

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6949
P&S# 6519
Date: 02/19/10
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 23, 2010:

Sycuan Funds	No.	5671
BACAP Distributors, LLC / Global Liquidity Fund	No.	4844
BACAP Distributors, LLC	No.	5812

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

Last Trade Date, February 18, 2010:

Pinnacle Investments Inc.	No.	4925
Wireless Fund	No.	6683
Conestoga Funds	No.	4917

Last Trade Date, March 1, 2010:

Quasar Distributors, LLC / Buffalo Funds	No.	4931
Quasar Distributors, LLC / Perritt Funds	No.	5602
Quasar Distributors, LLC / Chase Growth Fund	No.	5626
Quasar Distributors, LLC / Guinness Atkinson Funds	No.	5754
Quasar Distributors, LLC / Winslow Green Funds	No.	6687

- The following firms will no longer participate in the Mutual Fund Profile II service, as detailed below

Last Trade Date, March 1, 2010:

Quasar Distributors, LLC / Brandes Investment Trust	No.	5693
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- The following member of CDS Clearing and Depository Services Inc. will change its name only, as detailed below:

Effective First Trade Date, February 22, 2010:

From: Blackmont Capital Inc. / CDS	No.	5025
To: Macquarie Private Wealth Inc. / CDS	No.	5025

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

Effective First Trade Date, February 22, 2010:

From: Quasar Distributors, LLC / Tamarack Mid Cap Value Fund	No.	5413
To: Quasar Distributors, LLC / RBC Funds Trust	No.	5413

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

First Trade Date, February 19, 2010:

OneAmerica Securities, Inc.	No.	5315
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- The following firm will begin participation in the When Issued Municipal Bond Comparison System, as detailed below:

First Trade Date, February 19, 2010:

Mitsubishi UFJ Securities (USA), Inc.	No.	0076
Muni Alpha Identifier:		MUFG

- The following firm will begin participation in the OTC Listed Comparison service, as detailed below:

First Trade Date, February 19, 2010:

Fortis Clearing Americas LLC / Retail	No.	0541
OTC Alpha Identifier:		FCIN

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

First Trade Date, February 22, 2010:

Centurion Life Insurance Company	No.	6005
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- The following firm will begin participation in the Commission Settlement service, as detailed below:

First Trade Date, March 1, 2010:

Quasar Distributors, LLC / Rochdale Funds	No.	4990
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- An additional number has been assigned to Country Trust Bank (#2561) for the purpose of utilizing the Commission Settlement service, as detailed below:

First Trade Date, March 1, 2010:

Country Trust Bank / CCMC	No.	5185
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- 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>
<u>Delete Last Trade Date, February 16, 2010</u> Pali Capital Inc.	PERS	0443	PALC	
<u>Delete Last Trade Date, February 17, 2010</u> Jones, Byrd, & Attkisson, Inc.		0235	JBAI	
<u>Delete Last Trade Date, February 18, 2010</u> Mercer Capital, LTD.		0235	MRCP	
Wildwood Capital Securities, Inc.		0235	QCMG	
Wasserman & Associates		0235	WTSP	
<u>Add First Trade Date, February 22, 2010</u> Sabadell Securities USA, Inc.	PERS	0443	SABS	
<u>Add First Trade Date, February 25, 2010</u> J.P. Turner & Company LLC	QRCC	0158	JPTM	

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	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Clearing Broker Change, Effective First Trade Date, March 1, 2010</u> From: ICAP Corporates, LLC	MLCO	0161	GARC	
To: ICAP Corporates, LLC	SILK	0501	GARC	
From: ICAP Corporates, LLC	MLCO	0161	GARQ	
To: ICAP Corporates, LLC	SILK	0501	GARQ	
<u>Delete Last Trade Date, February 16, 2010</u> Pali Capital Inc.	PERS	0443	PALI	
<u>Delete Last Trade Date, February 18, 2010</u> Oriental Financial Services	NFSC	0226	ORTL	
Cascade Financial Management, Inc.		0235	CASC	
Fleming Securities, Inc.	SWST	0279	FLMM	
<u>Add First Trade Date, February 16, 2010</u> W.R. Hambrecht & Co., LLC	PFSI	0234	HAMC	
<u>Add First Trade Date, February 17, 2010</u> Electronic Transaction Clearing, Inc.	ETCC	0873	ETCY	

Add First Trade Date, February 22, 2010

Getco Securities, LLC	WEDB	0103	GETS
Penson Financial Services, Inc.	BSSC	0352	PFSY

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	<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, February 18, 2010</u> Two Sigma Securities, LLC	BSSC	0352	SOHO	

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