

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6488
P&S#: 6058
DATE: August 10, 2007
TO: ALL PARTICIPANTS
ATTENTION: MANAGER, PURCHASES AND SALES DEPARTMENT
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS
MUNICIPAL BOND COMPARISON PARTICIPANTS
FROM: Pablo Cubi
Membership Services
SUBJECT: CHANGES IN THE LIST OF PARTICIPANTS

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

Last Trade Date, August 09, 2007:

TCW Investment Management Company/Sogulex Funds No. 5756

Last Trade Date, August 10, 2007:

UMB Distribution Services, LLC/Sparx Funds Trust No. 5842

- The following firm will no longer participate in the Trade Comparison and Trade Recording services, as detailed below:

Last Trade Date, August 07, 2007:

Cantor Fitzgerald & Co./Castleoak Securities, L. P. No. 0612

- The following firm will begin participation in the OTC Comparison and Municipal Bond Comparison services, as detailed below:

First Trade Date, August 08, 2007:

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

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

First Trade Date, August 10, 2007:

Penson Financial Services, Inc. No. 0234
Listed Alpha Identifier PN

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

First Trade Date, August 16, 2007:

Investacorp No. 0138
Networking Code: MB
Contact: Rana Chander
Phone: (305) 557-3000 ext. 366

- The following firm will begin participation in the ACATS, RECAPS, and Envelope Settlement services as detailed below:

First Trade Date, August 10, 2007:

LBBW Securities, LLC No. 0181
Envelope Location: (New York)

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

First Trade Date, August 15, 2007:

Adirondack Funds No. 6613
Networking Code: LM
Contact: Greg Roeder
Phone: (518) 690-0470

- An additional number has been assigned to PFPC Distributors, Inc. (#6658) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, Mutual Fund Profile Phase I, and ACATS Fund/SERV services, as detailed below:

First Trade Date, August 13, 2007:

PFPC Distributors, Inc./Sparx Funds Trust No. 5842
Networking Code: E4
Contact: Jayda Burke
Phone: (508) 871-3717

- An additional number has been assigned to Nuveen Investments, LLC (#5520) for the purpose of utilizing the Fund/SERV, Networking, and Mutual Fund Profile Phase I & II services, as detailed below:

First Trade Date, August 13, 2007:

Nuveen Investments, LLC/Dublin Funds	No. 4828
Networking Code:	LW
Contact: Sheri Snowden	
Phone: (312) 917-7843	

- Kindly update the NSCC Directory dated April 06, 2007 (for OTC Executed-By-List and 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, August 10, 2007:

Reliance Worldwide Investments, LLC	SWST	0279	RWWI
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Clearing Broker Change, Effective First Trade Date, August 10, 2007:

From: SBK-Brooks Investment Corp.	NFSC	0226	SBKB
To: SBK-Brooks Investment Corp.	MLCO	0161	SBKS

- Kindly update the NSCC Directory dated April 06, 2007 (for OTC Executed-By List) 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, August 09, 2007:

Eroom Securities L.L.C.	SILK	0501	EROS
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Add First Trade Date, August 13, 2007:

Merlin Securities, LLC	PRST	0551	RLIN
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Add First Trade Date, August 15, 2007:

J.P. Morgan Securities Inc.	JPMS	0060	JPMG
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If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545.