

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6745
P&S# 6315
Date: November 21, 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, November 20, 2008:

Van Liew Securities, Inc. No. 5757

Last Trade Date, November 21, 2008

Electronic Brokerage Systems, LLC / Shadow No. 5627

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

Last Trade Date, November 19, 2008:

Investacorp No. 0138

- The following firm will no longer participate in the Mutual Profile Fund Profile II, as detailed below:

Last Trade Date, November 21, 2008:

Eaton Vance Distributors, Inc. / Wright Investor No. 5872

Non-Confidential

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- The following firm will no longer participate in the Trade Comparison & Recording, RECAPS, and Envelope Settlement Services, as detailed below:

Last Trade Date, November 24, 2008:

| | |
|-------------------------------------|----------|
| Alger (Fred) & Company Incorporated | No. 0078 |
| OTC Alpha-Identifier: | *ALGR |
| Listed Alpha-Identifier: | ALG |

* For more details regarding (ALGR) please see page 4 of this notice

- The following firm will no longer participate in the ACATS Service, as detailed below:

Last Trade Date, December 04, 2008:

| | |
|-------------------------------------|----------|
| Alger (Fred) & Company Incorporated | No. 0078 |
|-------------------------------------|----------|

- 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, November 20, 2008:

| | |
|--------------------------------------------------|----------|
| Northern Lights Distributors, LLC /The Kids Fund | No. 5105 |
| Networking Code: | 8I |
| Contact: Mike Nielsen | |
| Phone: (402) 493-1731 ex.3 | |

- The following firm will begin participation in the Municipal Comparison service, as detailed below:

First Trade Date, November 21, 2008:

| | |
|-----------------------------------|----------|
| Unionbanc Investment Services LLC | No. 6728 |
| Muni Alpha-Identifier: | MKTI |

- An additional number has been assigned to John Hancock Life & Health Insurance Company (#5164) for the purpose of utilizing the Insurance Processing Service, as detailed below:

First Trade Date, November 21, 2008:

| | |
|---------------------------------------------------|----------|
| John Hancock Life & Health Insurance Company/ LTC | No. 5910 |
|---------------------------------------------------|----------|

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> |
| <u>Delete Last Trade Date, November 19, 2008</u> | | | | |
| Spencer Clarke | PERS | 0443 | SPEN | |
| <u>Add First Trade Date, November 18, 2008</u> | | | | |
| Jesup & Lamont Securities Corp | LGNT | 0052 | JSUP | |
| <u>Add First Trade Date, November 24, 2008</u> | | | | |
| Tork Investments & research, LLC | PFSI | 0234 | TORK | |

- 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> |
| <u>Delete Last Trade Date, November 17, 2008</u> | | | | |
| Sterling Financial Investment Group, Inc. | 0226 | NFSC | SOAR | |
| <u>Add First Trade Date, November 17, 2008</u> | | | | |
| Bannockburn Partners, LLC | PFSI | 0234 | BPLC | |
| <u>Add First Trade Date, November 19, 2008</u> | | | | |
| Lighthouse Financial Group, LLC | PFSI | 0234 | LFCM | |
| <u>Add First Trade Date, November 21, 2008</u> | | | | |
| Penson Financial Services, Inc. | PFSI | 0234 | PFAA | |

Add First Trade Date, November 25, 2008

| | | | |
|-----------------------|------|------|------|
| Alger (Fred) & Co Inc | QRCC | 0158 | ALGR |
|-----------------------|------|------|------|

Add First Trade Date, December 01, 2008

| | | | |
|------------------------|------|------|------|
| S. Goldman Capital LLC | SILK | 0501 | SGCL |
|------------------------|------|------|------|

- 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> |

Clearing Broker Change,

Effective First Trade Date, November 24, 2008

| | | | |
|-------------------------------|------|------|------|
| From: Independent Brokers LLC | FSWC | 0309 | INDE |
| To: Independent Brokers LLC | NFSC | 0226 | INDE |

If you have any questions regarding this notice, please contact Paul Du Jat at (813) 470-1221 or Donald Schwartz (813) 470-1223 or e-mail NSCCAA@DTCC.com.