

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 5998  
**P&S#:** 5568  
**DATE:** March 11, 2005 \*REVISED  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Pablo Cubi  
Membership Administration  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

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

**Last Trade Date, March 9, 2005:**

Bisys Fund Services, LP/Mercantile Dow Jones Portfolio Funds No. 6560

**Last Trade Date, March 14, 2005:**

NBC Capital Markets Group, Inc. No. 6066

**Last Trade Date, March 15, 2005:**

Wexford Clearing Services, LLC No. 0002

\*Wachovia Securities, LLC No. 0030

*First Clearing, LLC (#0141) will assume all open contracts for Wachovia Securities, LLC (#0030), which are to be cleared or settled through or by National Securities Clearing Corporation.*

\*Note: Please direct all inquiries regarding the above to:

First Clearing, LLC (#0141)

Contact Name: Georgia Desper

Phone: (804) 344-3929

E-Mail Address: gbdesper@wachoviasec.com

- An additional number has been assigned to First Clearing, LLC (#0141) for the purpose of utilizing the Fund/SERV, Networking and Commission Settlement, as detailed below:

**\*First Trade Date, March 21, 2005:**

First Clearing, LLC/Wachovia Securities No. 0030  
 Networking Code: PB  
 Contact: Bill Davis  
 Phone: (804) 965-2629

- The following firm will begin participation in the Fund/SERV and Networking services, as detailed below:

**First Trade Date, March 14, 2005:**

J.P. Morgan Institutional Investments, Inc. No. 4871  
 Networking Code: 9N  
 Contact: Rhett Payne  
 Phone: (816) 843-7314

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

**First Trade Date, March 14, 2005:**

Harborview, LLC No. 0558  
 Envelope Location: Y (New York)

- The following firm will begin participation in the Insurance Processing service, as detailed below:

**First Trade Date, March 15, 2005:**

Girard Securities, Inc. No. 0415

- Kindly update the NSCC Directory dated January 7, 2005 (for OTC Executed-By-List and 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>
<b><u>Delete Last Trade Date, March 14, 2005:</u></b> Monarch Financial Corporation of America	NFSC	0226	MFIN	
<b><u>Delete Last Trade Date, March 15, 2005:</u></b> Wexford Clearing Services, LLC Berlind Securities Inc.	WSPD WSPD	0030 0030	WEXF BERL	
<b><u>Add First Trade Date, March 9, 2005:</u></b> Chatsworth Securities LLC Mark Stewart Securities, Inc.	PERS NACI	0443 0297	CHTS MARK	
<b><u>Clearing Broker Change, Effective First Trade Date March 8, 2005:</u></b> From: Capwest Securities, Inc. To: Capwest Securities, Inc.	LGNT SWST	0052 0279	CPWS CPWS	

- Kindly update the NSCC Directory dated January 7, 2005 (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>
<b><u>Add First Trade Date, March 9, 2005:</u></b>				
Jeffries & Company, Inc.	BSSC	0352	BDIR	
Collins Stewart Inc.	SILK	0501	CSTI	

**Executing Broker Symbol Change, Effective First Trade Date March 14, 2005:**

From: Sunstate Equity Trading	PFSI	0234	SUNE
To: Sunstate Equity Trading	PFSI	0234	JIMK

- Kindly update the NSCC Directory dated January 7, 2005 (for Municipal Bond Comparison List) as detailed below:

	<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
	<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Nu meric</u>
<b><u>Add First Trade Date, March 8, 2005:</u></b>				
Miller Johnson Steichen Kinnard, Inc.	SWST	0279	MJSK	
<b><u>Add First Trade Date, March 9, 2005:</u></b>				
Monarch Financial Corporation of America	FCCP	0141	MFCA	
<b><u>Add First Trade Date, March 11, 2005:</u></b>				
Vista Securities, Inc.	SWST	0279	VSTS	

If you have any questions regarding this notice, please contact Frank DeRiso at (212) 855-4941 or Kevin Launer at (212) 855-4132.

**The following firms have remitted an executed Transfer of Retirement Assets Agreement during the week of March 11, 2005:**

PFPC Distributors, Inc./Constellation Institutional Portfolios

No. 6602