

# **IMPORTANT NOTICE**

**National Securities Clearing Corporation**



**A#:** 6729  
**P&S#** 6299  
**Date:** October 31, 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 firms will retire from all services, as detailed below:

**Last Trade Date, October 28, 2008:**

Ultimus Fund Distributors, LLC/ The Shepherd Street Funds, Inc. No. 6551

**Last Trade Date, October 28, 2008:**

Lasalle Financial Services, Inc. No. 3924

**Last Trade Date, October 31, 2008:**

American General Securities Inc. No. 0522

**Last Trade Date, October 31, 2008:**

Huntleigh Securities Corporation No. 0746

Non-Confidential

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- The following firm will no longer participate in the Trade Comparison & Recording, RECAPS, Envelope Settlement Services, Fund/SERV, Networking, ACATS FundServ, and ACATS IPS as detailed below:

**Last Trade Date, September 2, 2008:**

Swiss American Securities, Incorporated	No. 0012
OTC / Municipal Alpha-Identifier:	SWIS
Listed Alpha-Identifier:	SAC

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

**First Trade Date, October 30, 2008:**

Teachers Advisors Inc	No. 5668
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- An additional number has been assigned to Unified Financial Securities, Inc. (#4965) for the purpose of utilizing the Fund/SERV and Networking services, as detailed below:

**First Trade Date, October 31, 2008:**

Unified Financial Securities, Inc./ FBO Roosevelt Funds	No. 4725
Networking Symbol:	4B
Contact: Craig Glenn	
Phone: (317) 917-7000 x7343	

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

**First Trade Date, November 3, 2008:**

Quasar Distributors, LLC/ Buffalo Funds	No. 4931
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- The following Data Services Only member will begin participation in the Insurance Processing service as detailed below:

**First Trade Date, November 3, 2008:**

Guaranty Financial Insurance Solutions Inc.	No. 7504
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- An additional number has been assigned to AIG Financial Advisors, Inc. (#0144) for the purpose of utilizing the Commission Settlement, Mutual Fund Profile Phase I and II, and IPS services, as detailed below:

**First Trade Date, November, 3 2008:**

AIG Financial Advisors, Inc./FAB

No. 0522

- 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, October 27, 2008**

Rutherford, Brown & Catherwood, LLC

FCCP	0141	RBCW
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**Delete Last Trade Date, October 29, 2008**

Basic Investors, Inc.

PFSI	0234	BSIC
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**Add First Trade Date, October 27, 2008**

Direct Access Partners LLC

BSSC	0352	DAPT
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**Add First Trade Date, October 31, 2008**

FolioFN Investments, Inc.

MSRO	0727	FMES
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- 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>

**Add First Trade Date, October 30, 2008**

Lighthouse Financial Group, LLC

SILK	0501	LPRM
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Merrill Lynch, Pierce, Fenner & Smith Inc.

LYON	0651	MLBC
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Penson Financial Services, Inc.

PFSI	0234	PFSH
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Penson Financial Services, Inc. PFSI 0234 PFSN

**Add First Trade Date, October 31, 2008**

Wedbush Morgan Securities Inc. FBCO 0355 WEDE

- Please update the NSCC Directory dated October 3, 2008 (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, October 28, 2008**

From: The Leaders Group, Inc. LGNT 0052 LEAD

To: The Leaders Group, Inc. NFSC 0226 LEAD

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.