

IMPORTANT NOTICE

National Securities Clearing Corporation



A#: 7098
P&S#: 6669
Date: 11/12/10
To: **ALL PARTICIPANTS**
Attention: OPERATIONS PARTNER/OFFICER;
MANAGER P&S DEPARTMENT;
CASHIER; ACATS PARTICIPANTS;
FUND/SERV PARTICIPANTS; MUNICIPAL BOND
COMPARISON PARTICIPANTS
From: Adrean Hinojosa, Account Administration
Subject: CHANGES IN THE LIST OF PARTICIPANTS

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

Last Trade Date, November 11, 2010:

| | | |
|---|-----|------|
| National Financial Services, LLC/SunTrust Capital Markets | No. | 0218 |
| Prudential Equity Group, Inc. | No. | 0583 |

- Please update the NSCC Directory dated October 2010 (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 Effective First Trade Date, December 1, 2010</u> | | | | |
| From: Thomas Weisel Partners LLC | NFSC | 0226 | TWPT | |
| To: Thomas Weisel Partners LLC | STFL | 0793 | TWPT | |
| <u>Delete Last Trade Date, November 12, 2010</u> | | | | |
| Kellogg Capital Markets, LLC | SILK | 0501 | KCMA | |

- Please update the NSCC Directory dated October 2010 (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 and Executing Broker Name Change Effective First Trade Date, Nov. 15, 2010</u> | | | | |
| From: Fortis Clearing Americas, LLC | JEFF | 0019 | JEXF | |
| To: ABN AMRO Clearing Chicago LLC | WDSB | 0536 | JEXF | |
| <u>Clearing Broker Change Effective First Trade Date, November 19, 2010</u> | | | | |
| From: E*Trade Capital Markets, LLC | ETRD | 0157 | ETRD | 0157 |
| To: E*Trade Capital Markets, LLC | ECUT | 0100 | ETRD | |
| From: E*Trade Capital Markets/Special Account | GVSA | 0152 | GVSA | 0152 |
| To: E*Trade Capital Markets/Special Account | ECUT | 0100 | GVSA | |
| From: E*Trade Capital Markets/CHXL Trading | ETMM | 3550 | ETMM | 3550 |
| To: E*Trade Capital Markets/CHXL Trading | ECUT | 0100 | ETMM | |
| From: E*Trade Capital Markets/DEMP | DEMP | 3896 | DEMP | 3896 |
| To: E*Trade Capital Markets/DEMP | ECUT | 0100 | DEMP | |
| From: E*Trade Capital Markets, LLC | ETCL | 0385 | ETNY | |
| To: E*Trade Capital Markets, LLC | ECUT | 0100 | ETNY | |
| <u>Clearing Broker Change Effective First Trade Date, December 1, 2010</u> | | | | |
| From: Radnor Research & Trading Company, LLC | SILK | 0501 | RRTC | |
| To: Radnor Research & Trading Company, LLC | PFCL | 0158 | RRTC | |
| <u>Delete Last Trade Date, November 10, 2010</u> | | | | |
| Fortis Clearing Americas LLC | SHMR | 0695 | CPSF | |
| <u>Add First Trade Date, November 9, 2010</u> | | | | |
| ING Financial Markets LLC | INGF | 0270 | INGG | |
| <u>Add First Trade Date, November 11, 2010</u> | | | | |
| Wedbush Securities Inc. | LSCI | 0512 | WMLK | |
| <u>Add First Trade Date, November 12, 2010</u> | | | | |
| Penson Financial Services, Inc. | PFSI | 0234 | PFEC | |
| Electronic Transaction Clearing, Inc. | ETCC | 0873 | ETAL | |
| <u>Add First Trade Date, November 15, 2010</u> | | | | |
| Penson Financial Services, Inc. | PFSI | 0234 | PFED | |

Add First Trade Date, November 16, 2010

Wang Investment Associates, Inc.

PFSI 0234

WIAI

Wang Investment Associates, Inc.

PFSI 0234

SOGO

Add First Trade Date, November 19, 2010

E*Trade Capital Markets, LLC

ECUT 0100

ETLS

E*Trade Capital Markets, LLC

ECUT 0100

DNID

If you have any questions regarding this notice, please contact Mark Hendrickson (813) 470-1232 or E-mail NSCCAA@DTCC.com