

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7018
P&S# 6589
Date: 06/25/10
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

NOTE: Please disregard the notice to retire Participant No. 5547 (PFPC Distributors, Inc./First Puerto Rico Growth and Income Fund, Inc.) that appeared on Important Notice A#7014 (P&S #6585) dated June 18, 2010.

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

Last Trade Date, June 21, 2010:

Nicholas-Applegate Securities No. 6590

Last Trade Date, June 25, 2010:

Columbia Management Investment Distributors, Inc./Global Offshore Fund No. 4872

Last Trade Date, June 30, 2010:

PFPC Distributors, Inc./CRM Funds No. 6619

- The following firm will no longer participate in the Commission Settlement and Insurance Processing services, as detailed below:

Last Trade Date, June 30, 2010:

Rydex Distributors, Inc. No. 0483

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

Last Trade Date, June 30, 2010:

Quasar Distributors, LLC/Mutuals.com No. 5847

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

First Trade Date, July 1, 2010:

From: Fortis Clearing Americas LLC	No.	0695
To: ABN AMRO Clearing Chicago	No.	0695
From: Fortis Clearing Americas LLC/CPM	No.	0330
To: ABN AMRO Clearing Chicago/CPM	No.	0330
From: Fortis Clearing Americas LLC/Portfolio Margining	No.	0396
To: ABN AMRO Clearing Chicago/Portfolio Margining	No.	0396
From: Fortis Clearing Americas LLC/LTG	No.	0524
To: ABN AMRO Clearing Chicago/LTG	No.	0524
From: Fortis Clearing Americas LLC/Retail	No.	0541
To: ABN AMRO Clearing Chicago/Retail	No.	0541
From: Quasar Distributors, LLC/AIP ALT Strategies Funds	No.	5449
To: Quasar Distributors, LLC/Hatteras Funds	No.	5449
From: PFPC Distributors, Inc.	No.	0440
To: BNY Mellon Distributors Inc.	No.	0440
From: PFPC Distributors, Inc./PFPC Inc as Agent for PFPC Trust FBO Morningstar Wrap Program Customers	No.	0474
To: BNY Mellon Distributors Inc./ PFPC Trust FBO Morningstar Wrap Program Customers	No.	0474
From: PFPC Distributors, Inc./PFPC Inc as Agent for PFPC Trust FBO Health Savings Account	No.	0592
To: BNY Mellon Distributors Inc./ PFPC Trust FBO Health Savings Account	No.	0592
From: PFPC Distributors, Inc./PFPC Inc as Agent for PFPC Trust FBO JJB Hilliard WL Lyons Inc.	No.	0649
To: BNY Mellon Distributors Inc./ PFPC Trust FBO JJB Hilliard WL Lyons Inc.	No.	0649
From: PFPC Distributors, Inc./PFPC Inc as Agent for PFPC Trust FBO Managers Fund Wrap Program	No.	0657
To: BNY Mellon Distributors Inc./ PFPC Trust FBO Managers Fund Wrap Program	No.	0657
From: PFPC Distributors, Inc./Primerica Financial Services	No.	0689
To: BNY Mellon Distributors Inc./Primerica Financial Services	No.	0689
From: PFPC Distributors, Inc./PFPC Trust FBO PNC GIS Clients (1)	No.	5914
To: BNY Mellon Distributors Inc./PFPC Trust FBO Fundmanager Clients	No.	5914
From: PFPC Distributors, Inc.	No.	6658
To: BNY Mellon Distributors Inc.	No.	6658

From: PFPC Distributors, Inc./Fairholme Fund	No.	4870
To: BNY Mellon Distributors Inc./Fairholme Funds, Inc.	No.	4870
From: PFPC Distributors, Inc./Spirit of America	No.	5362
To: BNY Mellon Distributors Inc./Spirit of America Investment Fund, Inc.	No.	5362
From: PFPC Distributors, Inc./Perimeter Small Cap Growth Fund of the RBB Fund, Inc.	No.	5416
To: BNY Mellon Distributors Inc./Perimeter Capital Management Funds of The RBB Fund, Inc.	No.	5416
From: PFPC Distributors, Inc./Consulting Group Capital Markets Funds	No.	5422
To: BNY Mellon Distributors Inc./Consulting Group Capital Markets Funds	No.	5422
From: PFPC Distributors, Inc./Stratton Mutual FDS	No.	5448
To: BNY Mellon Distributors Inc./Stratton Family of Funds	No.	5448
From: PFPC Distributors, Inc./First Puerto Rico Growth and Income Fund, Inc.	No.	5547
To: BNY Mellon Distributors Inc./First Puerto Rico Family of Funds	No.	5547
From: PFPC Distributors, Inc./Wilmington Funds	No.	5550
To: BNY Mellon Distributors Inc./Wilmington Funds	No.	5550
From: PFPC Distributors, Inc./Fundadvantage Trust	No.	5611
To: BNY Mellon Distributors Inc./Fundadvantage Trust	No.	5611
From: PFPC Distributors, Inc./BB&T Funds	No.	5648
To: BNY Mellon Distributors Inc./BB&T Funds	No.	5648
From: PFPC Distributors, Inc./Old Westbury Fund	No.	5651
To: BNY Mellon Distributors Inc./Old Westbury Funds, Inc.	No.	5651
From: PFPC Distributors, Inc./The Industry Leaders Fund	No.	5654
To: BNY Mellon Distributors Inc./The Industry Leaders Fund	No.	5664
From: PFPC Distributors, Inc./Aston Funds	No.	5699
To: BNY Mellon Distributors Inc./Aston Funds	No.	5699
From: PFPC Distributors, Inc./Kalmar Pooled Investment Trust	No.	5716
To: BNY Mellon Distributors Inc./Kalmar Pooled Investment Trust	No.	5716
From: PFPC Distributors, Inc./Matthews Intl Fd Inc.	No.	5724
To: BNY Mellon Distributors Inc./Matthews International Funds DBA Matthews Asia Funds	No.	5724
From: PFPC Distributors, Inc./MGI Funds	No.	5725
To: BNY Mellon Distributors Inc./MGI Funds	No.	5725

From: PFPC Distributors, Inc./Guidestone Funds	No.	5782
To: BNY Mellon Distributors Inc./Guidestone Funds	No.	5782
From: PFPC Distributors, Inc./Robeco Investment Funds	No.	5800
To: BNY Mellon Distributors Inc./Robeco Investment Funds of the RBB Fund, Inc.	No.	5800
From: PFPC Distributors, Inc./RBB Funds	No.	5808
To: BNY Mellon Distributors Inc./Money Market Portfolio of the RBB Fund, Inc.	No.	5808
From: PFPC Distributors, Inc./Bogle Investment Management	No.	5818
To: BNY Mellon Distributors Inc./Bogle Investment Management Funds of The RBB Fund, Inc.	No.	5818
From: PFPC Distributors, Inc./High Mark Funds	No.	5820
To: BNY Mellon Distributors Inc./High Mark Funds	No.	5820
From: PFPC Distributors, Inc./Schneider Small Cap Value Fund	No.	5856
To: BNY Mellon Distributors Inc./Schneider Capital Management Funds of the RBB Fund, Inc.	No.	5856
From: PFPC Distributors, Inc./Allegiant Funds	No.	5879
To: BNY Mellon Distributors Inc./PNC Funds	No.	5879
From: PFPC Distributors, Inc./Matson Money, Inc Family of Funds of the RBB Fund	No.	5947
To: BNY Mellon Distributors Inc./Matson Money, Inc Funds of the RBB Fund Inc.	No.	5947
From: PFPC Distributors, Inc./Highland Funds	No.	5979
To: BNY Mellon Distributors Inc./Highland Family of Funds	No.	5979
From: PFPC Distributors, Inc./The Torray Funds	No.	6554
To: BNY Mellon Distributors Inc./The Torray Funds	No.	6554
From: PFPC Distributors, Inc./E.I.I. Realty Security Trust	No.	6579
To: BNY Mellon Distributors Inc./E.I.I. Realty Securities Trust	No.	6579
From: PFPC Distributors, Inc./Senbanc FD	No.	6580
To: BNY Mellon Distributors Inc./Senbanc Fund of the RBB Fund, Inc.	No.	6580
From: PFPC Distributors, Inc./The Motley Fool Funds Trust	No.	6594
To: BNY Mellon Distributors Inc./The Motley Fool Funds Trust	No.	6594
From: PFPC Distributors, Inc./Bear Stearns Ultra Short Income Fund/RBB	No.	6596
To: BNY Mellon Distributors Inc./Bear Stearns Asset Management Funds of the RBB Fund, Inc.	No.	6596

From: PFPC Distributors, Inc./Roxbury Cap Mgmt Fds	No.	6620
To: BNY Mellon Distributors Inc./Roxbury Funds	No.	6620
From: PFPC Distributors, Inc./Metropolitan West Funds	No.	6644
To: BNY Mellon Distributors Inc./Metropolitan West Funds	No.	6644
From: PFPC Distributors, Inc./Marvin & Palmer Large Cap Growth Fund of the RBB Fund, Inc.	No.	6679
To: BNY Mellon Distributors Inc./Marvin & Palmer Funds of the RBB Fund, Inc.	No.	6679

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

First Trade Date, June 22, 2010 (Amended from June 21 on Important Notice A#7014)

Wells Fargo Bank, N.A.	No.	6766
Networking Symbol:	SQ	
Contact: Kristen Daniels		
Phone: (612) 667-4481		

- The following firm will begin participation in the Networking services, as detailed below:

First Trade Date, June 21, 2010:

Merrill Lynch, Pierce, Fenner and Smith, Inc./BAI	No.	0424
Networking Symbol:	QP	
Contact: Jennifer Wood		
Phone: (904) 218-5508		

- The following firm will begin participation in the Corporate Bond Comparison Service, as detailed below:

First Trade Date, June 28, 2010:

Mizuho Securities USA Inc.	No.	0892
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- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing Fund/SERV, Networking, MF-Daily Price and Rate, ACATS Fund/SERV and Commission Settlement, as detailed below:

First Trade Date, July 1, 2010:

Quasar Distributors, LLC/Morgan Dempsey Funds	No.	5354
Networking Symbol:	MX	
Contact: Casey Sauer		
Phone: (414) 347-5766		

- An additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF-Profile, and ACATS Fund/SERV services, as detailed below:

First Trade Date, July 1, 2010:

ALPS Distributors, Inc./CRM Funds	No.	6619
Networking Symbol:	7D	
Contact: Bryan Metzler		
Phone: (720) 917-0725		

- Please update the NSCC Directory dated June 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>Executing Broker Name Change Effective First Trade, June 23, 2010</u>				
From: Broadpoint Amtech Inc.	BSSC	0352	AMTR	
To: Gleacher & Company Securities, Inc.	BSSC	0352	AMTR	

- Please update the NSCC Directory dated June 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>Delete Last Trade Date, June 21, 2010</u>				
The Keystone Equities Group LP	PERS	0443	TKEG	
Okoboji Financial Services, Inc.	PERS	0443	BOJI	
Thomas J. Herzfeld & Co., Incorporated	FCCP	0441	HERF	
Askar Corp.	FCCP	0441	ASKR	
Cresap	FCCP	0441	CSAP	
Equitable Advisors, Inc.	FCCP	0441	STAD	
RDSC, LLC	FCCP	0441	RDSS	
Thomas McDonald Partners, LLC	FCCP	0441	TMCD	
Riverstone Wealth Management, Inc.	FCCP	0441	RSWM	
American Heritage Securities, Inc.	FCCP	0441	AHSI	
<u>Delete Last Trade Date, June 23, 2010</u>				
Brimberg & Co.	PERS	0443	BRIM	
<u>Delete Last Trade Date, June 24, 2010</u>				
Capital Path Securities, LLC	LSCI	0512	CAPT	
Fimat Preferred LLC	PCAP	0608	FCAL	
<u>Delete Last Trade Date, June 25, 2010</u>				
W. Quillen Securities	SILK	0501	QUIL	
<u>Add First Trade Date, June 24, 2010</u>				
Fortis Clearing Americas LLC	SHMR	0695	TEZF	

Add First Trade Date, June 25, 2010

Electronic Transaction Clearing, Inc.
Wedbush Securities, Inc.

ETCC	0873	ETAD
WEDB	0103	WMDR

Add First Trade Date, June 28, 2010

NASDAQ Options Services, LLC

NQOP	0520	PHLY
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Add First Trade Date, July 6, 2010

Direct Access Brokerage Services, Inc.

WEDB	0103	DIRW
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- Please update the NSCC Directory dated June 2010 (for Municipal Bond Comparison System) as detailed below:

<u>Clearing Broker</u>		<u>Executing Broker</u>	
<u>Identifiers</u>		<u>Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Add First Trade Date, June 24, 2010

KGS Alpha Capital Markets LLC

PERS	0443	KGSA
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If you have any questions regarding this notice, please contact Fredric Epstein (813) 470-1180 or E-mail NSCCAA@DTCC.com