

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7063
P&S#: 6634
Date: 09/24/10
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, September 20, 2010:

Ultimus Fund Distributors, LLC/Oak Value Trust No. 5786

Last Trade Date, September 21, 2010:

First Clearing LLC/Wachovia Securities, LLC/201 No. 0201

Last Trade Date, September 30, 2010:

SEI Investments Distri Co./Turner Funds No. 5592

The following firm will no longer participate in the Fund/SERV, MF-Profile, Networking, Commission Settlement, ACATS and ACATS Fund/SERV services, as detailed below:

Last Trade Date, September 23, 2010:

Van Kampen Funds Inc. No. 5513

The following firm will no longer participate in the Fund/SERV, MF-Profile, Networking and Commission Settlement services, as detailed below:

Last Trade Date, September 23, 2010:

Van Kampen Funds Inc./529 Plans No. 5660

The following firm will no longer participate in the Fund/SERV service, as detailed below:

Last Trade Date, September 23, 2010:

Van Kampen Funds Inc./UIT No. 4964

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

First Trade Date, September 30, 2010:

From: Unified Financial Securities, Inc./Archer Funds No. 5287
To: Unified Financial Securities, Inc./FBO Alta Trust No. 5287

First Trade Date, October 15, 2010:

From: JP Morgan Chase Bank/JPM RPS LLC No. 5978
To: JP Morgan Chase Bank/J.P. Morgan Institutional Investments Inc. No. 5978

An additional number has been assigned to Allstate Financial Services, LLC (#0222) for the purpose of utilizing the Insurance Processing Service, as detailed below:

First Trade Date, September 29, 2010:

Allstate Financial Services, LLC/Allstate Financial Annuities No. 5341

An additional number has been assigned to BNY Mellon Distributors Inc. (#6658) for the purpose of utilizing Fund/SERV, MF-Daily Price and Rate File, Networking, Commission Settlement and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 30, 2010:

BNY Mellon Distributors Inc./Simple Alternatives Funds of The RBB Fund, Inc. No. 5342
Networking Symbol: V3
Contact: Jayda Burke
Phone: (508) 871-3717

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

First Trade Date, October 1, 2010:

Quasar Distributors, LLC/Coldstream Dividend Growth Fund No. 5327
Networking Symbol: T5
Contact: Casey Sauer
Phone: (414) 347-5766

An additional number has been assigned to Foreside Fund Services, LLC (#5659) for the purpose of utilizing Fund/SERV, MF-Profile Service, Networking, and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 1, 2010:

Foreside Fund Services, LLC/Turner Funds No. 5592
Networking Symbol: PN
Contact: Dave Wurtz
Phone: (614) 416-8822

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>Clearing Broker Change Effective First Trade Date, September 29, 2010</u>				
From: Wunderlich Securities, Inc.	PFCL	0158	FUND	
To: Wunderlich Securities, Inc.	NFSC	0226	FUND	
<u>Add First Trade Date, September 23, 2010</u>				
U.S. CA Securities LLC	NFSC	0226	USCA	

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>Clearing Broker Change Effective First Trade Date, September 22, 2010</u>				
From: Tradeking	LGNT	0052	KRSG	
To: Tradeking	PFSI	0234	KRSG	
<u>Delete Last Trade Date, September 20, 2010</u>				
Equitas America, LLC	BSSC	0352	EQUA	
LavaFlow, Inc.	FLOW	0641	OMON	
LavaFlow, Inc.	FLOW	0641	ONTX	
LavaFlow, Inc.	FLOW	0641	OTRD	
Gramercy Financial Services, LLC	BSSC	0352	GMCY	
BNP Paribas Securities Corp.	BNPS	0049	BNPT	
Trading Access, LLC	SHMR	0695	TRDA	
<u>Delete Last Trade Date, September 30, 2010</u>				
Terra Nova Financial, LLC	TNTO	0364	SRTN	
<u>Add First Trade Date, September 22, 2010</u>				
Gramercy Financial Services, LLC	PERS	0443	GMCY	
Celadon Financial Group LLC	PRST	0551	CLDN	
<u>Add First Trade Date, September 23, 2010</u>				
ABN AMRO Clearing Chicago LLC	SHMR	0695	TWXA	
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAM	

