

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6954
P&S# 6524
Date: 02/26/10
To: **ALL PARTICIPANTS**
Attention: OPERATIONS PARTNER/OFFICER;
MANAGER P&S DEPARTMENT;
CASHIER; ACATS PARTICIPANTS;
FUND/SERV PARTICIPANTS; MUNICIPAL BOND
COMPARISON PARTICIPANTS
From: Linda Shackleton, Account Administration
Subject: CHANGES IN THE LIST OF PARTICIPANTS

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

Last Trade Date, February 26, 2010:

PFPC Distributors, Inc. / Advantage Advisors Multi Sector Fund I No. 6571

Last Trade Date, March 1, 2010:

UMB Distribution Services, LLC / Access Capital Strategies Community Investment Fund Inc. No. 4861

Foreside Distribution Services, LP / PNC Funds No. 4921

Last Trade Date, March 2, 2010:

Foreside Fund Services, LLC / The CNL Funds No. 6564

- The following firm will no longer participate in the Trade Recording and Trade Comparison, ACATS, Envelope Settlement and RECAP services, as detailed below:

Last Trade Date, February 26, 2010:

Pflueger & Baerwald Inc. No. 0428

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

Last Trade Date, February 26, 2010:

Rafferty Capital Markets, LLC / Embarcadero Funds No. 5537

Manor Investment Funds, Inc. No. 5709

Capstone Asset Planning Co. / Capstone Church bond Fund No. 5838

- The following firm will no longer participate in the Mutual Fund Profile Phase I & II and Networking services, as detailed below:

Last Trade Date, March 4, 2010:

Ameritas Investment Corporation No. 0249
Networking Symbol: E5

- The following firm will change its name only, as detailed below:

Effective First Trade Date, March 1, 2010:

From: ASB Securities, LLC No. 5581
To: FEF Distributors, LLC No. 5581

- The following firm will begin participation in the Mutual Fund Profile Phase I service, as detailed below:

- First Trade Date, February 23, 2010:**

Ascent Real Estate Securities, LLC No. 6670

First Trade Date, March 1, 2010:

Quasar Distributors, LLC / Brandes Dublin Offshore No. 5911

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

First Trade Date, February 24, 2010:

Oakmark Fund No. 4851

First Trade Date, February 26, 2010:

Foreside Distribution Services LP / Northern Trust Funds No. 6633

First Trade Date, March 1, 2010:

MFS Fund Distributors, Inc. No. 5516

- The following firm will begin participation in the Commission Settlement service, as detailed below:

First Trade Date, March 1, 2010:

CBIZ Financial Solutions, Inc. No. 0682

- An additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing the Networking & Fund/SERV services, as detailed below:

First Trade Date, March 1, 2010:

Ultimus Fund Distributors LLC / Papp Investment Trust No. 5114
Networking Symbol: LV

Contact: Doug Jones

Phone: (513)587-3408

- An additional number has been assigned to Columbia Management Distributors, Inc. (#5501) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I, ACATS and ACATS Fund/SERV services, as detailed below:

First Trade Date, March 1, 2010:

Columbia Management Distributors, Inc. / Money Market Funds No. 5320
 Networking Symbol: M7
 Contact: Rob Manupelli
 Phone: (617) 483-7406

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

First Trade Date, March 1, 2010:

Capstone Asset Planning Co. No. 5801

- The following Data Service Only Member will begin participation in the Insurance Processing service, as detailed below:

First Trade Date, March 1, 2010:

Capmarusa, LLC No. 6007

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

First Trade Date, March 8, 2010:

Securities Service Network, Inc. No. 0247

- Please update the NSCC Directory dated January 4, 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>

Executing Broker Name Change Effective First Trade Date February 26, 2010

From: SMH Capital Corp.	BSSC	0352	CCCM
To: Sanders Morris Harris Incorporated	BSSC	0352	CCCM

Add First Trade Date, February 26, 2010

Kellogg Capital Markets, LLC	SILK	0501	KCMA
------------------------------	------	------	------

Add First Trade Date, March 1, 2010

Kellogg Capital Markets, LLC	SILK	0501	KEGG
------------------------------	------	------	------

Add First Trade Date, March 5, 2010

Strategas Research Partners, LLC	MLCO	0161	STRS
Woodlawn Advisors, LLC	MLCO	0161	WDLN

Delete Last Trade Date, February 25, 2010

Financial Consultant Group, LLC	NFSC	0226	FCON
McGinn, Smith & Co. Inc.	NFSC	0226	MQIN

- Please update the NSCC Directory dated January 4, 2009 (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>

Clearing Broker Change, Effective First Trade Date, February 24, 2010

From: Charles Morgan Securities, Inc.	PFSI	0234	CMSS
To: Charles Morgan Securities, Inc.	LGNT	0052	CMSS
From: Mismi, Inc.	MLCO	0161	MISM
To: Mismi, Inc.	ANDZ	0442	MISM

Executing Broker Name Change and Clearing Broker Change Effective First Trade Date March 1, 2010

From: Torc Investments & Research, LLC	PRST	0551	TORG
To: Instinet, LLC	INCA	0067	TORG

Clearing Broker Change, Effective First Trade Date, March 1, 2010

From: Drexel Hamilton, LLC	PFSI	0234	DREX
To: Drexel Hamilton, LLC	SILK	0501	DREX

Clearing Broker Change, Effective First Trade Date, March 12, 2010

From: MKM Partners, LLC	PERS	0443	MKMP
To: MKM Partners, LLC	MLCO	0161	MKMP

Delete Last Trade Date, February 22, 2010

Gsecl/A	SILK	0501	SLKA
Gseclp/Absolute Growth Fund	SILK	0501	SLAG
Gseclp/Allen Saroff	SILK	0501	SLAL
Gseclp/B	SILK	0501	SLKB
Gseclp/Bright Trading	SILK	0501	SLBT

Gseclp/CGT	SILK	0501	SLWC
Gseclp/CNC	SILK	0501	SLCN
Gseclp/CS	SILK	0501	SLCS
Gseclp/Charlton Gor-Goin	SILK	0501	SLCG
Gseclp/Chicago DBM	SILK	0501	SLCC
Gseclp/Cobalt Trading LLC	SILK	0501	SLCB
Gseclp/DHR LLC	SILK	0501	SLDH
Gseclp/D Quant	SILK	0501	SLDQ
Gseclp/Dax Partners, L.P.	SILK	0501	SLDX
Gseclp/Daytrading.Net	SILK	0501	SLDN
Gseclp/Empire Programs	SILK	0501	SLEP
Gseclp/Fairway Capitol	SILK	0501	SLFW
Gseclp/First New York Securities	SILK	0501	SLFN
Gseclp/GDS Sec.	SILK	0501	SLGD
Gseclp/Gateway	SILK	0501	SLGW
Gseclp/Generic Trading Inc.	SILK	0501	SLGT
Gseclp/Glaxis Investments LLC	SILK	0501	SLGA
Gseclp/Greenwich International	SILK	0501	SLGI
Gseclp/Grenal & Co.	SILK	0501	SLGC
Gseclp/Handheld	SILK	0501	SLHH
Gseclp/J. Hawkey	SILK	0501	SLHW
Gseclp/I	SILK	0501	SLKI
Gseclp/Jas	SILK	0501	SLRR
Gseclp/K	SILK	0501	SLKK
Gseclp/Lenpad	SILK	0501	SLLP
Gseclp/Lieber & Weissman	SILK	0501	SLLW
Gseclp/Marblehead Trading	SILK	0501	SLMH
Gseclp/Monroe Capital	SILK	0501	SLMC
Gseclp/R. Morse	SILK	0501	SLRM
Gseclp/J.J. Newport	SILK	0501	SLJJ
Gseclp/Ota Trading	SILK	0501	SLOT
Gseclp/P	SILK	0501	SLKP
Gseclp/Peduzzi Investment Group	SILK	0501	SLJP
Gseclp/Performance Specialists	SILK	0501	SLPS
Gseclp/Pond Equities	SILK	0501	SLPE
Gseclp/Redwood Partners	SILK	0501	SLRP
Gseclp/SLK Market Maker	SILK	0501	SLKN
Gseclp/Sapphire Partners	SILK	0501	SLSP
Gseclp/Spectra Financial Group LLC	SILK	0501	SLWW
Gseclp/Taft Securities	SILK	0501	SLTS
Gseclp/Trade Factory	SILK	0501	SLPT
Gseclp/Tech-Trade Capital	SILK	0501	SLTT
Gseclp/Valhalla Partners LLC	SILK	0501	SLVH

Delete Last Trade Date, February 25, 2010

Spyglass Trading, L.P.	PRST	0551	SPGL
Spencer Edwards, Inc.	ALPS	8072	SEII

Delete Last Trade Date, February 26, 2010

Barriger & Barriger	FCCP	0141	BARG
Torc Investments and Research LLC	PRST	0551	TORT

Add First Trade Date, February 22, 2010

Wedbush Morgan Securities, Inc.	WEDB	0103	WMAQ
---------------------------------	------	------	------

Add First Trade Date, February 24, 2010

JB Drax Honroe, Inc.	PFSI	0234	JBDH
----------------------	------	------	------

Add First Trade Date, February 26, 2010

Direct Access Partners, LLC	SILK	0501	DAPG
Penson Financial Services, Inc.	PFSI	0234	PFDG

Add First Trade Date, March 1, 2010

Newedge USA, LLC	PCAP	0608	NESP
Newedge USA, LLC	PCAP	0608	NEBH
BTG Capital Corp.	PERS	0443	PACT
Wedbush Morgan Securities Inc.	WEDB	0103	WMGN

Add First Trade Date, March 4, 2010

St. Bernard Financial Services, Inc.	FSWC	0309	KEEN
--------------------------------------	------	------	------

- Please update the NSCC Directory dated January 4, 2009 (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, March 1, 2010

From: Wilmington Brokerage Services Company	PERS	0443	BALE
To: Wilmington Brokerage Services Company	NFSC	0226	BALE

Delete Last Trade Date, February 26, 2010

ICAP Corporates, LLC	MLCO	0161	GARC
----------------------	------	------	------

Add First Trade Date, March 1, 2010

Greencoast Capital Partners, LLC	WEDB	0103	GCPM
Friedman, Luzzatto & Co.	WEDB	0103	FRLZ

If you have any questions regarding this notice, please contact Fredric Epstein (813) 470-1180 or E-mail NSCCAA@DTCC.com