

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6406  
**P&S#:** 5976  
**DATE:** February 23, 2007  
**TO:** ALL PARTICIPANTS  
**ATTENTION:** MANAGER, PURCHASES AND SALES DEPARTMENT  
CASHIER, FUND/SERV PARTICIPANTS, ACATS PARTICIPANTS  
MUNICIPAL BOND COMPARISON PARTICIPANTS  
**FROM:** Pablo Cubi  
Membership Services  
**SUBJECT:** CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will retire from all services as detailed below:  
**Last Trade Date, February 28, 2007:**  
Quasar Distributors, LLC/Castlerock Funds No. 4880
- The following firms will change their name only as detailed below:  
**Effective First Trade Date February 26, 2007,**  
From: PFPC Distributors, Inc./Full Service House Account No. 0463  
To: PFPC Inc as agent for PFPC Trust FBO Wrap Clients No. 0463  
  
From: PFPC Distributors, Inc./J.J.B. Hilliard, W.L. Lyons, Inc. No. 0649  
To: PFPC Inc as agent for PFPC Trust FBO JJB Hilliard WL Lyons Inc No. 0649  
  
From: PFPC Distributors, Inc./Managers Funds Wrap Program No. 0657  
To: PFPC Inc as agent for PFPC Trust FBO Managers Fund Wrap Program No. 0657  
  
From: PFPC Distributors, Inc./Morningstar Wrap Program Customers No. 0474  
To: PFPC Inc as agent for PFPC Trust FBO Morningstar Wrap program Customers No. 0474  
  
From: PFPC Distributors, Inc./Nationwide Best of America Advisory Services Program No. 0195  
To: PFPC Inc as agent for PFPC Trust FBO Nationwide Best of America Advisory Services No. 0195  
  
From: PFPC Distributors, Inc./Neuberger & Berman No. 0644  
To: PFPC Inc as agent for PFPC Trust FBO Neuberger & Berman Management Inc. No. 0644  
  
From: PFPC Distributors, Inc./Omnibus (House) Acct No. 0592  
To: PFPC Inc as agent for PFPC Trust FBO Health Savings Account No. 0592

- An additional number has been assigned to Quasar Distributors, LLC (#5869) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, March 05 , 2007:**

Quasar Distributors, LLC/Leader Short Term Bond Fund

No. 5804

Networking Code:

DU

Contact: Casey Sauer

Phone: (414) 347-5766

- Kindly update the NSCC Directory dated January 05, 2007 (for OTC Executed-By-List and Municipal Bond Comparison System) as detailed below:

Clearing Broker Identifiers

Executing Broker Identifiers

Alpha

Numeric

Alpha

Numeric

**Add First Trade Date, February 26, 2007:**

BIDS Trading L.P.

Scottsdale Capital Advisors Corp

MLCO

0161

BIDS

NACI

0297

JOHN

**Clearing Broker Change, Effective First Trade Date, March 09, 2007:**

From: Pacific Growth Equities, LLC

To: Pacific Growth Equities, LLC

NFSC

0226

GROW

MLCO

0161

GROW

- Kindly update the NSCC Directory dated January 05, 2007 (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>Delete Last Trade Date, February 22, 2007:</u></b> Berkshire Asset Management Corp	PRST	0551	BAMS	
<b><u>Add First Trade Date, February 21, 2007:</u></b> E*Trade Capital Markets LLC	ETRS	0385	ETNY	
<b><u>Add First Trade Date, February 23, 2007:</u></b> Fimat Preferred LLC Fimat Preferred LLC Fimat Preferred LLC	PCAP PCAP PCAP	0608 0608 0608	FCAL FCAM FCAP	
<b><u>Add First Trade Date, February 26, 2007:</u></b> Rydex Distributors, Inc. SRM Securities, Incorporated	NFSC NFSC	0226 0226	RYDE SRPR	
<b><u>Executing Broker Name Change, Effective First Trade Date, February 26, 2007:</u></b> From: Berkshire Asset Management Corp To: LaBranche Structured Products Direct	PRST PRST	0551 0551	LSPD LSPD	

If you have any questions regarding this notice, please contact Kevin Edwards at (212) 855-1545.