

# IMPORTANT NOTICE

National Securities Clearing Corporation



**A#:** 6482  
**P&S#:** 6052  
**DATE:** July 27, 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, July 31, 2007:**

PFPC Distributors, Inc./FBO First Command SIP No. 0531

- The following firms will change their name only as detailed below:

**Effective First Trade Date July 25, 2007:**

From: Man Securities, Inc. No. 0650

To: MF Global Securities Inc. No. 0650

From: Man Securities, Inc./Fixed Income No. 0120

To: MF Global Securities Inc/Fixed Income No. 0120

- The following Data Services Only member will begin participation in the Insurance Processing service as detailed below:

**First Trade Date, August 01, 2007:**

Morgan Peabody, Inc. No. 6041

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

**First Trade Date, August 01, 2007:**

Smith, Moore & Co. No. 0494

- The following member of CDS Clearing and Depository Services Inc., will begin participation in the RECAPS, and the Envelope Settlement services as detailed below:

**First Trade Date, July 30, 2007:**

E\*trade Canada Securities Corporation/CDS

No. 5052

- An additional number has been assigned to Ultimus Fund Distributors, LLC (#5837) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, July 25, 2007:**

Ultimus Fund Distributors, LLC/Gardner Lewis Investment Trust

No. 5888

Networking Code:

JS

Contact: Doug Jones

Phone: (513) 587-3408

- An additional number has been assigned to PFPC Distributors, Inc. (#6658) for the purpose of utilizing the Fund/SERV, Networking, Mutual Fund Profile Phase I, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, August 01, 2007:**

PFPC Distributors, Inc./FundVantage Trust

No. 5611

Networking Code:

K3

Contact: Jayda Burke

Phone: (508) 871-3717

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

**First Trade Date, August 01, 2007:**

Frank Funds

No. 6671

Networking Code:

FY

Contact: Brian Frank

Phone: (973) 887-7698

- Additional numbers have been assigned to Aquarius Fund Distributors, LLC (#4915) for the purpose of utilizing the Fund/SERV, Networking, Commission Settlement, and ACATS Fund/SERV services, as detailed below:

**First Trade Date, August 01, 2007:**

Aquarius Fund Distributors, LLC/Roanoke Small-Cap Growth Fund

No. 5577

Networking Code:

HO

Contact: Brian Nielsen

Phone: (402) 493-3313 ext. 7127

Aquarius Fund Distributors, LLC/Gratio Value/S Fund

No. 5758

Networking Code:

HX

Contact: Brian Nielsen

Phone: (402) 493-3313 ext. 7127

- Kindly update the NSCC Directory dated April 06, 2007 (for OTC Executed-By-List and 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>

**Add First Trade Date, July 30, 2007:**

SL Hare Capital, Inc.

SWST	0279	SLHC
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**Clearing Broker Change, Effective First Trade Date, July 31, 2007:**

From: H.C. Wainwright & Co., Inc.

LGNT	0052	WAIN
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To: H.C. Wainwright & Co., Inc.

QRCC	0158	WAIN
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- Kindly update the NSCC Directory dated April 06, 2007 (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, August 01, 2007:**

Redsky Financial, LLC

ITGI	0099	REDG
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**Clearing Broker Change, Effective First Trade Date, July 27, 2007:**

From: Shonfeld Securities, LLC

SHON	0064	SHWG
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To: Shonfeld Securities, LLC

SILK	0501	SHWG
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**Clearing Broker Change, Effective First Trade Date, August 01, 2007:**

From: Thomas Group Capital

BSSC	0352	TSEC
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To: Thomas Group Capital

QRCC	0158	TSEC
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<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,**

**August 08, 2007:**

From: Joseph Stevens & Company, Inc.

PERS 0443 JSLP

To: Joseph Stevens & Company, Inc.

NFSC 0226 JSLP

- Kindly update the NSCC Directory dated April 06, 2007 (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>

**Add First Trade Date, August 01, 2007:**

Thomas Group Capital

QRCC 0158 TSEC

**Add First Trade Date, August 08, 2007:**

Joseph Stevens & Company, Inc.

NFSC 0226 JSLP

**Clearing Broker Change, Effective First Trade Date,**

**August 15, 2007:**

From: AXA Advisors, LLC

PERS 0443 AXAA

To: AXA Advisors, LLC

YLPL 0075 AXAA

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