

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6757
P&S# 6327
Date: December 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 retire from all services, as detailed below:

Last Trade Date, December 10, 2008:

M..L. Stern & Co. LLC

No. 0581

Southwest Securities Inc. (#0279) will assume all open contracts for M.L. Stern & Co. LLC (#0581), which are to be cleared or settled through or by National Securities Clearing Corporation.

Note: Please direct all inquiries regarding the above to:

M.L.Stern & Co. LLC (#0581)

Contact: Arlene Ipapo

Phone: (323) 866-1631

Southwest Securities Inc. (#0279)

Contact: Kelly Bell

Phone: (214) 859-5125

Non-Confidential

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- The following firm will retire from all services, as detailed below:

Last Trade Date, December 12, 2008:

Ameriprise Trust Company

No. 0508

- An additional number has been assigned to State Street Bank & Trust Company (#2950) for the purpose of utilizing the Fund/SERV and Networking:

First Trade Date, December 15, 2008:

State Street Bank & Trust Company/JP Morgan Retirement Plan Services
/Deluxe Corporation

No. 5435

Networking Code:

8L

Contact: Dawn Cruickshank

Phone: (781) 302-6167

- An additional number has been assigned to Princor Financial Services Corporation(#5546) for the purpose of utilizing the Fund/SERV, Networking, and Mutual Fund Profile I & II services, as detailed below:

First Trade Date, December 15, 2008:

Princor Financial Services Corp/Principal Life Insurance Co

No. 5607

Networking Code:

8J

Contact: Matt Moffitt

Phone: (515) 362-2924

- An additional number has been assigned to Southwest Securities Inc.(#0279) for the purpose of utilizing Fund/SERV, Networking and Mutual Fund Profile I & II, as detailed below:

First Trade Date, December 16, 2008:

Southwest Securities, Inc/MLS

No. 0581

Networking Code:

LJ

Contact: Anthony Mauro

Phone: (214) 859-9168

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>

Clearing Broker Change

Effective First Trade Date, December 10, 2008

From: Westrock Capital Management, Inc		0235	WSRK
To: Westrock Capital Management, Inc	SALI	0750	WSRK

Delete Last Trade Date, December 8, 2008

Nunami Services, LLC	TNTO	0364	NAMI
Brockington Securities, Inc.	NFSC	0226	BGTN

- 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>

Clearing Broker Change

Effective First Trade Date, December 17, 2008

From: Citadel Derivatives Group LLC		CITG	0775	CCMX
To: Citadel Derivatives Group LLC	CDRG	0395	CCMX	

From: Citadel Derivatives Group LLC		CITG	0775	CEMM
To: Citadel Derivatives Group LLC	CDRG	0395	CEMM	

Delete Last Trade Date, December 9, 2008

Citadel Derivatives Group LLC	CITG	0775	CDRG
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Add First Trade Date, December 9, 2008

Libucki & Co., LLC	LSCI	0512	LBKI
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Add First Trade Date, December 10, 2008

Wedbush Morgan Securities Inc.	WEDB	0103	WISG
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Add First Trade Date, December 12, 2008

Newedge USA, LLC	PCAP	0608	NHUN
Newedge USA, LLC	PCAP	0608	NARC
Dawson James Securities, Inc	SALI	0750	DJSA

Add First Trade Date, December 15, 2008

Northpoint Trading Partners, LLC	BSSC	0352	NOPO
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Add First Trade Date, December 22, 2008

Prebon Financial Products Inc.	SILK	0501	PREB
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- Please update the NSCC Directory dated October 3, 2008 (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>

Delete Last Trade Date, December 10, 2008

AC Trading, Inc	ABNA	0425	ACTR
Octagon Trading Group, LLC	ABNA	0425	OCTA
Thornhill Securities, NC	ABNA	0425	THOR

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.