

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7076
P&S#: 6647
Date: 10/08/10
To: **ALL PARTICIPANTS**
Attention: OPERATIONS PARTNER/OFFICER;
MANAGER P&S DEPARTMENT;
CASHIER; ACATS PARTICIPANTS;
FUND/SERV PARTICIPANTS; MUNICIPAL BOND
COMPARISON PARTICIPANTS
From: Adrean Hinojosa, Account Administration
Subject: CHANGES IN THE LIST OF PARTICIPANTS

- The following firms will retire from all services, as detailed below:

Last Trade Date, October 8, 2010:

Rafferty Capital Markets, LLC	No.	0212
Rafferty Capital Markets, LLC/J.J. Kenny Drake	No.	0414

Last Trade Date, October 12, 2010:

AXA Advisors, LLC	No.	0328
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- The following firm will no longer participate in the Fund/SERV, Networking, ACATS and ACATS Fund/SERV services, as detailed below:

Last Trade Date, October 12, 2010:

BNY Mellon Distributors Inc./Bear Stearns Asset Management Funds of the RBB Fund, Inc.	No.	6596
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- The following firms will change their names only, as detailed below:

First Trade Date, October 15, 2010:

From: Northern Lights Distributors, LLC First Focus Funds	No.	5853
To: Northern Lights Distributors, LLC/Tributary Funds	No.	5853

From: Northern Lights Distributors LLC/Wayne Hummer Funds	No.	5740
To: Northern Lights Distributors, LLC/Wintrust Capital Funds	No.	5740

From: Northern Lights Distributors, LLC/The Incline Capital Long/Short Fund	No.	6500
To: Northern Lights Distributors, LLC/Incline Capital Trend Following Fund	No.	6500

From: Northern Lights Distributors LLC/EAS Genesis Fund No. 5701
 To: Northern Lights Distributors, LLC/EAS Funds No. 5701

- The following firms will begin participation in the MF-Daily Price and Rate File service, as detailed below:

First Trade Date, October 7, 2010:

Parnassus Investments No. 5783

- The following firm will begin participation in OTC Comparison service, as detailed below:

First Trade Date, October 8, 2010:

NASDAQ OMX PHLX LLC No. 0237
 OTC Alpha Identifier NQPX

- An additional number has been assigned to SEI Investments Distri. Company/SEI Institutional (#5717) for the purpose of utilizing Fund/SERV, MF-Daily Price and Rate File, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 6, 2010:

SEI Investments Distribution Co/RiverPark Funds Trust No. 5343
 Networking Symbol: VA
 Contact: Anthony Gott
 Phone: (816) 435-1682

- An additional number has been assigned to ALPS Distributors, Inc. (#5642) 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, October 15, 2010:

ALPS Distributors, Inc./Heartland International Small Cap Fund No. 5345
 Networking Symbol: VH
 Contact: Casandra Sauer
 Phone: (414) 347-5766

- 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, October 13, 2010

From: Berthel, Fisher & Company Financial Services, Inc.	FCCP	0141	BFFI
To: Berthel, Fisher & Company Financial Services, Inc.	NFSC	0226	BFFI
<u>Delete Last Trade Date, October 5, 2010</u>			
Pyramid Financial Corp	SWST	0279	PYMD

Delete Last Trade Date, October 8, 2010

Electronic Global Securities, Inc.	NFSC	0226	EGSB
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Add First Trade Date, October 5, 2010

SecureVest Financial Group

MLCO 0161 SVPB

- Please update the NSCC Directory dated July 2010 (for OTC Executed-By List) 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>
<u>Clearing Broker Change Effective First Trade</u>				
<u>Date, October 8, 2010</u>				
From: Biremis Corporation	TNBI	0607	BRMS	
To: Biremis Corporation	ECUT	0100	BRMS	
From: Penson Financial Services, Inc.	TNBI	0607	PFSE	
To: Penson Financial Services, Inc.	ECUT	0100	PFSE	
From: Lime Brokerage LLC	TNBI	0607	LITB	
To: Lime Brokerage LLC	ECUT	0100	LITB	

Add First Trade Date, October 18, 2010

Rafferty Capital Markets, LLC

FMAT 0718 RCMI

- 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>

Clearing Broker Change Effective First Trade Date, October 6, 2010

From: Lantern Investments, Inc.
To: Lantern Investments, Inc.

PFCL	0158	LATN
PERS	0443	LATN

Clearing Broker Change Effective First Trade Date, October 7, 2010

From: Oriental Financial Services
To: Oriental Financial Services

NFSC	0226	ORTL
PERS	0443	ORTL

Delete Last Trade Date, October 5, 2010

APS Financial Corporation

SWST	0279	APSS
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Delete Last Trade Date, October 7, 2010

Biremis Corporation
Lime Brokerage LLC

TNBI	0607	BRMS
TNBI	0607	LITB

Add First Trade Date, October 15, 2010

Macquarie Capital (USA) Inc.
Macquarie Capital (USA) Inc.

PFCL	0158	MACQ
PFCL	0158	MSUS

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