

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7270
P&S#: 6840
Date: 08/26/11
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, August 25, 2011:

HSBC Bank USA, N.A./Buffalo No. 5971

Last Trade Date, August 26, 2011:

Guaranty Financial Insurance Solutions, Inc. No. 7504

- The following firm will begin participation in the Fund/SERV service, as detailed below:

First Trade Date, August 22, 2011:

Allianz Life Insurance Company Of North America No. 4523

- The following firms will begin participation in the ACATS service, as detailed below:

First Trade Date, August 22, 2011:

Calamos Financial Services LLC No. 5835

First Trade Date, August 29, 2011:

BHIL Distributors, Inc. / Diamond Hill Funds No. 4729

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

First Trade Date, August 29, 2011:

Huntington National Bank/Hic Bd Mutual Fund No. 0086

- The following firm will begin participation in the ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2011:

Keeley Investment Corp.

No. 5661

- The following firm will begin participation, as a Third Party Administrator, in the Fund/SERV and Networking services, as detailed below:

First Trade Date, August 26, 2011:

Lincoln Variable Insurance Products Trust

No. 7111

Networking Symbol:

14

Contact: Cammie Kline

Phone: (260) 455-6859

- The following firm will begin participation in the Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2011:

WorldCommodity Funds, Inc.

No. 3727

Networking Symbol:

02

Contact: James Llewellyn

Phone: (404) 437-7420

- The following firm will begin participation in the Fund/SERV, Networking, MF – Profile Service, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2011:

First Pacific Mutual Fund, Inc.

No. 3745

Networking Symbol:

10

Contact: Charlotte Meyer

Phone: (808) 988-8088

- Please update the NSCC Directory dated July 2011 (for OTC Executed-By List and for Municipal Bond Comparison System) as detailed below:

Clearing Broker
Identifiers

Executing Broker
Identifiers

Alpha

Numeric

Alpha

Numeric

Delete Last Trade Date, August 19, 2011

Earlybird Capital, Inc.

SWST

0279

EBCI

Add First Trade Date, August 26, 2011

Aspen Equity Partners, LLC

FSWC

0309

ASPN

Add First Trade Date, August 29, 2011

North Atlantic Securities, L.L.C.

FSWC

0309

NOAS

- Please update the NSCC Directory dated July 2011 (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>

Executing Broker Name Change Effective First Trade Date, August 29, 2011

From: MGI Securities (USA) Inc.
To: MGI Securities Inc./CDS

FMAF	5008	MGIS
FMAF	5008	MGIS

Delete Last Trade Date, August 26, 2011

Barnard Jacobs Mellet (USA) LLC
SMH Capital Inc.
Sanders Morris Harris Inc.

PERS	0443	RAND
SILK	0501	CCMK
SILK	0501	SMHJ

Add First Trade Date, August 29, 2011

Penson Financial Services, Inc.

PFSI	0234	PFOB
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If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail NSCCAA@DTCC.com