

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7056
P&S#: 6627
Date: 09/03/10
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 31, 2010:

Quasar Distributors, LLC/Counterpoint Select Portfolio No. 4958

- The following firms will change their names only, as detailed below:

First Trade Date, September 1, 2010:

From: J.P. Morgan Securities Inc. No. 0187

To: J.P. Morgan Securities LLC No. 0187

From: J.P. Morgan Securities Inc./NYSE No. 0060

To: J.P. Morgan Securities LLC/NYSE No. 0060

From: J.P. Morgan Securities Inc./Private Client Services Div No. 0406

To: J.P. Morgan Securities LLC/Private Client Services Div No. 0406

From: J.P. Morgan Securities Inc. No. 5865

To: J.P. Morgan Securities LLC No. 5865

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

First Trade Date, September 2, 2010:

Nuveen Investments, LLC/Dublin Funds No. 4828

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

First Trade Date, September 10, 2010:

KDC Merger Arbitrage Fund, LP No. 0580

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

First Trade Date, September 15, 2010:

Harbor Funds Distributors, Inc.

No. 5471

- 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 31, 2010</u>				
From: Infinium Securities Inc.	ECEE	5063	INFC	
To: Infinium Securities Inc.	PFSI	0234	INFC	
<u>Clearing Broker Change Effective First Trade Date, September 13, 2010</u>				
From: Midwood Securities, Inc.	FCCP	0141	MDWD	
To: Midwood Securities, Inc.	KING	0743	MDWD	
<u>Delete Last Trade Date, August 30, 2010</u>				
Nunami Services LLC	BELZ	0627	NAMZ	
<u>Delete Last Trade Date, August 31, 2010</u>				
Penson Financial Services, Inc.	PFSI	0234	PFCJ	
Penson Financial Services, Inc.	PFSI	0234	PFBE	
Penson Financial Services, Inc.	MLCO	0161	PFBL	
Penson Financial Services, Inc.	MLCO	0161	PFBT	
<u>Delete Last Trade Date, September 1, 2010</u>				
Wedbush Morgan Securities, Inc.	WEDB	0103	WEDQ	
Wedbush Morgan Securities, Inc.	WEDB	0103	WEDU	
<u>Delete Last Trade Date, September 3, 2010</u>				
OTA LLC	SILK	0501	OTAC	
<u>Add First Trade Date, September 1, 2010</u>				
Mellin Securities, Inc.	MSRO	0727	MELN	

- Please update the NSCC Directory dated July 2010 (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, August 31, 2010

From: Mellin Securities, Inc.
 To: Mellin Securities, Inc.

FCCP	0141	MELN
MSRO	0727	MELN

Delete Last Trade Date, August 31, 2010

BSC Securities L.L.C.

SWST	0279	BSCA
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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