

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6518  
**P&S#:** 6088  
**DATE:** October 26, 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 25, 2007:**

The Giles Organization, Inc. No. 6486

**Last Trade Date, October 26, 2007:**

Quasar Distributors, LLC/Womens Equity Mutual Fund No. 5625

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

**Effective First Trade Date October 22, 2007:**

From: Calamos Financial Services Inc No. 5835

To: Calamos Financial Services LLC No. 5835

- The following firm will begin participation in the Mutual Fund Profile Phase I service, as detailed below:

**First Trade Date, October 24, 2007:**

ALPS Distributors Inc./Financial Investors Variable Insurance Trust No. 6609

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

**First Trade Date, November 01, 2007:**

Quasar Distributors, LLC/AIP Alternative Strategies Funds No. 5449

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

**First Trade Date, October 24, 2007:**

Oppenheimer Trust Company No. 0303  
 Networking Code: SI  
 Contact: Richard Chirco  
 Phone: (212) 688-8061

- The following firm will begin participation in the Fund/SERV, Networking, Commission Settlement, and Mutual Fund Profile Phase I & II services, as detailed below:

**First Trade Date, October 24, 2007:**

Prudential Insurance Company of America No. 4968  
 Networking Code: SM  
 Contact: Alvin Kelly  
 Phone: (973) 716-8980

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

**First Trade Date, October 26, 2007:**

Foreside Distribution Services, LP/Free Enterprise Action Fund No. 5618  
 Networking Code: RY  
 Contact: Scott Roseberry  
 Phone: (614) 470-8862

- An additional number has been assigned to JPMorgan Chase Bank National Association (#0902) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, October 29, 2007:**

JPMorgan Chase Bank/PB-PCS Shared Services No. 6652  
 Networking Code: SS  
 Contact: Kevin Speert  
 Phone: (614) 213-6008

- Kindly update the NSCC Directory dated October 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>Add First Trade Date, October 25, 2007:</u></b>		
Colby & White, LP	NACI 0297	CWLP
<b><u>Add First Trade Date, October 29, 2007:</u></b>		
Penson Financial Services, Inc.	PFSI 0234	PFSU
Penson Financial Services, Inc.	PFSI 0234	PFSS
<b><u>Clearing Broker Change, Effective First Trade Date, October 24, 2007:</u></b>		
From: Jeffrey Matthews Financial Group, L.L.C	NFSC 0226	JEFM
To: Jeffrey Matthews Financial Group, L.L.C	0235	JEFM
<b><u>Clearing Broker Change, Effective First Trade Date, October 26, 2007:</u></b>		
From: NW Capital Markets Inc.	PERS 0443	NWCM
To: NW Capital Markets Inc.	SWST 0279	NWCM
<b><u>Clearing Broker Change, Effective First Trade Date, October 29, 2007:</u></b>		
From: Kildare Capital	SWST 0279	KILD
To: Kildare Capital	QRCC 0158	KILD
<b><u>Clearing Broker Change, Effective First Trade Date, October 31, 2007:</u></b>		
From: Equity Station, Inc.	MLCO 0161	ESTA
To: Equity Station, Inc.	PFSI 0234	ESTA
<b><u>Clearing Broker Change, Effective First Trade Date, November 01, 2007:</u></b>		
From: ASD Financial Services Corp	LGNT 0052	ASDF
To: ASD Financial Services Corp	QRCC 0158	ASDF

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	<u>Clearing Broker</u>		<u>Executing Broker</u>
	<u>Identifiers</u>		<u>Identifiers</u>
<b><u>Add First Trade Date, October 25, 2007:</u></b>			
Seven Points Capital, LLC	PFSI	0234	SEVP
<b><u>Clearing Broker Change, Effective First Trade Date, October 29, 2007:</u></b>			
From: H.C. Wainwright & Co., Inc.	ETRS	0385	HCWT
To: H.C. Wainwright & Co., Inc.	QRCC	0158	HCWT

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

	<u>Clearing Broker</u>		<u>Executing Broker</u>
	<u>Identifiers</u>		<u>Identifiers</u>
<b><u>Add First Trade Date, October 26 2007:</u></b>			
Spire Securities, LLC	NFSC	0226	SPLC
<b><u>Add First Trade Date, October 29, 2007:</u></b>			
Penson Financial Services, Inc.	PFSI	0234	PFSP
<b><u>Clearing Broker Change, Effective First Trade Date, October 29, 2007:</u></b>			
From: Kildare Capital	SWST	0279	KCAP
To: Kildare Capital	QRCC	0158	KCAP

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