

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6765
P&S# 6335
Date: December 26, 2008
To: ALL PARTICIPANTS
Attention: Manager, Purchase 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, December 31, 2008:

| | |
|--|----------|
| Charles Schwab Trust Company | No. 5655 |
| Chicago Board Options Exchange, Incorporated | No. 0711 |

- The following firms will no longer participate in the Trade Comparison and Trade Recording services, as detailed below:

Last Trade Date, December 24, 2008:

| | |
|--|----------|
| Chicago Board Options Exchange, Incorporated | No. 0711 |
|--|----------|

Last Trade Date, December 26, 2008:

| | |
|--|----------|
| Stock Clearing Corporation of Philadelphia | No. 0796 |
| SCCP/VWAP Trading System | No. 0704 |
| SCCP/ITS | No. 0766 |
| SCCP | No. 0870 |
| SCCP/MUNI Control Account | No. 0897 |
| Horan Investments Inc./47-4 SCCP | No. 8002 |

Non-Confidential

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| | |
|---------------------------------|----------|
| Birchwood Securities Corp./SCCP | No. 8054 |
| Libucki & Co.LLC 902-2/SCCP | No. 8056 |
| McNamara Trading Co.-#2/SCCP | No. 8172 |
| McNamara Trading Co.-#3/SCCP | No. 8173 |
| McNamara Trading Co.-#4/SCCP | No. 8174 |
| McNamara Trading Co.-#5/SCCP | No. 8175 |
| McNamara Trading Co.-#6/SCCP | No. 8176 |
| McNamara Trading Co.-#7/SCCP | No. 8177 |
| McNamara Trading Co.-#9/SCCP | No. 8179 |
| Horan Investments/M/ SCCP | No. 8222 |
| McNamara Trading Co./59-M/SCCP | No. 8335 |
| Birchwood/M | No. 8363 |

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

First Trade Date, January 2, 2009:

| | |
|--|----------|
| From: Charles Schwab & Co, Inc./Charles Schwab Trust Company | No. 2993 |
| To: Charles Schwab & Co Inc/Charles Schwab Bank | No. 2993 |

| | |
|--|----------|
| From: ChicagoBoardOptions Exchange, Incorporated / Ominbus Account | No. 0739 |
| To: Chicago Board Options Exchange, Inc. | No. 0739 |

- The following firm will begin participation in Fund/SERV, Networking and Mutual Fund Profile Phase I services, as detailed below:

First Trade Date, January 2, 2009:

| | |
|-----------------------|----------|
| Charles Schwab Bank | No. 5655 |
| Networking Code: | 2U |
| Contact: Joseph Adams | |
| Phone: (602) 355-3442 | |

- 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> |

Delete Last Trade Date, December 24, 2008

Hermitage Capital

| | | |
|------|------|------|
| PERS | 0443 | HCAP |
|------|------|------|

Grayson Burger & Co.

| | | |
|------|------|------|
| BSSC | 0352 | GRBC |
|------|------|------|

Add First Trade Date, December 26, 2008

Spencer Clarke LLC

| | | |
|------|------|------|
| PERS | 0443 | SPEN |
|------|------|------|

- 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 Changes

Effective First Trade Date, December 23, 2008

From: Jackson Securities, LLC

| | | |
|------|------|------|
| MSRO | 0727 | JACK |
|------|------|------|

To: Jackson Securities, LLC

| | | |
|------|------|------|
| PERS | 0443 | JACK |
|------|------|------|

Effective First Trade Date, December 26, 2008

From: AOS, Inc.

| | | |
|------|------|------|
| PCAP | 0608 | AOSD |
|------|------|------|

To: AOS, Inc.

| | | |
|------|------|------|
| PFSI | 0234 | AOSD |
|------|------|------|

Effective First Trade Date, January 16, 2009

From: Lighthouse Financial Group, LLC

| | | |
|------|------|------|
| MLCO | 0161 | LFIN |
|------|------|------|

To: Lighthouse Financial Group, LLC

| | | |
|------|------|------|
| QRCC | 0158 | LFIN |
|------|------|------|

Delete Last Trade Date, December 22, 2008

Forge Financial Group, Inc.

| | | |
|------|------|------|
| FSWC | 0309 | FRGS |
|------|------|------|

Delete Last Trade Date, December 26, 2008

| | | | | |
|--|------|------|------|------|
| Stock Clearing Corporation of Philadelphia | SCCP | 0796 | SCCP | 0796 |
| Birchwood Securities Corp./SCCP | SCCP | 0796 | BCHW | |

Add First Trade Date, December 23, 2008

| | | | | |
|---------------------------------|------|------|------|--|
| Penson Financial Services, Inc. | PFSI | 0234 | PFAC | |
|---------------------------------|------|------|------|--|

- 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 22, 2008

| | | | | |
|---------------------------|------|------|------|--|
| Garden City Capital, Inc. | FSWC | 0309 | GCCI | |
|---------------------------|------|------|------|--|

Add First Trade Date, December 26, 2008

| | | | | |
|--|------|------|------|--|
| Mainline West Municipal Securities LLC | SWST | 0279 | MLMS | |
|--|------|------|------|--|

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.