

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**#:** 6693 P&S: 6263  
**Date:** September 12, 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 begin participation in the ACATS service, as detailed below:  
**First Trade Date, September 8, 2008:**  
Banc of America Securities, LLC/Banc of America Financial Services, Inc No. 2154
- The following firm will begin participation in the Networking service, as detailed below:  
**First Trade Date, September 11, 2008:**  
Northwestern Mutual Investment Services, LLC No. 0171  
Networking Symbol: 2Z  
Contact: Robert Wright  
Phone: (414) 865-5633
- An additional number has been assigned to Foreside Distribution Services, LP (#4967) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, DCC&S, Mutual Fund Profile Phase I, and ACATS Fund/SERV services, as detailed below:  
**First Trade Date, September 15, 2008:**  
Foreside Distribution Services, LP/IVA Fiduciary Trust No. 4724  
Networking Symbol: 1H  
Contact: Rob Manupelli  
Phone: (617) 483-7406

Non-Confidential

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- An additional number has been assigned to Northern Lights Distributors LLC (#4915) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, DCC&S, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, September 16, 2008:**

Northern Lights Distributors, LLC / First Focus Funds  
 Networking Symbol:  
 Contact: Mike Nielsen  
 Phone: (402) 493-1731 x3

No. 5853  
 NS

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

**First Trade Date, September 18, 2008:**

Lavaflow, Inc.

No. 0681

- 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 Identifiers</u> |                | <u>Executing Broker Identifiers</u> |                |
|--|------------------------------------|----------------|-------------------------------------|----------------|
|  | <u>Alpha</u>                       | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
| <b><u>Delete Last Trade Date, September 11, 2008</u></b><br>Tullett Liberty Securities, Inc. | NFSC                               | 0226           | TLIB                                |                |
| <b><u>Add First Trade Date, September 11, 2008</u></b><br>Henley & Company LLC               | PERS                               | 0443           | HENY                                |                |
| <b><u>Add First Trade Date, September 12, 2008</u></b><br>Unibanco Securities Inc            | PERS                               | 0443           | UNIB                                |                |

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

|  | <u>Clearing Broker Identifiers</u> |                | <u>Executing Broker Identifiers</u> |                |
|--|------------------------------------|----------------|-------------------------------------|----------------|
|  | <u>Alpha</u>                       | <u>Numeric</u> | <u>Alpha</u>                        | <u>Numeric</u> |
| <b><u>Delete Last Trade Date, September 10, 2008</u></b><br>Mackie (R.A.) & Co. L.P.     | BSSC                               | 0352           | MACK                                |                |
| Morton Clarke Burns Fu & Metcalf   | NFSC                               | 0226           | MCFM                                |                |
| <b><u>Add First Trade Date, September 8, 2008</u></b><br>Penson Financial Services, Inc. | PFSI                               | 0234           | PFSW                                |                |
| Penson Financial Services, Inc.  | PFSI                               | 0234           | PFSV                                |                |
| Success Trade Securities, Inc.   | LGNT                               | 0052           | VERN                                |                |

**Add First Trade Date, September 10, 2008**

Fortis Clearing Americas LLC  
Wedbush Morgan Securities, Inc.

|      |      |      |
|------|------|------|
| SHMR | 0695 | FCOU |
| WEDB | 0103 | WMSK |

**Add First Trade Date, September 11, 2008**

CD Funding Securities, LLC

|      |      |      |
|------|------|------|
| LGNT | 0052 | CDFS |
|------|------|------|

**Add First Trade Date, September 12, 2008**

Rainmaker Securities, LLC  
TD Securities (USA) LLC

|      |      |      |
|------|------|------|
| PFSI | 0234 | RMKR |
| PRST | 0551 | TDNY |

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.