

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6669  
**P&S** 6239  
**DATE:** August 1, 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 firms will retire from all services, as detailed below:

**Last Trade Date, July 31, 2008:**

SEI Investments Distribution Company/Old Mutual II Funds	No. 5750
SunTrust Bank/Dealer Inc.	No. 2482

**Last Trade Date, August 4, 2008:**

Aegis Financial Corporation	No. 6612
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- The following firm will begin participation in the Municipal Bond Comparison System, as detailed below:

**First Trade Date, August 1, 2008:**

SunTrust Robinson Humphrey Inc.	No. 2482
Muni Alpha Identifier:	STCM

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

**First Trade Date, August 1, 2008:**

Barclays Global Investors, N.A.	No. 4722
Networking Code:	IG
Contact: Steven Jhun	
Phone: (415) 908-7421	

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

**First Trade Date, July 30, 2008:**

Foreside Distribution Services LP/Old Mutual Funds No. 5750  
 Networking Code: PL  
 Contact: Jodi Akers  
 Phone: (720) 200-7673

- An additional number has been assigned to Rafferty Capital Markets, LLC (#5726) for the purpose of utilizing the Fund/SERV, Networking and Mutual Funds Profile Phase I and II services, as detailed below:

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

Rafferty Capital Markets, LLC/Aegis Funds No. 6612  
 Networking Code: 8M  
 Contact: Angela Hearden  
 Phone: (414) 299-2434

- The following firm will no longer participate in the Trade Comparison and Trade Recording services, as detailed below:

**Last Trade Date, July 31, 2008:**

Wedbush Morgan Securities, Inc./BATS No. 108  
 OTC Alpha Identifier: WMBZ

**Last Trade Date, August 12, 2008:**

Payson (H.M.) & Co. No. 0449  
 OTC Alpha Identifier: HMPB

- The following firm will no longer participate in the Networking and Commission Settlement services, as detailed below

**Last Trade Date, August 1, 2008:**

Neuberger Berman Management Inc./Lehman Brothers Collective Trust No. 6591

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

**First Trade Date, August 1, 2008:**

From: SunTrust Bank/Wealth A& Investment Management No. 2971  
 To: SunTrust Bank No. 2971

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

From: DWS Scudder Distributors, Inc. No. 5503  
 To: DWS Investments Distributors, Inc. No. 5503

From: DWS Scudder Distributors, Inc./Deutsche Bank Trust No. 5549  
 To: DWS Investments Distributors, Inc./Deutsche Bank Trust No. 5549

- 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>
<b><u>Clearing Broker Change Effective First Trade Date</u></b>				
<b><u>August 18, 2008:</u></b>				
From: Carolina Capital Markets, Inc.	FCCP	0141	CARC	
To: Carolina Capital Markets, Inc.	CLRV	0702	CARC	

- Please update the NSCC Directory dated July 3, 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>Add First Trade Date, August 4, 2008:</u></b>				
<b><u>Delete Last Trade Date July 30, 2008:</u></b>				
Feldman, Ingardona & Co.	NFSC	0226	FMAC	
<b><u>Delete Last Trade Date July 31, 2008:</u></b>				
BATS Trading, Inc.	WMBZ	0108	BATZ	
<b><u>Clearing Broker Change, Effective First Trade Date,</u></b>				
<b><u>July 29, 2008:</u></b>				
From: Kabrik Trading, LLC	NFSC	0226	KBRK	
To: Kabrik Trading, LLC	AFCO	0284	KBRK	
<b><u>Clearing Broker Change, Effective First Trade Date,</u></b>				
<b><u>August 18, 2008:</u></b>				
From: Oppenheimer & Co., Inc.	CIBC	0438	WMAG	
To: Oppenheimer & Co., Inc.	OPCI	0571	WMAG	
<b><u>Add First Trade Date, July 31, 2008:</u></b>				
Cambridge Discount Brokerage, Inc.	PFSI	0234	EVAL	
Radnor Research & Trading Company LLC	PFSI	0234	RTCO	

**Add First Trade Date, August 4, 2008:**

NSX Securities LLC	ANDZ	0442	NSXS
Wedbush Morgan Securities Inc.	BSSC	0352	WMSQ

**Add First Trade Date, August 7, 2008:**

Penson Financial Services, Inc.	PFSI	0234	PFKN
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- 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>

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

Credit Suisse Private Advisors	NFSC	0226	CSPA
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**Add First Trade Date, August 18, 2008:**

Oppenheimer & Co., Inc.	OPCI	0571	WMAG
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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.