

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7114
P&S#: 6685
Date: 12/03/10
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 30, 2010:

Forside Distribution Services, L.P./Nestegg Fds	No.	5694
Red Capital Markets Inc.	No.	6762

Last Trade Date, December 3, 2010:

Unified Financial Securities, Inc. FBO Rivernorth Funds	No.	6520
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- The following firm will no longer participate in the Commission Settlement service, as detailed below:

Last Trade Date, November 30, 2010:

Oberlin Financial Corporation	No.	0599
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- The following firm will no longer participate in the Trade Recording, Trade Comparison, Municipal Bond Comparison System and RECAPS services, as detailed below, as detailed below:

Last Trade Date, December 3, 2010:

Fortis Securities LLC	No.	7253
OTC Alpha Identifier:	FTIS	
MUNI Alpha Identifier:	FTIS	

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

First Trade Date, December 8, 2010:

Northern Lights Distributors, LLC/Sierra Core Retirement Fund	No.	5628
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- The following firm will begin participation in the Fund/SERV service, as detailed below:
First Trade Date, December 1, 2010:
 Barclays Capital, Inc. No. 5340
- The following firm will begin participation in the RECAPS service, as detailed below:
First Trade Date, December 10, 2010:
 Timber Hill LLC/Account # 2 No. 0437
- An additional number has been assigned to Matrix Capital Group, Inc. (#5681) 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, December 1, 2010:
 Matrix Capital Group, Inc./Nest Egg Funds No. 5694
 Networking Symbol: K2
 Contact: Julianne Fay
 Phone: (617) 483-8059
- An additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, and MF-Daily Price and Rate services, as detailed below:
First Trade Date, December 6, 2010:
 ALPS Distributors, Inc./River North Funds No. 6520
 Networking Symbol: 0R
 Contact: Brian Bishop
 Phone: (720) 917-0617
- An additional number has been assigned to Funds Distributor, LLC (#5497) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, MF-Daily Price and Rate and ACATS Fund/SERV services, as detailed below:
First Trade Date, December 7, 2010:
 Funds Distributor, LLC/Ashmore Funds No. 5195
 Networking Symbol: RF
 Contact: Lisa Shea
 Phone: (720) 917-0617
- Please update the NSCC Directory dated November 2010 (for OTC Executed-By List and for Municipal Bond Comparison System) 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>
LGNT	0052	SEAL	
LGNT	0052	EMEI	

Delete Last Trade Date, December 3, 2010

Seaboard Securities, Inc.
 Emerald Investments, Inc.

Brockington Securities, Inc.
Arbor Research & Trading, Inc.

LGNT	0052	BROK
FTIS	7253	ARTI

- Please update the NSCC Directory dated November 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>
<u>Add First Trade Date, December 1, 2010</u> Red Capital Markets Inc.	PERS	0443	PSIN	
<u>Add First Trade Date, December 3, 2010</u> MK Securities USA, LLC	PFSI	0234	FALC	

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