

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6767
P&S# 6337
Date: 01/02/2009
To: **ALL PARTICIPANTS**
Attention: OPERATIONS PARTNER/OFFICER;
MANAGER P&S DEPARTMENT;
CASHIER; ACATS PARTICIPANTS;
FUND/SERV 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 29, 2008:

Summit Mutual Funds Inc. No. 5643

Last Trade Date, December 30, 2008:

CapMark Securities, Inc. No. 6020

Last Trade Date, December 31, 2008:

PFPC Distributors Inc/Northern Trust Funds No. 6633

Prudent Bear Funds Inc No. 4907

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

Birchwood Securities Corp./SCCP No. 8054

Libucki & Co., LLC 902-2/SCCP No. 8056

McNamara Specialists, LLC 797-4/SCCP No. 8162

McNamara Trading Co.-#2/SCCP No. 8172

McNamara Trading Co.-#3/SCCP No. 8173

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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
West Shore Trading Inc./6/SCCP	No. 8184
West Shore Trading Inc./M/SCCP	No. 8188
McNamara Specialists, LLC 797-3 SCCP	No. 8210
Horan Investments/M/ SCCP	No. 8222
Birchwood Securities Corp/4	No. 8223
Horan Investments/2/ SCCP	No. 8234
McNamara Specialists, LLC 797-5 SCCP	No. 8227
Aubrey & Company/615-M/SCCP	No. 8247
Aubrey & Company/615-2/SCCP	No. 8248
Aubrey & Company/615-3/SCCP	No. 8249
Aubrey & Company/615-4/SCCP	No. 8250
Aubrey & Company/615-5/SCCP	No. 8251
Aubrey & Company/615-6/SCCP	No. 8252
Aubrey & Company/615-7/SCCP	No. 8253
Aubrey & Company/615-9/SCCP	No. 8254
McNamara Trading Co.-118-2/SCCP	No. 8257
McNamara Trading Co./59-M/SCCP	No. 8335
McNamara Specialists, LLC 797-2/SCCP	No. 8290
McNamara Specialists, LLC 797-6/SCCP	No. 8296
Birchwood Securities Corp/3 SCCP	No. 8299
McNamara Specialists, LLC 797-7/SCCP	No. 8303
McNamara Specialists, LLC 797-9/SCCP	No. 8304
Equitec Specialists/S/SCCP	No. 8345
Birchwood/M	No. 8363
McNamara Trading Co./260-M	No. 8385
McNamara Trading Co./260/2	No. 8386
McNamara Trading Co./260/3	No. 8387
McNamara Trading Co./260/4	No. 8388

McNamara Trading Co./260/5	No. 8389
McNamara Trading Co./260/6	No. 8390
McNamara Trading Co./260/7	No. 8391
McNamara Trading Co./260/9	No. 8392

Last Trade Date, January 02, 2009

BNY Hamilton Distributors, Inc.	No. 5881
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- The following firms will no longer participate in the Networking service, as detailed below:

Last Trade Date, December 31, 2008:

Resrv Partners Inc	No. 5720
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- The following firm will change their name only, as detailed below:

Effective First Trade Date, January 02, 2009:

From: Foreside Fund Services, LLC/ The Japan Fund	No. 5426
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To: Foreside Fund Services, LLC/ Nomura Partners Funds, Inc.	No. 5426
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- The following firm will begin participation in the Commission Settlement service, as detailed below:

First Trade Date, December 30, 2008:

Unified Financial Securities, Inc. FBO RiverNorth Funds	No. 6520
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- The following firm will begin participation in the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERVservices, as detailed below:

First Trade Date, December 31, 2008:

Quasar Distributors LLC/ Newgate Capital Funds	No. 4727
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Networking Symbol:	5B
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Contact: Casey Sauer

Phone: (414) 347-5766

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

First Trade Date, January 02, 2009:

Forside Distribution Services, LP/Northern Trust Funds No. 6633
 Networking Symbol: 7T
 Contact: Lisa Shea
 Phone: (312) 444-4214

- 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 Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>
<u>Executing Firm Name Change,</u> <u>Effective First TradeDate: January 5, 2009</u> From: APB Financial Group, Inc. To: APB Financial Group, LLC	NFSC	0226	ALIR	
	NFSC	0226	ALIR	
<u>Delete Last Trade Date, December 29, 2008</u> Orion Trading, LLC	PFSI	0234	OREO	
<u>Delete Last Trade Date, December 31, 2008</u> Tripp & Co., Inc. Thomas Anthony & Associates, Inc.	PERS	0443	TRPP	
	PFSI	0234	TAII	
<u>Add First Trade Date, January 02, 2009</u> Waterford Investors Services, Inc.		0235	WTRI	
<u>Add First Trade Date, January 05, 2009</u> Terra Nova Financial, LLC	TNTO	0364	TNJT	

- Please update the NSCC Directory dated October 3, 2008 (for OTC Executed-By List) 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>
<u>Clearing Broker Change</u> <u>Effective First Trade Date, December 31, 2008</u> From: Walter J. Dowd, Inc. To: Walter J. Dowd, Inc.	JEFF	0019	WJDO	
	AFCO	0284	WJDO	

Delete Last Trade Date, December 29, 2008

Emerald Investments, Inc.

PFSI 0234 EMII

Delete Last Trade Date, December 31, 2008

Cambridge Discount Brokerage, Inc.

PFSI 0234 EVAL

Delete Last Trade Date, January 05, 2009

FD DE Leeuw & Associates, Trade Desk America

PFSI 0234 FDDL

Add First Trade Date January 12, 2009,

HFP Capital Markets

QRCC 0158 AMPM

- 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>

Add First Trade Date, January 05, 2009

TD Securities (USA) LLC

NFSC 0226 TDPA

Add First Trade Date January 07, 2009

Belle Haven Investments, L.P.

NFSC 0226 BHLP

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