

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7050
P&S#: 6621
Date: 08/20/10
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 firm will retire from all services, as detailed below.
Last Trade Date, August 20, 2010:
Bank of America, National Association No. 4864
- The following firm will change its name and OTC Comparison Identifier, as detailed below:
First Trade Date, August 17, 2010:
From: NYFIX Securities Corporation No. 0294
To: Quantex Clearing, LLC No. 0294

From: OTC, Alpha Identifier NFCC
To: OTC, Alpha Identifier QNTX
- The following firm will begin participation in the MF-Daily Price and Rate File service, as detailed below.
First Trade Date, August 23, 2010:
M&I Marshall & Ilsley Bank No. 0992
- The following firm will begin participation in the NYSE Listed Comparison service, as detailed below:
First Trade Date, September 1, 2010:
MF Global Inc./Fixed Income No. 0120
NYSE Alpha Identifier: MANS
- The following firm will begin participation in the Commission Settlement service, as detailed below.
First Trade Date, September 1, 2010:
Quasar Distributors, LLC/Al Frank Fund No. 4993

- An additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement and ACATS Fund/SERV services, as detailed below:

First Trade Date, September 1, 2010:

Northern Lights Distributors, LLC/13D Activist Fund	No.	5334
Networking Symbol:	U6	
Contact: Mike Nielsen		
Phone: (402) 493-1731 ext 3		

- Please update the NSCC Directory dated July 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>Clearing Broker Change Effective First Trade Date, August 25, 2010</u>				
From: Tradeking	0052	LGNT	KRSG	
To: Tradeking	0234	PFSI	KRSG	

- Please update the NSCC Directory dated July 2010 (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>
<u>Clearing Broker Change Effective First Trade Date, August 27, 2010</u>				
From: Knight Capital Markets, LLC	MLCO	0161	TRIM**	
To: Knight Capital Markets, LLC	NITC	0295	TRIM	
<u>Delete Last Trade Date, August 18, 2010</u>				
Merrill Lynch Professional Clearing Corp.	PRST	0551	PRTS	
<u>Delete Last Trade Date, August 19, 2010</u>				
CUE Financial Group, Inc.	PERS	0443	CUEF	
NWT Financial Group, LLC	SWST	0279	NWTG	
<u>Delete Last Trade Date, August 20, 2010</u>				
Ridge Clearing & Outsourcing Solutions, Inc.	QRCC	0543	BRFN	

Add First Trade Date, August 18, 2010

Perdue Securities, LLC

ECUT 0100 PERD

Add First Trade Date, August 20, 2010

Wells Fargo Securities, LLC

WCHV 0250 WELX

Add First Trade Date, August 23, 2010

Newedge USA, LLC

PCAP 0608 NENB

Add First Trade Date, September 1, 2010

UBS Securities LLC

UBSW 0642 UBSB

**The Executing Broker noted below will remain clearing through Merrill Lynch, Pierce, Fenner, and Smith Inc.:

Knight Equity Markets, L.P. – NITE – 0161

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