

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7101
P&S#: 6672
Date: 11/19/10
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, November 22, 2010:

E*Trade Capital Markets, LLC	No.	0157
E*Trade Cap Mkts/Special Account	No.	0152
E*Trade Capital Markets, LLC/Prop	No.	3525
E*Trade Cap Mkts/CHXL Trading	No.	3550
E*Trade Capital Markets/EMANTF	No.	3621
E*Trade Capital Markets/ENERTC	No.	3622
E*Trade Capital Markets/DNID	No.	3850
E*Trade Cap Mkts/Upstairs	No.	3895
E*Trade Capital Markets/DEMP	No.	3896

BNY ConvergeEx Execution Solutions LLC (#0100) will assume all open contracts for E*TRADE Capital Markets, LLC (#0157, #0152, #3525, #3550, #3621, #3622, #3850, #3895, #3896), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

E*TRADE Capital Markets, LLC
Contact: Jim Rojek
Phone: (312) 294-7846

BNY ConvergeEx Solutions LLC
Contact: Richard Castillo / rcastillo@convergex.com
Phone: (212) 468-7634

Contact: Jon Gillen / jgillen@convergex.com
Phone: (407) 608-1960

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

Last Trade Date, November 22, 2010:

Terra Nova Financial, LLC	No.	0364
Terra Nova Financial, LLC/Biremis	No.	0607

Penson Financial Services, Inc. (#0234) will assume all open contracts for Terra Nova Financial, LLC (#0364, #0607), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Terra Nova Financial, LLC
 Contact: Ray Burley
 Phone: (312) 827-3622

Lightspeed Financial, Inc.
 Contact: Janice Barrilleaux
 Phone: (916) 801-9702

Penson Financial Services, Inc.
 Contact: Brian Gover
 Phone: (214) 765-1542

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

Last Trade Date, November 15, 2010:

Standard Retirement Services, Inc.	No.	7114
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Last Trade Date, November 19, 2010:

Forside Fund Services, LLC/Henderson Horizon Funds	No.	5866
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- The following firm will change their name only, as detailed below:

First Trade Date, November 17, 2010:

From: Quasar Distributors, LLC/Alpine Equity Funds	No.	5896
To: Quasar Distributors, LLC/Alpine Funds	No.	5896

- The following firm will begin participation in the Networking and Insurance Processing Services, as detailed below:

First Trade Date, December 1, 2010:

Country Trust Bank/CCMC	No.	5185
Networking Symbol:	P4	
Contact: Stacy Nichols		
Phone: (309) 821-6173		

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

First Trade Date, December 13, 2010:

Dupree & Company, Inc.	No.	6618
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- The following firm will begin participation in the Alternative Investment Products service, as detailed below:

First Trade Date, November 17, 2010:

Investment Partners Asset Management No. 3424

- An additional number has been assigned to Rafferty Capital Markets, LLC (#5726) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

First Trade Date, November 17, 2010:

Rafferty Capital Markets, LLC/Entrepreneur Shares No. 5367
 Networking Symbol: WW
 Contact: Casey Sauer
 Phone: (414) 287-3963

- An additional number has been assigned to BNP Paribas Securities Corp. (#5551) for the purpose of utilizing Fund/SERV and Networking services, as detailed below:

First Trade Date, November 22, 2010:

BNP Paribas Securities Corp./Henderson Horizon Funds No. 5866
 Networking Symbol: G3
 Contact: Dean Galli
 Phone: (610) 491-1407

- Please update the NSCC Directory dated October 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, November 18, 2010</u>				
Hapoalim Securities USA, Inc.	BSSC	0352	HAPO	
<u>Delete Last Trade Date, November 19, 2010</u>				
Rush Trade Securities, Inc.	TNTO	0364	PAGE	
Merrill Lynch, Pierce, Fenner & Smith Incorporated	TNTO	0364	TNFG	
<u>Delete Last Trade Date, November 22, 2010</u>				
Terra Nova Financial, LLC	TNTO	0364	TNTO	0364
Terra Nova Financial, LLC/Biremis	TNBI	0607	TNBI	0607
Terra Nova Financial, LLC	TNTO	0364	TNJT	
Terra Nova Financial, LLC	TNTO	0364	TNRZ	
Terra Nova Financial, LLC	TNTO	0364	TNSR	
Terra Nova Financial, LLC	TNTO	0364	TNTS	

- Please update the NSCC Directory dated October 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, November 16, 2010</u>				
Instinet, LLC	SILK	0501	INHB	
WR Hamburg & Co LLC	SILK	0501	HESG	
<u>Delete Last Trade Date, November 19, 2010</u>				
Jane Street Markets, LLC	PRST	0551	JSML	
Jane Street Markets, LLC	BSSC	0352	JANO	
<u>Delete Last Trade Date, November 22, 2010</u>				
Jane Street Markets, LLC	SILK	0501	JSTN	
<u>Add First Trade Date, November 17, 2010</u>				
Lime Brokerage LLC	ECUT	0100	LBCE	
Electronic Transaction Clearing, Inc.	ETCC	0873	ETAG	
<u>Add First Trade Date, November 18, 2010</u>				
Penson Financial Services, Inc.	PFSI	0234	PFEE	
Saratoga Capital Markets	VSIN	0595	SCAP	
<u>Add First Trade Date, November 19, 2010</u>				
TFS Derivatives Corporation	VSIN	0595	TFSV	
<u>Add First Trade Date, November 23, 2010</u>				
BGB Securities Inc.	WEDB	0103	BGCM	
<u>Add First Trade Date, December 1, 2010</u>				
Burrill LLC	PFCL	0158	BURR	

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