Symbol: U2
 Contact: Mike Nielsen
 Phone: (402) 493-1731 ext. 3

- 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, August 2, 2010</u> Private Equity Securities, Inc.	LGNT	0052	PESI	
<u>Delete Last Trade Date, August 6, 2010</u> National Financial Services LLC	NFSC	0226	CWNA	
<u>Add First Trade Date, August 4, 2010</u> JH Darbie & Co. Inc.	LGNT	0052	JHDR	
<u>Add First Trade Date, August 6, 2010</u> Susquehanna Financial Group LLP	MLCO	0161	SFGB	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change, Effective First Trade Date, August 9, 2010</u> From: Electronic Securities Processing (ESP), LLC To: Electronic Securities Processing (ESP), LLC	ECUT	0100	ESBL	
	MLCO	0161	ESBL	
<u>Delete Last Trade Date, August 3, 2010</u> Penson Financial Services, Inc.	PFSI	0234	PFGS	
Lighthouse Financial Group, LLC	SILK	0501	LITE	
Lighthouse Financial Group, LLC	SILK	0501	LPRM	
Lighthouse Financial Group, LLC	PFCL	0158	LFIN	

Delete Last Trade Date, August 4, 2010

Fimat Preferred LLC	PCAP	0608	FCAM
Fimat USA, LLC	PCAP	0608	FCAN
Fimat USA, LLC	PCAP	0608	FCAQ
Newedge USA, LLC	PCAP	0608	NEAA
Newedge USA, LLC	PCAP	0608	NELA
Newedge USA, LLC	PCAP	0608	NELB
Newedge USA, LLC	PCAP	0608	NELC
Newedge USA, LLC	PCAP	0608	NMWD

Delete Last Trade Date, August 5, 2010

Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MCNS
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLCK
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLTP
Merrill Lynch, Pierce, Fenner & Smith Inc.	MLCO	0161	MLTH
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	WVEX
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLSA
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLSC
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLSM
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLTB
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLTG
Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO	0161	MLSH
Merrill Lynch, Pierce, Fenner & Smith	MLCO	0161	MLTO

Delete Last Trade Date, August 6, 2010

Penson Financial Services, Inc.	PFSI	0234	PFBD
Penson Financial Services, Inc.	PFSI	0234	PFAY
Penson Financial Services, Inc.	PFSI	0234	PFCX

Delete Last Trade Date, August 9, 2010

Penson Financial Services, Inc.	PFSI	0234	PGST
Penson Financial Services, Inc.	PFSI	0234	PFAB
Penson Financial Services, Inc.	PFSI	0234	PFGB
Penson Financial Services, Inc.	PFSI	0234	PFOT
Penson Financial Services, Inc.	PFSI	0234	PFSD
Penson Financial Services, Inc.	PFSI	0234	PFRH
Penson Financial Services, Inc.	PFSI	0234	PFBN

Add First Trade Date, August 4, 2010

Capital Analysts Inc.	PERS	0443	CAPI
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Add First Trade Date, August 5, 2010

The Princeridge Group LLC	PERS	0443	PRCO
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Add First Trade Date, August 6, 2010

ITG Canada	FCCU	5059	ITGC
Merrill Lynch, Pierce, Fenner & Smith, Inc.	MLCO	0161	MLSH

Add First Trade Date, August 9, 2010

Assent LLC	ANDZ	0442	ASNG
Assent LLC	ANDZ	0442	ASNH

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<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, August 9, 2010

Penson Financial Services, Inc.	PFSI	0234	PFSP
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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