

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6512  
**P&S#:** 6082  
**DATE:** October 5, 2007  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Linda Shackelton  
Account Administration  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, October 04, 2007:**

Rafferty Capital Markets, LLC/Texas Cap Value FDS No. 5561

**Last Trade Date, October 05, 2007:**

SHON-EX, LLC No. 0178

- The following firm will change their name only as detailed below:

**Effective First Trade Date October 05, 2007:**

From: NYFIX Clearing Corporation No. 0294

To: NYFIX Securities Corporation No. 0294

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

**First Trade Date, October 08, 2007:**

U S Boston Capital Corp No. 4919

- The following firm will be participating in the When Issued Municipal Bond Comparison System, as detailed below:

**First Trade Date, October 02, 2005:**

Calyon Securities (USA) Inc.	No. 0651
Muni Alpha Identifier	LYON

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

**First Trade Date, October 02, 2007:**

CUNA Brokerage Services, Inc./CBSI	No. 0509
Networking Code:	RD
Contact: Mark Backes	
Phone: (319) 483-2400	

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, October 05, 2007:**

Quasar Distributors LLC/Empiric Funds	No. 5561
Networking Code:	HY
Contact: Casandra Sauer	
Phone: (414) 347-5766	

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, October 05, 2007:**

Quasar Distributors LLC/Fusion Funds	No. 5125
Networking Code:	Q7
Contact: Casandra Sauer	
Phone: (414) 347-5766	

- An additional number has been assigned to Penson Financial Services, Inc (#0234) for the purpose of utilizing the NYSE, AMEX Listed Comparison and RECAPS services, as detailed below:

**First Trade Date, October 5, 2007:**

Penson Financial Services, Inc./Schon-EX LLC	No. 0178
Listed Alpha Identifier:	SHM

- Kindly update the NSCC Directory dated July 11, 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>
<b><u>Delete Last Trade Date, October 01, 2007:</u></b>			
Ferris, Baker Watts Incorporated	NFSC	0226	ALAS
<b><u>Delete Last Trade Date, October 04, 2007:</u></b>			
Firstmerit Securities, Inc.	NFSC	0226	FMIT
Rosenthal Collins Securities L.L.C.	NFSC	0226	RCSL
BC Ziegler and Co./Special Account	NFSC	0226	GSTS
<b><u>Add First Trade Date, October 03, 2007:</u></b>			
BankersBanc Capital Corporation	SALI	0750	BBCC
Charter Pacific Securities, LLC	SALI	0750	CPSL
<b><u>Add First Trade Date, October 05, 2007:</u></b>			
Pershing & Co. Inc.	PERS	0443	PERG
<b><u>Clearing Broker Change, Effective First Trade Date, October 08, 2007:</u></b>			
From: Chicago Securities Corp.	MSRO	0727	TPSC
To: Chicago Securities Corp.	MLCO	0161	TPSC

- Kindly update the NSCC Directory dated July 11, 2007 (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>
<b><u>Add First Trade Date, October 03, 2007:</u></b> Gelber Securities, LLC	SHMR	0695	GELB	
<b><u>Add First Trade Date, October 05, 2007:</u></b> Lime Brokerage, LLC	ACRA	0436	LIMA	
<b><u>Add First Trade Date, October 08, 2007:</u></b> Wedbush Morgan Securities Inc.	WEDB	0103	WEDX	
<b><u>Clearing Broker Change, Effective First Trade Date, October 04, 2007:</u></b> From: Infinium Securities Inc. To: Infinium Securities Inc.	ECEE	5063	INFC	
	PFSI	0234	INFC	

- Kindly update the NSCC Directory dated July 11, 2007 (for Municipal Bond Comparison System) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<b><u>Delete Last Trade Date, October 01, 2007:</u></b> Persimmon Securities, Inc.	FCCP	0141	COWS	
<b><u>Add First Trade Date, October 02, 2007:</u></b> CommerzeBank Capital Corp.	PERS	0443	CCMC	

If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545.