

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6657  
**P&S** 6227  
**DATE:** July 11, 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

- Effective with the close of business on July 10, 2008, NASDAQ Stock Market Inc.'s account number 0734 was assumed by NASDAQ Stock Market LLC. As a result, the following changes occur:

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

From: NASDAQ Stock Market Inc. No. 0734  
OTC Alpha Identifier: CAES

To: NASDAQ Stock Market LLC No. 0734  
OTC Alpha Identifier CAES

*NASDAQ Stock Market LLC (#0734) assumed all open contracts for NASDAQ Stock Market Inc., which is to be cleared or settled through or by National Securities Clearing Corporation.*

- An additional number has been assigned to NASDAQ Stock Market LLC (#0734) OTC Comparison and RECAPS services, as detailed below:

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

NASDAQ Stock Market LLC/Omnibus Account No. 0759  
\*\*\*OTC Alpha Identifier NSDQ

\*\* For more details regarding "NSDQ", please see page 3 of this notice.

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

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

Foreside Distribution Services LP/Citi Group Institutional Trust Group Trust for Retirement Plans No. 5638  
 Networking Code: 0I  
 Contact: Scott Roseberry@citi.com  
 Phone: (614) 470-8862

- An additional number has been assigned to Morgan Stanley & Co Inc.(#5857) for the purpose of utilizing the Fund/SERV, Networking and Mutual Fund Profile Phase I services, as detailed below:

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

Morgan Stanley & Co. Inc./Liquidity Fund No. 5767  
 Networking Code: 0H  
 Contact: David Riley  
 Phone: (201) 830-6314

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

**First Trade Date, July 09, 2008:**

Vanguard Marketing Corporation No. 5772

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

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

Scottrade, Inc. No. 0705

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

**First Trade Date, July 14, 2008:**

Lockton Financial Advisors, LLC No. 5705

- The following firms will begin participate in the Mutual Fund Profile Phase II service, as detailed below:

**Last Trade Date, July 10, 2008:**

Natixis Distributors, LP/Natixis International Funds (Dublin) No. 6678  
 Natixis Distributors, LP/Natixis International Funds (LUX) No. 6677

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

**Last Trade Date, July 7, 2008:**

Instinet, LLC/IB Account No. 0004

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

**Last Trade Date, July 09, 2008:**

Forside Distribution Services LP/The Blue Fund Group No. 6623

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

**Last Trade Date, July 10, 2008:**

LaSalle National Bank/Broker Dealer No. 2685

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

**Last Trade Date, July 11, 2008:**

MFS Fund Distributors, Inc. I No. 0764

MFS Fund Distributors, Inc./Commission Settlement Account No. 0350

MFS Heritage No. 5969

- Please update the NSCC Directory dated July 3, 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>

**Add First Trade Date July 11, 2008:**

Oceancross Capital, Inc.	TNTO	0364	OCRS
Zeus, Securities, Inc	PFSI	0234	ZEUS

- Please update the NSCC Directory dated July 3, 2008 (for OTC Executed-By List) as detailed below:

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<u>Identifiers</u>		<u>Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

**Delete Last Trade Date July 10, 2008:**

***NASDAQ Execution Services, LLC	BRUT	0568	NSDQ
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**Clearing Broker Change, Effective**

**First Trade Date July 8, 2008:**

TradeLink Securities, LLC	PXCO	0671	TRLN
TradeLink Securities, LLC	PRST	0551	TRLN

**Add First Trade Date, July 9, 2008:**

First Brokers Securities LLC	SILK	0501	FBSL
Penson Financial Services, Inc.	PFSI	0234	PBBS
Penson Financial Services, Inc.	PFSI	0234	PFTK
Penson Financial Services, Inc.	PFSI	0234	PFVI
Penson Financial Services, Inc.	PFSI	0234	PFEQ
Penson Financial Services, Inc.	PFSI	0234	PFJD

**Add First Trade Date, July10, 2008:**

Penson Financial Services, Inc.	PFSI	0234	PGST
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**Add First Trade Date, July11, 2008:**

Penson Financial Services, Inc.	PFSI	0234	PFOT
Emerald Investments, Inc.	PFSI	0234	EMII
KCCI, Ltd	PFSI	0234	KCCP
Fortis Securities, LLC/SL	FTIS	7253	FSSL

- Kindly update the NSCC Directory dated July 3, 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>

**Clearing Broker Change and Executing Broker Name**

**Change Effective First Trade Date, July, 8, 2008:**

Sanders Morris Harris Inc.	QRCC	0158	SMHI
SMH Capital Inc,.	PERS	0443	SMHI

If you have any questions regarding this notice, please contact Bill Marcellus at (813) 470-1224, Paul Du Jat at (813) 470-1221, or e-mail NSCCAA@DTCC.com.