

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**A#:** 6728  
**P&S#** 6298  
**Date:** October 24, 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 21, 2008:**

Merrill Lynch Professional Clearing Corp/PAX #2 No. 0112

**Last Trade Date, October 23, 2008:**

Franklin/Templeton Distributors, Inc./529 College Savings Plan No. 4849

**Last Trade Date, October 28, 2008:**

Carty & Company, Inc. No. 5173

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

**First Trade Date, October 24, 2008:**

From: Quasar Distributors, LLC/Julius Baer Fund No. 6675

To: Quasar Distributors, LLC/Artio Global Fund No. 6675

Non-Confidential

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**First Trade Date, October 31, 2008:**

From: Heritage Fund Distributors, Inc. No. 5822  
To: Eagle Fund Distributors, Inc. No. 5822

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

**First Trade Date, October 22, 2008:**

SEI Investments Distribution Company/CNI Charter Funds II No. 5559

- An additional number has been assigned to Suntrust Bank (#2971) for the purpose of utilizing the Fund/SERV, Networking, and Mutual Fund Profile Phase I services, as detailed below:

**First Trade Date, October 22, 2008:**

Suntrust Bank/401K Mutual Funds Settlement No. 2810  
Networking Symbol: 5H  
Contact: Tunya Green  
Phone: (404) 933-9137

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

**First Trade Date, October 24, 2008:**

Forside Distribution Services, LP/ IVA Fiduciary Trust No. 4724

- The following firm will begin participation in the NYSE Listed Trade Recording service, as detailed below:

**First Trade Date, November 3, 2008:**

State Street Global Markets, LLC No. 0189  
Listed Alpha-Identifier: SSBS

- Please update the NSCC Directory dated October 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>Add First Trade Date, October 21, 2008</u></b>				
Westor Capital Group, Inc.	PFSI	0234	WESX	

- Please update the NSCC Directory dated October 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, October 21, 2008</u></b>				
Phalanx Trading LLC	PFSI	0234	PHAL	

	<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, October 22, 2008</u></b>				
Merrill Lynch, Pierce, Fenner & Smith Incorporated	PRST	0551	MLPK	

	<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, October 24, 2008</u></b>				
Penson Financial Services, Inc.	MLCO	0161	PFWE	
Penson Financial Services, Inc.	PFSI	0234	PFSF	
Penson Financial Services, Inc.	PFSI	0234	PFSL	
Boston Merchant Financial Services, Inc.	SWST	0279	BMFS	

	<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, October 27, 2008</u></b>				
Paris Securities Corporation	SHMR	0695	PARR	

- Please update the NSCC Directory dated October 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>

**Delete Last Trade Date, October 21, 2008**

Peyton, Chandler, & Sullivan, Inc.

NFSC      0226      PCSX

Warfield Associates, Inc.

NFSC      0226      WARD

**Add First Trade Date, November 3, 2008**

Hightower Securities, LLC

NFSC      0226      HTWR

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