

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 6777
P&S# 6347
Date: 01/16/2009
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, January 13, 2009:

Southwest Securities, Inc./MLS No. 0581

Last Trade Date, January 16, 2009:

Stock Clearing Corporation of America No. 0796

Last Trade Date, January 23, 2009:

Countrywide Investment Services, Inc No. 6327

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

First Trade Date, January 16, 2009:

IFS Fund Distributors, Inc./James Advantage Funds No. 5613

- The following firm will begin participation in the OTC Comparison Service, as detailed below:

First Trade Date, January 16, 2009:

NASDAQ OMX BX, Inc. No. 0163

OTC Alpha Identifier NQBX

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

First Trade Date, January 20, 2009:

HSBC Bank USA-IPB.

No. 2122

- An additional number has been assigned to Wilmington Trust Company. (#2215) for the purpose of utilizing the Fund/SERV, Networking, SDR, Commission Settlement, Mutual Fund Profile Phase I & II, services, as detailed below:
- Please update the NSCC Directory dated January 2, 2009 (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>Clearing Broker Change</u> <u>Effective First Trade Date, January 14, 2009</u> From: Rodman & Renshaw, LLC To: Rodman & Renshaw, LLC	MLCO	0161	RODM	
	PERS	0443	RODM	
<u>Delete Last Trade Date, January 15, 2009</u> FBR Investment Services, Inc	NFSC	0226	FBRS	

- Please update the NSCC Directory dated January 2, 2009 (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>Delete Last Trade Date January 09, 2009</u> Aragon Investments	CITG	0775	ARGN	
<u>Delete Last Trade Date January 14, 2009</u> Calyon Securities (USA) Inc. RGR Financial Corp	LYON	0651	LYOX	
	BSSC	0352	RGRC	
<u>Add First Trade Date January 14, 2009</u> Lamost Capital LC	PFSI	0234	POST	
<u>Add First Trade Date January 20, 2009</u> Penson Financial Services, Inc.	PFSI	0234	PFAE	

Add First Trade Date February 02, 2009

MG Securities LLC

QRCC 0158 MGBD

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