

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6884
P&S# 6454
Date: 10/02/09
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, October 2, 2009:

Ameriprise Advisor Services, Inc

No. 0756

American Enterprise Investment Services, Inc (#0216) will assume all open contracts for Ameriprise Advisor Services, Inc (#0756), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

Ameriprise Advisor Services, Inc
Contact: Dan McAskin
Phone: (313) 628-1200

American Enterprise Investment Services Inc.
Contact: Gregory Wraalstad
Phone: (612) 678-5174

- An additional number has been assigned to American Enterprise Investment Services, Inc. (#0216) for the purpose of utilizing Fund/SERV, ACATS, ACATS Fund/SERV, Networking, Commission Settlement, RECAPS, OTC Comparison, When Issued Municipal Bond Comparison System, Corporate Bond, NYSE Listed Comparison, Insurance Processing Service and Envelope Settlement services as detailed below:

First Trade Date, October 5, 2009:

American Enterprise Investment Services, Inc./Beta/133

No. 0756

Networking Symbol:

OD

Contact: Gregory Wraalstad

Phone: (612)678-5174
OTC/Muni Alpha-Identifier
NYSE Alpha- Identifier

HRBF
HRB

- The following firm will no longer participate in the OTC and Muni Bond Comparison, Corporate Bond and RECAPS services as detailed below:

Last Trade Date, October 6, 2009

J.P. Morgan Securities, Inc.
OTC/Muni Alpha-Identifier

No. 0060
JPMS

- The following firm will no longer participate in the ACATS service as detailed below:

Last Trade Date, October 8, 2009

J.P. Morgan Securities, Inc.

No. 0060

Special Note: *J.P. Morgan Securities Inc. (NSCC Participant Account 0060, “J.P. Morgan”) has requested that NSCC provide Participants with information regarding transaction processing in anticipation of its upcoming operational conversion. Please see the attached press release from J.P. Morgan. Questions regarding this matter should be addressed to the following individuals at J.P. Morgan: Jeff Capretta at 212.272.6231, William Lento at 212.272.4130, or Robert Cavallo at 347.643.2424.*

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

Last Trade Date, September 29, 2009:

PFPC Distributors, Inc./Atlantic Whitehall Funds

No. 5427

Last Trade Date, September 30, 2009:

Citigroup Global Markets Inc.

No. 4928

Last Trade Date, October, 6 2009:

Quasar Distributors, LLC/17 Mile Value Fund

No. 5933

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

Last Trade Date, September 30, 2009:

Russell Trust Company
Networking Symbol:

No. 4832
7Q

- The following firm will no longer participate in the NYSE Listed Comparison service, as detailed below:

Last Trade Date, September 28, 2009:

J.J.B. Hilliard, W.L. Lyons, Inc.
NYSE Alpha Identifier:

No. 0768
HL

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

First Trade Date, October 1, 2009:

| | | |
|-----------------------|-----|------|
| Tradebot Systems, Inc | No. | 0083 |
| OTC Alpha Identifier: | | TRBT |

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

First Trade Date, October 6, 2009:

| | | |
|---|-----|------|
| From: Cantor Fitzgerald & Co/Cantor Clearing Services | No. | 0197 |
| OTC Alpha Identifier: | | COAK |

| | | |
|---|-----|------|
| To: Cantor Fitzgerald & Co/Cantor Clearing Services | No. | 0197 |
| OTC Alpha Identifier: | | CSPD |

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

First Trade Date, October 7, 2009:

| | | |
|--------------------------------------|-----|------|
| Electronic Transaction Clearing, Inc | No. | 0873 |
| NYSE Alpha Identifier: | | ETCC |

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

First Trade Date, October 1, 2009:

| | | |
|--|-----|------|
| Quasar Distributors, LLC/ Smead Value Fund | No. | 6686 |
|--|-----|------|

First Trade Date, October 5, 2009:

| | | |
|-----------------------------|-----|------|
| TD Ameritrade Trust Company | No. | 5982 |
|-----------------------------|-----|------|

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

First Trade Date, October 1, 2009:

| | | |
|--|-----|------|
| Columbia Management Distributors, Inc. | No. | 5501 |
|--|-----|------|

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

First Trade Date, October 1, 2009:

| | | |
|-----------------------------|-----|------|
| STAAR Investment Trust | No. | 6736 |
| Networking Symbol: | | EN |
| Contact: Greg Getts | | |
| Phone: (440) 922-0066 x 101 | | |

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

First Trade Date, October 1, 2009:

| | | |
|---|-----|------|
| CUNA Mutual Insurance Society | No. | 4734 |
| Great-West Life & Annuity Insurance Company | No. | 4735 |
| First Great-West Life & Annuity Insurance Company | No. | 4736 |

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

First Trade Date, October 1, 2009:

Bertolet Capital Trust No. 6701
 Networking Symbol: FA
 Contact: Greg Getts
 Phone: (440) 922-0066 x 100

- An additional number has been assigned to Foreside Distribution Services, LP. (#4967) for the purpose of utilizing Fund/SERV, Networking and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, October 1, 2009:

Foreside Distribution Services, LP/First State Trust Company No. 4928
 Networking Symbol: XF
 Contact: Scott Roseberry
 Phone: (614) 470-8862

- An additional number has been assigned to Foreside Fund Services LLC (#5659) for the purpose of utilizing Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I and ACATS Fund/SERV services, as detailed below:

First Trade Date, October 5, 2009:

Foreside Fund Services LLC/Liberty Street Horizon Fund No. 6767
 Networking Symbol: GE
 Contact: Darren Siverling
 Phone: (414) 299-2160

- An additional number has been assigned to Wells Fargo Fund Distributors, LLC (#5576) for the purpose of utilizing Fund/SERV, Networking and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, October 9, 2009:

Wells Fargo Funds Distributor, LLC/Wells Fargo (Lux) Worldwide No. 5936
 Networking Symbol: AJ
 Contact: Jeff Dart
 Phone: (414) 973-5177

- Please update the NSCC Directory dated July 2, 2009 (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, September 28, 2009</u> SBK-Brooks Investment Corp. | LGNT | 0052 | SBKB | |
| <u>Add First Trade Date, September 29, 2009</u> Global Investor Services, L.C. | BSSC | 0352 | GISJ | |

- Please update the NSCC Directory dated July 2, 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> |
| <u>Delete Last Trade Date, September 28, 2009</u> | | | | |
| Gar Wood Securities, LLC | IBKR | 0017 | GWIB | |
| <u>Delete Last Trade Date, September 29, 2009</u> | | | | |
| Alluvion Securities, LLC | SWST | 0279 | ALLU | |
| Boston Merchant Financial Services, Inc. | SWST | 0279 | BMFS | |
| Capital Analysts Inc. | NFSC | 0226 | CAPI | |
| <u>Add First Trade Date, October 1, 2009</u> | | | | |
| Multitrade Securities, LLC | PERS | 0443 | MTRN | |
| <u>Add First Trade Date, October 2, 2009</u> | | | | |
| BGC Financial, LP | BGCF | 0537 | EBKR | |
| BGC Financial, LP | BGCF | 0537 | MAXN | |
| <u>Add First Trade Date, October 5, 2009</u> | | | | |
| Electronic Transaction Clearing, Inc. | ETCC | 0873 | ALGO | |
| <u>Add First Trade Date, October 6, 2009</u> | | | | |
| Castle oak Securities, L.P. | CSPD | 0197 | COAK | |
| <u>Add First Trade Date, October 7, 2009</u> | | | | |
| J.P. Morgan Securities Inc. | BSSC | 0352 | JPMS | |
| <u>Executing Broker Name Change, Effective First Trade Date, October 2, 2009</u> | | | | |
| From :Weiss Investment Management Services, LLC | JEFF | 0019 | WIMS | |
| To: Oakpoint Advisors LLC | JEFF | 0019 | WIMS | |
| <u>Clearing Broker Change, Effective First Trade Date, October 7, 2009</u> | | | | |
| From: J.P. Morgan Securities Inc. | JPMS | 0060 | JPME | |
| To: J.P. Morgan Securities Inc. | BSSC | 0352 | JPME | |
| From: J.P. Morgan Securities Inc. | JPMS | 0060 | JPMG | |
| To: J.P. Morgan Securities Inc. | BSSC | 0352 | JPMG | |
| From: J.P. Morgan Securities Inc. | JPMS | 0060 | JPMP | |
| To: J.P. Morgan Securities Inc. | BSSC | 0352 | JPMP | |

- Please update the NSCC Directory dated July 2, 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> |
| <u>Clearing Broker Change, Effective First Trade Date, September 30, 2009</u> | | | | |
| From: Capital Analysts, Inc. | NFSC | 0226 | CAPI | |
| To: Capital Analysts, Inc. | PERS | 0443 | CAPI | |
| <u>Add First Trade Date, October 16, 2009</u> | | | | |
| RAIT Securities | MLCO | 0161 | RAIT | |

If you have any questions regarding this notice, please contact Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com

Press Release from J.P. Morgan

As a result of the merger that took place on October 1, 2008 between J.P. Morgan and Bear, Stearns & Co. Inc., J.P. Morgan plans to move all clearing of its U.S. equities transactions, **with the exception of executions on the New York Stock Exchange (“NYSE”)**, from J.P. Morgan’s NSCC Participant Account #060 to its wholly-owned subsidiary, J.P. Morgan Clearing Corp.’s (“JPMCC”) NSCC Participant Account #352 (the “Operational Conversion”). Accordingly, beginning trade date October 7, 2009, settlement date October 13, 2009¹, **with the exception of executions on the NYSE**, J.P. Morgan will be clearing all U.S. equities transactions using JPMCC’s NSCC Participant Account #352.

With respect to executions on the NYSE, there will be no change to J.P. Morgan’s clearing of equity transactions through NSCC Participant Account #060. Additionally, there will be no change to J.P. Morgan’s clearing of fixed income products through J.P. Morgan’s NSCC Participant Account #187.

¹ Any trades for contractual settlement dates prior to October 13, 2009 will continue to clear through the current NSCC Participant Account # 060.