

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6574  
**P&S#:** 6144  
**DATE:** February 8, 2008  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Linda Shackleton  
Account Administration  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

- The following firms will retire from all services as detailed below:  
**Last Trade Date, February 08, 2008:**  
UMB Distribution Services, LLC/The Institute of Wealth Management No. 4889  
  
**Last Trade Date, February 14, 2008:**  
E.I.I. Realty Security Trust No. 6579
- The following firm will change their name only as detailed below:  
**Effective First Trade Date February 07, 2008:**  
From: American Skandia Life Assurance Corp. No. 4504  
To: Prudential Annuities Life Assurance Corporation No. 4504
- The following firm will begin participation in the ACATS Fund/SERV service, as detailed below:  
**First Trade Date, February 11, 2008:**  
Legg Mason Investor Services, LLC/LM Instl Funds Advisors No. 5652

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

**First Trade Date, February 11, 2008:**

Interactive Brokers LLC./Retail	No. 0534
Networking Code:	XK
Contact: Brian J Sussman	
Phone: (203) 618-5768	

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

**First Trade Date, February 15, 2008:**

PFPC Distributors Inc./EII Realty Securities Trust	No. 6579
Networking Code:	7Z
Contact: Jayda Burke	
Phone: (508) 871-3717	

- Kindly update the NSCC Directory dated January 4, 2008 (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>

**Delete Last Trade Date, February 04, 2008:**

Agora Senior Securities Corp.	JEFF	0019	AGOR
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**Add First Trade Date, February 11, 2008:**

Kipling Jones & Co., LTD	SALI	0750	KJCO
Consultiva Securities, Inc	FCCP	0141	CONS
Askar Corp.	FCCP	0141	ASKR
C.E.Gaye & Sons Securities LTD.	FCCP	0141	PUMP

**Clearing Broker and Name Change, Effective First Trade Date, February 07, 2008:**

From: Frank Implementation Svcs, Inc. Pt Russill Inv Grp	MLCO	0161	RSSE
To: Russell Implementation Svcs, Inc. Pt of Russell Inv	JEFF	0019	RSSE

- Kindly update the NSCC Directory dated January 4, 2008 (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>
<b><u>Delete Last Trade Date, February 06, 2008:</u></b>				
Capital Growth Financial, LLC	NFSC	0226	CGFL	
<b><u>Add First Trade Date, February 11, 2008:</u></b>				
AOS, Inc.	PCAP	0608	AOSD	
Link Brokers Derivatives Corporation	SILK	0501	LINX	
Penson Financial Services, Inc.	PFSI	0234	PFMB	
Penson Financial Services, Inc.	PFSI	0234	PFQU	
Penson Financial Services, Inc.	PFSI	0234	PFLG	

If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545 or Bill Marcellus at (813) 470-1224.