

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**A#:** 6723  
**P&S#** 6793  
**Date:** October 10, 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, October 09, 2008:**

State Street Bank & Trust Company/Goldman Sachs & Co. No. 6587

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

TD Ameritrade Trust Company No. 5961

Northern Lights Distributors LLC/XTF Investors Trust No. 4909

- The following firm will no longer participate in the OTC Comparison service, as detailed below:

**Last Trade Date, October 08, 2008:**

BirchWood Securities Corp. No 8054  
OTC / Alpha Identifier: BCHW

Non-Confidential

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- Effective with the opening of business on October 14, 2008, ING Bearing Corp. will be assumed by ING Financial Markets, LLC. As a result, the following changes will occur:

**Effective First Trade Date, October 14, 2008:**

From: ING Bearing Corp.	No. 0270
To: ING Financial Markets, LLC	No. 0270

*ING Financial Markets, LLC (#0270) will assume all open contracts for ING Bearing Corp. (#0270), which is to be cleared or settled through or by National Securities Clearing Corporation.*

- The following firm will no longer participate in the Commission Settlement service, as detailed below:

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

Scottrade, Inc.	No. 0705
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- The following firms will change their names only, as detailed below:

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

From: TD Ameritrade Trust Company/IRP Services	No. 5982
To: TD Ameritrade Trust Company	No. 5982

- An additional number has been assigned to Bank of America N.A.(#0955) for the purpose of utilizing the Fund/SERV, Networking, ACATS, and ACATS Fund/SERV services, as detailed below:

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

Bank of America N.A / Safekeeping	No. 2236
Networking Symbol:	4L
Contact: Vince Santanna	
Phone: (980) 388-8768	

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

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

Northern Lights Distributors, LLC/ Generations No. 5941  
 Networking Symbol: 4S  
 Contact: Mike Nilesen  
 Phone: (402) 493-1731 ext. 3

- 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>

**Executing Firm Name Change and Clearing Broker Change,**

**Effective First Trade Date, October 17, 2008**

From: California Fina Group, Inc.	PERS	0443	FINS
To: Finacorp Securities	MLCO	0161	FINS

- 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>

**Clearing Broker Change,**

**Effective First Trade Date, October 9, 2008**

From: S.J. Levinson & Sons LLC	SILK	0501	SJLS
To: S.J. Levinson & Sons LLC	AFCO	0284	SJLS

**Clearing Broker and Executing Firm Name Change,**

**Effective First Trade Date, October 15, 2008**

From: Banyan Securities, LLC	BSCC	0352	BNYN
To: Banyan Securities, LLC	NFSC	0226	BNYN

**Add First Trade Date, October 6, 2008**

Allston Trading, LLC	SHMR	0695	ALTN
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**Add First Trade Date, October 7, 2008**

Princeton Securities Group, Inc.	SILK	0501	PRSG
Wedbush Morgan Securities, Inc	WEDB	0103	WEDY

**Add First Trade Date, October 8, 2008**

Kershner Securities, LLC	SILK	0501	KRSH
Dart Executions, LLC	FOCC	0690	DRTR

**Add First Trade Date October 09, 2008**

Penson Financial Services, Inc.	PFSI	0234	PFSZ
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- Please update the NSCC Directory dated July 3, 2008 for Municipal Bond Comparison System as detailed below

**Add First Trade Date, October 15, 2008**

Banyan Securities, LLC	NFSC	0226	BNYN
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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.