

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7052
P&S#: 6623
Date: 08/27/10
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 27, 2010:
Foreside Distribution Services, L.P./Pacific Capital Funds No. 5658
- The following firm will begin participation in the MF-Profile service, as detailed below:
First Trade Date, September 1, 2010:
Optionsxpress, Inc. No. 0338
- The following firm will begin participation in the MF-Daily Price and Rate File service, as detailed below:
First Trade Date, September 1, 2010:
Rafferty Capital Markets, LLC/Chou America Mutual Funds No. 5323
- The following Data Service Only member will begin participation in the Insurance Processing services, as detailed below:
First Trade Date, September 1, 2010:
Heim, Young & Associates, Inc. No. 6021
- The following Data Service Only member will begin participation in the Insurance Processing, Networking and MF-Daily Price and Rate File services, as detailed below:
First Trade Date, September 1, 2010:
HighTower Securities, LLC No. 6017
Networking Symbol: 4T
Contact: Bob Harazin
Phone: (312) 962-3815

- The following Data Service Only member will begin participation in the Insurance Processing, Networking and MF-Daily Price and Rate File services, as detailed below:

First Trade Date, September 1, 2010:

HighTower Advisors, LLC	No.	6018
Networking Symbol:	V0	
Contact: Bob Harazin		
Phone: (312) 962-3815		

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 31, 2010:

Quasar Distributors, LLC /Performance Trust	No.	5324
Networking Symbol:	S8	
Contact: Casey Sauer		
Phone: (414) 347-5766		

- An additional number has been assigned to Wells Fargo Bank, N.A. (#6766) for the purpose of utilizing Fund/SERV, Networking, and MF-Daily Price and Rate File services, as detailed below:

First Trade Date, August 31, 2010:

Wells Fargo Bank, N.A./Wells Fargo Collective Funds	No.	5186
Networking Symbol:	4I	
Contact: Scott Anderson		
Phone: (816) 843-7153		

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate File and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2010:

Quasar Distributors, LLC/Cushing Funds	No.	5328
Networking Symbol:	T6	
Contact: Casey Sauer		
Phone: (414) 347-5766		

- 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, September 1, 2010:

Northern Lights Distributors, LLC /RAM Risk-Managed Growth Fund	No.	5336
Networking Symbol:	UU	
Contact: Mike Nielsen		
Phone: (402) 493-1731 x 3		

- An additional number has been assigned to Invesco Distributors, Inc. (#5540) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate File and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2010:

Invesco Distributors Inc./Invesco Funds II SICAV

No. 5391

Networking Symbol:

U8

Contact: Debbie Murphy

Phone: +353 1 4398090

- 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 31, 2010

From: J.W. Millegan, Inc.

LGNT	0052	JWML
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To: J.W. Millegan, Inc.

MSRO	0727	JWML
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Delete Last Trade Date, August 23, 2010

Wood (Arthur W.) Company, Inc.

PERS	0443	WOOD
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Delete Last Trade Date, August 27, 2010

APS Financial Corp.

SWST	0279	APSS
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Add First Trade Date, August 30, 2010

Spyglass Securities, LLC

LGNT	0052	SPYG
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- 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>

***Clearing Broker Change Effective First Trade Date, August 25, 2010**

From: Tradeking

LGNT	0052	KRSG
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To: Tradeking

PFSI	0234	KRSG
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Delete Last Trade Date, August 23, 2010

Scott & Stringfellow, Inc.

CLRV	0702	BBTI
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First Investors Corporation

PERS	0443	FIRT
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Delete Last Trade Date, August 24, 2010

Penon Financial Services, Inc. PFSI 0234 PFBI

Delete Last Trade Date, August 27, 2010

Nollenberger Capital Partners Inc. FCCP 0141 NCPI
Optionsxpress, Inc. ECEE 5063 OXPC

Add First Trade Date, August 25, 2010

Penon Financial Services, Inc. PFSI 0234 PFDV

Add First Trade Date, August 26, 2010

Atlas One Financial Group, LLC PERS 0443 AOFG

Add First Trade Date, August 27, 2010

Wedbush Securities Inc. WEDB 0103 WMQT
Charles River Brokerage LLC PERS 0443 CRBB

*This change was noted in the NSCC Important Notice dated August 20, 2010 and has been cancelled.

- Please update the NSCC Directory dated July 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>

Delete Last Trade Date, August 26, 2010

Eurobank Trust and Wealth Management NFSC 0226 ETWM

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