

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6630  
**P&S#:** 6200  
**DATE:** June 6, 2008  
**TO:** All Participants  
**ATTENTION:** Manager, Purchaser 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 firm will no longer participate in the Mutual Fund Profile Phase II service, as detailed below:

**Last Trade Date, June 6, 2008:**

Great American Advisors, Inc.

No. 0726

- The following firm will no longer participate in the Trade Recording, Trade Comparison, Fund/SERV, Networking, ACATS Fund/SERV, Commission Settlement, and RECAPS services, as detailed below:

**Last Trade Date, June 13, 2008:**

Neuberger Berman LLC

No. 0155

Listed Alpha-Identifier:

NB

OTC / Municipal Alpha-Identifier:

NEUB

Networking Symbol:

2N

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

**First Trade Date, June 10, 2008:**

Neuberger & Berman Management, Inc.

No. 5810

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

**First Trade Date, June 13, 2008:**

PFPC Distributors, Inc./Index IQ Trust No. 6505  
 Networking Symbol: 1H  
 Contact: Jayda Burke  
 Phone: (508) 871-3717

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

**First Trade Date, June 13, 2008:**

ING Financial Advisers No. 0172

- Please update the NSCC Directory dated April 4, 2008 (for OTC Executed-By List and 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>

**Executing Firm Name Change, Effective**

**First Trade Date, June 5, 2008:**

From: ThinkEquity Partners, LLC	QRCC	0158	THNK
To: ThinkPanmure LLC	QRCC	0158	THNK

**Clearing Broker Changes, Effective**

**First Trade Date, June 6, 2008**

From: Elish and Elish Brokerage and Research	-	0235	ELSH
To: Elish and Elish Brokerage and Research	LGNT	0052	ELSH

From: Bluechip Securities, Inc.	LGNT	0052	BCSI
To: Bluechip Securities, Inc.	FSWC	0309	BCSI

**Add First Trade Date, June 2, 2008**

Rhino Trading Partners, LLC	BSSC	0352	RINO
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**Add First Trade Date, June 9, 2008**

Wedbush Morgan Securities Inc.	SHMR	0695	WEDR
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- Please update the NSCC Directory dated April 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, May 30, 2008</u></b>				
Kyson & Company	NFSC	0226	KYSN	
<b><u>Delete Last Trade Date, June 5, 2008</u></b>				
First Republic Group, LLC	PERS	0443	REPG	
<b><u>Delete Last Trade Date, June 10, 2008</u></b>				
Kensington Capital Corp.	SWST	0279	KENS	
Shelby Cullom Davis & Co., LP.	SWIS	0012	DAVI	
<b><u>Add First Trade Date, June 3, 2008</u></b>				
Wedbush Morgan Securities Inc.	PFSI	0234	GNSM	
Penson Financial Services, Inc.	PFSI	0234	PFRT	
<b><u>Add First Trade Date, June 5, 2008</u></b>				
Max International Broker/Dealer Corp.	FSWC	0309	MAXI	
<b><u>Add First Trade Date, June 6, 2008</u></b>				
Success Trade Securities, Inc.	LGNT	0052	STJT	
<b><u>Add First Trade Date, June 10, 2008</u></b>				
Wedbush Morgan Securities Inc.	GNDT	0118	GNSS	
Wedbush Morgan Securities Inc.	GNDT	0118	GNSR	
Wedbush Morgan Securities Inc.	GNDT	0118	GNSQ	
Wedbush Morgan Securities Inc.	GNDT	0118	GNSP	
Wedbush Morgan Securities Inc.	GNDT	0118	GNSN	

- Please update the NSCC Directory dated April 4, 2008 (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>
<b><u>Clearing Broker Change, Effective</u></b>				
<b><u>First Trade Date, June 11, 2008</u></b>				
From: Shelby Cullom Davis & Co., LP	SWIS	0012	DAVI	
To: Shelby Cullom Davis & Co., LP	NFSC	0226	DAVI	

If you have any questions regarding this notice, please contact Bill Marcellus at (813) 470-1224, Melanie Maingot at (813) 470-1225, or e-mail NSCCAA@DTCC.com