

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7181
P&S#: 6751
Date: 03/18/11
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, March 16, 2011

Unified Financial Securities, Inc./Pinnacle Collective Trust No. 5356

Last Trade Date, March 18, 2011

Tanaka Funds, Inc. No. 5771

Foreside Distribution Services, L.P./Greenwich Advisors India Select Fund No. 5677

- The following firm will no longer participate in the Commission Settlement service, as detailed below:

Last Trade Date, March 15, 2011:

Portfolio Brokerage Services, Inc. No. 8052

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

First Trade Date, March 16, 2011:

Northern Lights Distributors, LLC/JNF Portfolios No. 3701

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

First Trade Date, March 18, 2011:

Manufacturers and Traders Trust Company No. 0990

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

First Trade Date, April 1, 2011:

Neuberger Berman Management Inc./Lehman Brothers Collective Trust No. 6591

Networking Symbol: BF
 Contact: Owen F. McEntee, Jr.
 Phone: (212) 476-8855

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

First Trade Date, April 1, 2011:

DWS Investments Distributors, Inc./Deutsche Bank Trust No. 5459
 Networking Symbol: NQ
 Contact: Sheila Cadogan
 Phone: (617) 295-3805

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

First Trade Date, March 21, 2011:

Rafferty Capital Markets, LLC/Tanaka Funds No. 5771
 Networking Symbol: B3
 Contact: Greg Getts
 Phone: (440) 922-0066

- An additional number has been assigned to BHIL Distributors, Inc. (#6532) for the purpose of utilizing Fund/SERV, Networking and ACATS Fund/SERV services, as detailed below:

First Trade Date, March 24, 2011:

BHIL Distributors, Inc./Matthews International Capital Management LLC No. 5150
 Networking Symbol: OG
 Contact: Maciej Kwiatkowski
 Phone: 352.46268.5994

- Please update the NSCC Directory dated January 2011 (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>
<u>Clearing Broker Change Effective First Trade Date, March 16, 2011</u>				
From: Crescent Securities Group, Inc.	SWST	0279	CSNT	
To: Crescent Securities Group, Inc.	FSWC	0309	CSNT	
<u>Add First Trade Date, March 18, 2011</u>				
NativeOne Institutional Trading, LLC	MLCO	0161	NOIT	
Crescent Securities Group, Inc.	SWST	0279	CAGI	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Delete Last Trade Date, March 17, 2011</u> Mako Financial Markets LLC	SILK	0501	MFML	
<u>Delete Last Trade Date, March 22, 2011</u> The Weil Company, Inc.	BSSC	0352	WEIL	
<u>Add First Trade Date, March 15, 2011</u> Penson Financial Services, Inc. Penson Financial Services, Inc. Raven Securities Corp.	PFSI PFCL PCAP	0234 0158 0608	PEEP PFEO RANE	
<u>Add First Trade Date, March 16, 2011</u> Nomura Securities International, Inc.	NMRA	0180	NMRB	
<u>Add First Trade Date, March 18, 2011</u> Religare Capital Markets Inc.	BNPS	0049	RCUS	
<u>Add First Trade Date, March 21, 2011</u> Merrill Lynch, Pierce, Fenner & Smith Incorporated Merrill Lynch, Pierce, Fenner & Smith Incorporated	MLCO MLCO	0161 0161	MLTY MLTZ	

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	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker and Executing Name Change</u> <u>Effective First Trade Date, March 23, 2011</u> From: The Weil Company, Inc. To: Christopher Weil & Company, Inc.	BSSC NFSC	0352 0226	WEIL WEIL	

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